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NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
1985

federal register

Privacy Act Issuances
1989 Compilation

Volume II

Systems of Records
Agency Rules

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Privacy Act Issuances
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Agency Rules

Published by

Office of the Federal Register

National Archives and Records Administration

PRIVACY ACT ISSUANCES, 1989 COMPILATION

VOLUME II

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PRIVACY ACT ISSUANCES, 1989 COMPILATION

EXPLANATION

This multivolume biennial compilation contains:

—descriptions of systems of records maintained on individuals by Federal agencies which were published in the FEDERAL REGISTER as required by the Privacy Act of 1974;

—rules of each agency which set out the procedures that agencies will follow in helping individuals who request information about their records.

AUTHORITY

This compilation of Privacy Act Issuances is published by the Office of the Federal Register in compliance with the requirements of the Privacy Act of 1974 (5 U.S.C. 552a).

CUTOFF DATES

This compilation reflects rules and notices of systems of records in effect as of December 31, 1989.

TITLE AND FORM OF CITATION

The official title of this publication is "Privacy Act Issuances, 1989 Compilation". To cite a system of records or rule in this publication, the form of citation would be:

Privacy Act Issuances, 1989 Comp., Volume ..., p....

HOW TO USE THIS COMPILATION

Identify the system you think may contain information about you and the agency that maintains those records.

Read the agency's regulations following its systems of records to determine the procedures you must follow to obtain information from that agency.

INFORMATION YOU CANNOT GET

There are limitations to the kind of information you can get. The agency may refuse to let you see information that—

—Relates to national security;

—Could reveal a confidential source; or

—Could be used to give people an unfair advantage on a government examination.

Generally, an agency's system notices (description of its systems of records) and its regulations will describe that agency's limitations on release of information.

SOME GENERAL REQUIREMENTS

How To Make a Request

In most cases you can inquire in person or by mail. It will be easier for the agency to help you, and your request will be handled more quickly, if you follow these procedures:

1. Give your full name and address, and sign your request.

2. Specify the system(s) of records you believe contain information about you.

3. Provide the relevant information required by the system you are interested in. For example, if you are inquiring about any contract you have had with the Government (loan application, contract, grant application, etc.), give the date and subject matter, and any identifying numbers that appear on documents you received.

4. Address your request to the official or person and address given in the system entry.

5. Print the words "PRIVACY ACT REQUEST" on the front of the envelope.

Proof of Identity

The agency will need some proof of your identity such as—

1. A document with your full name and address:

2. A document that has your signature and/or your photograph such as a passport, medicare card, or unemployment insurance book.

3. Any other identification specified in the system entry or regulations. If your request is by mail, you should include copies of whatever documents the agency requires to prove your identity. There is a penalty for making false statements.

Fees

The agency may charge you a fee for a copy of your records, but they may not charge you for the time and expense of locating them. The agency's rules usually state how much the fee is.

GENERAL INQUIRIES

This volume was edited by Gladys Queen Ramey under the direction of Richard L. Claypoole.

For further information concerning the technical aspects of this volume, call 202-523-3187. Written comments or suggestions should be addressed to the Director, Office of the Federal Register, National Archives and Records Administration, Washington, D.C. 20408.

Martha L. Girard,
Director, Office of the Federal Register.

PRIVACY ACT ISSUANCES—1989 COMPILATION

The Office of the Federal Register has issued its 1989 Compilation of Privacy Act Issuances as required by 5 U.S.C. 552a(f). Listed below are the agencies in this volume.

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INTERIOR/OIG-1

System name: Management Information—Interior, Office of Inspector General-1.

System location: (1) Office of Inspector General, U.S. Department of the Interior, 18th and C Streets, NW, Washington, D.C. 20240; (2) Office of Inspector General Regional Offices and Regional Suboffices (A current listing of such offices and their locations can be obtained from the System Manager).

Categories of individuals covered by the system: Past, present and prospective departmental employees, contractors, subcontractors, grantees, subgrantees, lessees, licensees, and other persons doing business with the Department, or having contact with the Department or geographical areas under its jurisdiction.

Categories of records in the system: (a) OIG Employee Resources file will contain information regarding OIG employee assignments, distribution of time, training completed and performance; (b) Audit Status file will contain status information on all audits from point of request or annual planning through follow-up and eventual closure; (c) Investigation Status file will contain status information on all investigations from point of receipt or acceptance of a case through closure; (d) Audit and Investigations History file will contain the findings, recommendations and actions on all audits and investigations; (e) Audit Inventory file will contain a record of each auditable entity of the Department, including its contracts, grants, cooperative agreements, organizations, programs and functions; and (f) Freedom of Information Act and Privacy Act file will contain information relating to requests for access to OIG records and other kinds of requests under those Acts, and OIG action on such requests.

Authority for maintenance of the system: Inspector General Act of 1978, 5 U.S.C.A. app. I, sections 1-12.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The primary uses of the records are: (a) Personnel information will be used by staff managers to determine training needs, quality of performance, and promotional eligibility; (b) assignment information and workload status information will be used by managers to control audits and investigations, and to maximize effectiveness of staff resources; (c) the Audit Status file will be used to track all audits from point of request or actual planning through follow-up and eventual closure; (d) the Investigation Status file will be used to track all investigations from point of receipt or acceptance through closure; (e) the Audit and Investigation History file will record the findings, recommendations, and actions on all audits and investigations and will serve to archive pertinent history of audits and investigation; (f) to conduct and report investigations of serious misconduct or irregularities, mismanagement, gross waste of funds, abuse of authority, danger to public health and safety, or violation of law, to ensure compliance by Departmental employees, contractors, subcontractors, grantees, subgrantees, lessees, licensees and other persons doing business with the Department with federal statutes, regulations, policies, and procedures; (g) to develop audit reports which bring to the attention of management officials, the Congress, contractors, and grantees, etc., existing deficiencies and recommendations for correcting those deficiencies; (h) the Audit Inventory file will be used to forecast budget requirements for auditing each entity, review of contracts and grants for compliance and detections or prevention of fraud, waste and abuse, and to conduct trend analysis and review of expenditures; (i) the Freedom of Information Act and Privacy Act file will improve efficiency in responding to requests under those Acts; and (j) to prevent and detect fraud and abuse and to promote economy, efficiency, and effectiveness in the program and operations of the Department of the Interior.

Disclosures outside of the department may be made: (1) To the U.S. Department of Justice when related to litigation or anticipated litigation; (2) to a Member of Congress from the record of an individual in response to an inquiry made at the request of that individual; (3) to a federal, state, tribal, territorial or local government agency which has funds involved to alert that agency to the deficiencies so that the agency may take corrective action; (4) to another federal, state, tribal, territorial or local government agency having partial or complete jurisdiction over the auditee or subject matter of the audit; (5) to appropriate federal, state, tribal, territorial, local, or foreign agencies responsible for investigating or prosecuting the violation of, or for enforcing, implementing, or administering a statute, rule, regulations, order, program, facility, lease, license, contract, grant, or other agreement; (6) to a federal, state, tribal, territorial, local, or foreign agency, or an organization, or an individual when reasonably necessary to obtain information or assistance relating to an audit, investigation, trial, hearing, preparation for trial or hearing, or any other authorized activity of the Office of Inspector General; (7) to federal, state, tribal, territorial, local, or foreign agencies where necessary to obtain information or assistance relating to the hiring or retention of an employee, or the issuance of a security clearance, contract, license, grant, or other benefit; (8) to a federal agency which has requested information relevant or necessary to its hiring or retention of an employee, or issuance of a security clearance, license, contract, grant, or other benefit; (9) to an actual or potential party or his or her attorney for the purpose of negotiation or discussion on such matter as settlement of the case or matter, plea bargaining, or informal discovery proceedings; (10) to a foreign government pursuant to an international treaty, convention, or executive agreement entered into by the United States; (11) to complainants for the purpose of notifying them of the progress and disposition of their complaints.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Password files on an automated data processing system.

Retrievability: Most files in the system are accessed by case number or report title (which may incorporate the name of an individual), but the Employee Resources Personnel file is accessed by social security account number; the Freedom of Information Act and Privacy Act file is accessed also by name of requester or submitter.

Safeguards: Manual files are in locked rooms. Electronic files are protected by passwords accessible only to authorized persons. Computerized files will be safeguarded in accordance with 43 CFR 2.51(c).

Retention and disposal: General personnel information is destroyed when no longer needed for administrative use; the continuous update files are closed at the end of an audit or investigation and transferred to the Audit and Investigation History files for retention; the Audit Inventory, Audit and Investigation History, and Freedom of Information Act and Privacy Act files will be destroyed when no longer needed for agency use.

System manager(s) and address: Assistant Inspector General for Administration, Office of Inspector General, U.S. Department of the Interior, 18th and C Sts., NW, Washington, D.C. 20240.

Notification procedure: Inquiries may be addressed to the System Manager as indicated above. (See 43 CFR 2.60 for details on inquiries.)

Record access procedures: A request for access may be addressed to the System Manager. The request must be in writing and signed by the requester. The request must meet the content requirements of 43 CFR 2.63.

Contesting record procedures: A petition for amendment shall be addressed to the System Manager and must meet the requirements of 43 CFR 2.71.

Record source categories: Departmental employees, departmental employment records, reports and notices, present and prospective contractors, subcontractors, grantees, subgrantees, lessees, licensees, and other persons doing official business with the Department, or having contact with the Department or geographical areas under its jurisdiction.

INTERIOR/OIG-2

System name:

Investigative Records--Interior, Office of Inspector General—2

System location:

(1) Office of Inspector General, U.S. Department of the Interior, 18th and C Streets, NW, Washington, D.C. 20240; (2) Office of Inspector General Regional Offices and Regional Suboffices (A current listing of such offices and their locations can be obtained from the System Manager); (3) Investigative site during course of an investigation.

Categories of individuals covered by the system:

Past, present, and prospective Departmental employees, contractors, subcontractors, grantees, subgrantees, lessees, licensees, and other persons doing official business with the Department, or having contact with the Department or geographical areas under its jurisdiction.

Categories of records in the system:

Investigative reports and materials pertaining to allegations of fraud, waste, abuse, mismanagement, danger to public health or safety, violations of law, misconduct and irregularities by individuals covered by the system, including irregularities involving the policies and practices of the Department and real and personal property under its jurisdiction; a list of individuals having records subpoenaed in connection with investigations; and their subpoenaed records.

Authority for maintenance of the system:

(1) Inspector General Act of 1978, 5 U.S.C. app. 1, sections 1-12; (2) 5 U.S.C. 7301; (3) Executive Order No. 11222, 18 U.S.C. 201 note; (4) 18 U.S.C. 437, as amended by Pub. L. 96-277, 94 Stat. 544; (5) 30 U.S.C. 6; (6) 43 U.S.C. 11; (7) 43 U.S.C. 31; (8) 43 U.S.C. 1466; (9) Reorgan. Plan No. 3 of 1950, 64 Stat. 1262, as amended, 5 U.S.C. app.; (10) 43 CFR Part 20; (11) 25 CFR 11.30(n)(2)(ii) (12) 28 CFR 20.3; and (13) 355 and 356 DM.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary uses of the records are: (a) To conduct and report investigations of fraud, waste, abuse and mismanagement in the programs and activities of the Department and real and personal property under its jurisdiction, including violations of law, waste of funds, abuse of authority, serious employee misconduct, other irregularities, or danger to public health and safety, to insure compliance by Departmental employees, contractors, subcontractors, grantees, lessees, licensees and other persons doing business, or having contact, with the Department with federal statutes, regulations, policies, and procedures; and (b) to prevent and detect fraud and abuse, and to promote economy, efficiency, and effectiveness in the programs and operations of the Department of the Interior.

Disclosures outside of the Department may be made: (1) To the U.S. Department of Justice when related to litigation or prosecution or anticipated litigations or prosecution; (2) to a Member of Congress from the record of an individual in response to an inquiry made at the request of that individual; (3) to federal, state, tribal, territorial, or local agencies where necessary to obtain information relevant to the firing or retention of an employee, or the issuance of a security clearance, contract, license, grant or other benefit; (4) to a federal agency which has requested information relevant or necessary to its hiring or retention of an employee, or issuance of a security clearance, license, contract, grant, or other benefit; (5) to appropriate federal, state, tribal, territorial, local, or foreign agencies responsible for investigating or prosecuting the violation of, or for enforcing, implementing, or administering a statute, rule, regulation, program, facility, order, lease, license, contract, grant, or other agreement; (6) to a federal, state, tribal, territorial, local, or foreign agency, or an organization, or an individual when reasonably necessary to obtain information or assistance relating to an audit, investigation, trial, hearing, preparation for trial or hearing, or any other authorized activity of the Office of Inspector General; (7) to an actual or potential party or his or her attorney for the purpose of negotiation or discussion on such matters as settlement of the case or matter, plea bargaining, or informal discovery proceedings; (8) to a foreign government pursuant to an international treaty, convention, or executive agreement entered into by the United States.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File folders and wood processing equipment storage media.

Retrievability:

Indexed by name and subpoena number.

Safeguards:

File folders and word processing equipment storage media are in locked rooms; manual files, standard passworded files, automated data processing equipment, and software are accessible to authorized persons only.

Retention and disposal:

Reports of cases selected for their continuing historical value are retained for 10 years after they become inactive and then they are offered to the National Archives; reports on nonselected cases are destroyed 10 years after they become inactive; subpoena log and subpoenaed records are destroyed or returned when no longer needed for agency use.

System manager(s) and address:

Assistant Inspector General for Investigations, Office of Inspector General, U.S. Department of the Interior, 18th & C Sts., NW, Washington, D.C. 20240.

Systems exempted from certain provisions of the act:

Under the specific authority provided by 5 U.S.C. 552a(k)(2), the Department of the Interior has adopted a regulation, 43 CFR 2.79(b), which exempts this system from the provisions of 5 U.S.C. 552a(c)(3), (d), (e)(1), (e)(4) (G), (H) and (I), and (f) and the portions of 43 CFR, Part 2, Subpart D which implement these provisions. The reasons for adoption of this regulation are set out at 40 FR 37217 (August 26, 1975).

Under the specific authority provided by 5 U.S.C. 552a(j)(2), the Department of the Interior has adopted a regulation, 43 CFR 2.79(a) which exempts this system from all of the provisions of 5 U.S.C. 552a and Department of Interior regulations in 43 CFR Part 2, Subpart D—Privacy Act, except subsections (b), (c)(1) and (2), (e)(4)(A) through (F), (e)(6), (7), (9), (10), and (11) and (i) of 5 U.S.C. 552a and the portions of the regulations in Subpart D implementing these subsections.

INTERIOR/OS-3

System name:

Financial Interest Statements and Ethics Counselor Decisions—Interior, Office of the Secretary—3.

System location:

(1) Office of the Assistant Secretary—Policy, Budget and Administration, Interior, 18th and C Street, NW, Washington, D.C. 20240; (2) Bureau and Office of Ethics Counselors, Deputy Ethics Counselors, Associate Ethics Counselors, and Assistant Ethics Counselors. (A list may be obtained from the Deputy Agency Ethics Official, Office of the Assistant Secretary—Policy, Budget and Administration.)

Categories of individuals covered by the system:

Present or past Department employees required to file financial interests or disclosure statements as required by in 5 CFR Part 734, 43 CFR Part 20, or 30 CFR Part 706; and, present or past Department employees subjected to remedial or disciplinary action for conflicts of interest or other ethics violations.

Categories of records in the system:

Contains confidential statements of employment and financial interests (forms DI-212, DI-212A, DI-213, or DI-278) for present or past Interior Department employees required to file such statements. Contains Public Financial Disclosure Reports required by the Ethics in Government Act of 1978, as amended, (form SF-278) for present or past incumbents in position required to file such statements. Also contains records of conflict of interest decisions and appeals, analysis of financial holdings, employee statements, bureau or office comments, and supervisor comments on present or past employees, as requested by the bureau or office counselors or as needed by the Designated Agency Ethics Official.

Authority for maintenance of the system:

(1) 5 U.S.C. 7301; (2) 16 U.S.C. 1912; (3) 30 U.S.C. 1211; (4) 42 U.S.C. 6392; (5) 43 U.S.C. 1743; (6) 43 U.S.C. 1864; (7) Executive Order No. 11222, 18 U.S.C. 201 note; (8) 5 CFR Parts 734 and 736; and (9) 43 CFR Part 20.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary uses of the records are: (a) To review employee financial interests and determine employee compliance or non-compliance with applicable conflict of interest statutes and regulations, and to effect remedial and disciplinary action where non-compliance is ascertained; (b) to record in fact that the employee has been made aware of specifically directed legislation or regulations covering his organization and that he or she is in compliance with such specific legislation or regulations; (c) to provide the public with access to, and to adequately control access to, financial disclosure reports which must by statute be made available to the public; and (d) to provide an adequate system of records for Departmental auditors performing compliance audits within the Department.

Disclosure outside of the Department may be made: (1) To the U.S. Department of Justice or in a proceeding before a court or adjudicative body when (a) the United States, the Department of the Interior, a component of the Department, or, when represented by the government, an employee of the Department is a party to litigation or anticipated litigation or has an interest in such litigation, and (b) the disclosure is deemed by the Department of the Interior to be relevant or necessary to the litigation, and (c) the Department of the Interior determines that disclosure is compatible with the purpose for which the records were compiled; (2) to a Member of Congress from the record of an individual in response to an inquiry made at the request of that individual; (3) to federal, state, tribal, territorial or local agencies where necessary to obtain information relevant to the hiring or retention of an employee, or the issuance of a security clearance, contract, license, grant or other benefit; (4) to a federal agency which has requested information relevant or necessary to its hiring or retention of an employee, or issuance of a security clearance, license, contract, grant, or other benefit; (5) to the Office of Personnel Management to perform oversight reviews; (6) to the public for only those records covered by specific statutes requiring their public disclosure; (7) to appropriate federal, state, tribal, territorial, local or foreign agencies responsible for investigating or prosecuting the violation of, or for enforcing, implementing, or administering a statute, rule, regulation, program, facility, order, lease, license, contract, grant, or other agreement; (8) to a federal, state, tribal, territorial, local or foreign agency, or an organization, or an individual when reasonably necessary to obtain information or assistance relating to an audit, investigation, trial, hearing, preparation for trial or hearing, or any other authorized activity or the Department; (9) to an appropriate federal, state, tribal, territorial, local, or foreign court or grand jury in accordance with established constitutional, substantive, or procedural law or practice; (10) to an actual or potential party or his or her attorney for the purpose of negotiation or discussion on such matters as settlement of the case or matter, plea bargaining, or informal discovery proceedings; and (11) to a foreign government pursuant to an international treaty, convention, or executive agreement entered into by the United States.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

(1) For confidential statements of employment and financial interests, DI-212, DI-212A, and DI-213:

Storage:

Maintained in file folders, word processing equipment storage media, and computer disks and output.

Retrievability:

For each bureau and office, information is filed alphabetically by position or employee name.

Safeguards:

Maintained in locked file cabinets in locked rooms; manual files, standard passworded filed on word processor, and software are accessible to authorized persons only. Access to computer files is restricted by the use of file passwords and file encryption.

Retention and disposal:

Retention and disposal is in accordance with General Records Schedule No. 1, Item No. 25.

(2) For Public Disclosure Statements of Known Financial Interest, SF-278; and Confidential Supplement Form DI-278:

Storage:

Maintained in file folders.

Retrievability:

Filed by bureau, alphabetically by employee name in the Office of the Assistant Secretary—Policy, Budget and Administration.

Safeguards:

Maintained in locked file cabinets or in locked rooms; manual files, standard passworded files and software are accessible to authorized persons only.

Retention and disposal:

Retention and disposal is in accordance with General Records Schedule No. 1, Item No. 25.

System manager(s) and address:

Designated Agency Ethics Official, Office of the Assistant Secretary—Policy, Budget and Administration, U.S. Department of the Interior, 18th and C Streets, NW, Washington, D.C. 20240.

Notification procedure:

Inquiries may be addressed to the System Manager identified above, or to the appropriate Bureau or Office Ethics Counselor. (A list of Ethics Counselors can be obtained from the System Manager.) (See 43 CFR 2.60 for procedures on making inquiries.)

Record access procedures:

A request for access may be addressed to the System Manager, identified above, or to the appropriate Bureau or Office Ethics Counselor. (A list of Ethics Counselors can be obtained from the System Manager.) The request must be in writing and signed by the requester. The request must meet the content requirements of 43 CFR 2.63.

Contesting record procedures:

A petition for amendment shall be addressed to the System Manager or to the appropriate Bureau or Office Ethics Counselor. (A list may be obtained from the System Manager) and must meet the requirements of 43 CFR 2.71.

Record source categories:

Present Department employees who are, or past Department employees who were, required to file financial interest statements, and Department bureaus and offices.

INTERIOR/SOL-5

System name:

SMCRA Litigation Tracking System (LTS)—Interior, Office of the Solicitor-5.

System location:

Division of Surface Mining, Office of the Solicitor, U.S. Department of the Interior, Washington, DC, and field locations. For specific addresses of field locations contact: Associate Solicitor for Surface Mining, Mail Stop 6411, U.S. Department of the Interior, 18th & C Streets, NW., Washington, DC 20240.

Categories of individuals covered by the system:

The system contains the names of individuals and entities responsible for unabated federal violations, unpaid federal civil penalties, or outstanding abandoned mine land reclamation fees (AML fees) arising under the Surface Mining Control and Reclamation Act of 1977, 30 U.S.C. 1201 et seq. (SMCRA), where the Office of Surface Mining Reclamation and Enforcement (OSMRE) has referred the outstanding violation or debt to the Solicitor's Office for litigation, and the names of individuals or entities who own or control entities responsible for such unabated federal violations, unpaid federal civil penalties, or outstanding AML fees arising under SMCRA. Although the system of records contains information about individuals and entities, only the records about individuals are subject to the provisions of the Privacy Act.

Categories of records in the system:

(1) Case tracking information including individuals and entities associated with the litigation (names, addresses, and other identifiers, if available); (2) violator information obtained from OSMRE inspection, enforcement, assessment, auditing, and collection records (including OSMRE computer systems); (3) ownership, control, and financial information on coal mining operations obtained from the aforementioned records, State regulatory authority records, Mine Safety and Health Administration (MSHA) legal identity forms and other MSHA records, State corporation commission or secretary of State records, clerk of court records, company or operator financial reports, and investigative reports provided to OSMRE under contract; and (4) information on the status of each case (such as complaint filed and judgment entered dates).

Authority for maintenance of the system:

The Surface Mining Control and Reclamation Act of 1977, 30 U.S.C. 1201 et seq.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary uses of the records are to: (a) Allow for tracking, cases through the judicial system; (b) enable the Solicitor's Office to assist OSMRE and State regulatory authorities in making decisions to withhold or revoke permits of entities or individuals in violation of SMCRA; (c) provide statistics by company, region, judicial district, State, and nationwide for management purposes; (d) provide for case management reports, including reports linking two or more data, bases by any of numerous criteria; and (e) enable Solicitor's Office and OSMRE management to effectively monitor their program requirements. Disclosures outside the Department of the Interior may be made: (1) To the appropriate federal, State, or local agency responsible for investigating, prosecuting, enforcing, or implementing a statute, rule, regulation, or order when the Department of the Interior becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation; (2) to a Congressional office, upon request, including information from the record of an individual in response to an inquiry the individual has made to the Congressional office; (3) to public interest groups as may be required under SMCRA or the January 31, 1985, Revised Order in Save Our Cumberland Mountains, Inc. v. Hodel, No. 81-2134 (D.D.C. 1985); (4) to the U.S. Department of Justice or to a court or other adjudicative body of competent jurisdiction when (a) the United States, the Department of the Interior, a component of the Department, or, when represented by the government, an employee of the Department is a party to litigation or anticipated litigation or has an interest in such litigation, and (b) the Department of the Interior determines that the disclosure is relevant or necessary to the litigation and is compatible with the purpose for which the records were compiled.

Disclosure to consumer reporting agencies:

Disclosures pursuant to 5 U.S.C. 552a(b)(12): Disclosures may be made to a consumer reporting agency as defined in the Fair Credit Reporting Act (15 U.S.C. 1681a(f)), or the Federal Claims Collection Act of 1966 (31 U.S.C. 3701(a)(3)).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained on computer usable media.

Retrievability:

Data is retrievable by any of a number of data fields such as assigned index number, company name, individual name, attorney, State, permit number, and violation number.

Safeguards:

Maintained with safeguards meeting the requirements of 43 CFR 2.51 for computerized records.

Retention and disposal:

Data stored on computer-usable media will be retained until it is determined that the data is no longer needed or required. ADP printout records will be disposed of periodically (generally monthly or quarterly) when superseded. Records are retained and disposed of in accordance with Office of the Secretary Comprehensive Records Disposal Schedule No. NC1-48-77-1; item number H11.

System manager(s) and address:

Associate Solicitor for Surface Mining, Office of the Solicitor, Mail Stop 6411, U.S. Department of the Interior, 18th & C Streets, NW., Washington, DC 20240.

Notification procedure:

Persons wanting to determine whether the system maintains information on them should write to the System Manager. See 43 CFR 2.60 for the form of request.

Record access procedures:

Anyone wanting to see their records should write to the System Manager. All requests should describe as specifically as possible the records sought and be marked "Privacy Act Request for Access." See 43 CFR 2.63 for the required content of request.

Contesting record procedures:

A petition for amendment should be addressed to the System Manager and must meet the content requirement of 43 CFR 2.71. The petition for amendment must be submitted in writing.

Record source categories:

(1) OSMRE and State coal mining permit files, both manual and automated; (2) OSMRE and State regulatory program files, both manual and automated; (3) MSHA legal identity forms and other records; (4) individual, operator, and company financial reports; (5) State corporation commission, secretary of State, taxation authorities, municipal, county, and clerk of court records; (6) individual or company net worth determination reports prepared by, OSMRE contractors; (7) Department of the Interior Solicitor's Office files; (8) investigative, reports prepared for litigation; (9) federal and State court records, including bankruptcy courts; and (10) Department of the Interior Office of Hearings and Appeals records.

INTERIOR/OS-7

System name:

Aircraft Crew/Mechanic Information File—Interior, Office of the Secretary—7.

System location:

(1)National Headquarters—Office of Aircraft Services, Division of Technical Services, 3905 Vista Avenue, Boise, Idaho 83705; (2) Alaska Regional Office, Office of Aircraft Services, 4343 Aircraft Drive, Anchorage, Alaska 99503; (3) Atlanta Field Office, 75 Spring Street, SW, Atlanta, GA 30303; (4) Denver Field Office, Suite 291, 730 Simms Street, Golden CO 80401.

Categories of individuals covered by the system:

(1) Professional, dual-functions, & incidental function pilots, aircrew members & mechanics employed by Interior bureau/offices; (2) Aircraft crew/mechanic employees of commercial operators utilized by Department of the Interior (DOI) bureaus/offices.

Categories of records in the system:

The system contains information relative to certificates, qualifications, experience levels, training and proficiency, performance information, and accident experience data.

Authority for maintenance of the system:

5U.S.C. 301, Reorganization Plan 3 of 1950.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary uses of the record is to determine aircraft crew/mechanic qualifications to comply with OAS procedures and directives. Disclosure outside the Department of the Interior may be made, (1) to the U.S. Department of Justice when related to litigation or anticipated litigation, (2) of information indicating a violation or potential violation of a statute, regulation, rule, order of license, to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order of license, (3) to a Federal agency which has requested information relevant or necessary to its hiring or retention of an employee, or issuance of a security clearance, license, pilot qualification card, grant or other benefit, (4) to Federal, State, local agencies or commercial business where necessary to obtain information relevant to the hiring or retention of an employee, or the issuance of a security clearance, license, pilot qualification card, grant or other benefit, (5) to a Member of Congress from the record of an individual in response to an inquiry made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

These records are maintained in file folders on lists and forms, on microfiche film, and in computer processible storage media.

Retrievability: (1)DOE Employees—Records for DOI employees are indexed by agencies, location and name. (2) Commercial Operators—Records for commercial operators are indexed by name, Social Security Number, and/or pilot certificate number.

Safeguards:

When not in use by an authorized person, paper and microfiche records will be stored in lockable file cabinets or in secured rooms with access limited to those personnel whose official duties require access. Access to computerized records is limited through use of access codes and entry logs to those whose official duties require access.

Retention and disposal:

Records in this system are to be retained manually in file folders for 3 years, on microfiche film for an additional 4 years, and then destroyed. Manual and microfiche records will be concurrently computerized for 7 years and then destroyed.

System manager(s) and address:

(1) National Headquarters —Chief, Technical Services Division, Office of Aircraft Services, 3905 Vista Avenue, Boise, Idaho 83705; (2) Alaska Regional Office, Regional Director, Office of Aircraft Services, 4343 Aircraft Drive, Anchorage, AK 99503; (3) Atlanta Field Office, Area Director, 75 Spring Street, SW., Atlanta, GA 30303; (4) Denver Field Office, Area Director, Suite 291, 730 Simms Street, Golden, Colorado 80401.

Notification procedure:

Inquiries regarding the existence of records shall be addressed to the appropriate System Manager. A written, signed request stating the requester seeks information concerning records pertaining to him is required. See 43 CFR 2.60.

Record access procedures:

A request for access shall be addressed to the appropriate System Manager. The request must be in writing and be signed by the requester. The request must meet the content requirements of 43 CFR 2.63.

Contesting record procedures:

A petition for amendment shall be addressed to the appropriate System Manager and must meet the content requirements of 43 CFR 2.71.

Record source categories:

Information in this system comes from individual to whom it applies and Technical Representatives, Office of Aircraft Services.

INTERIOR/OS-8

System name:

Aircraft Services Administrative Management and Fiscal Records—Interior, Office of the Secretary—8.

System location:

(1) Office of Aircraft Services, U.S. Department of the Interior, 3905 Vista Avenue, Boise, Idaho 83705. (2) Office of Aircraft Services, U.S. Department of the Interior, 4343 Aircraft Drive, Anchorage, AK 99503.

Categories of individuals covered by the system:

Employees and some former employees of the Office of Aircraft Services.

Categories of records in the system:

Payroll records, including pay, leave and cost distribution records, including deductions for bonds, insurance, income taxes, allotments to financial institutions, overtime authorizations, and related documents. Travel records, including administrative approvals, travel expenses claimed and/or paid, receipts for expenditures claims. Government transportation requests, travel advance accounts and related records. Records of accountability for Government-owned property. Safety records, including claims under the Military Personnel and Civil Employees Claims Act. Records of issuance of Government identification cards and Government driver's licenses. Related records concerning administrative and fiscal management.

Authority for maintenance of the system:

5 U.S.C. 301, 3101, 5101-5115, 5501-5596, 5701-5709, 31 U.S.C. 66a, 240-243, 40 U.S.C. 483(b), 43 U.S.C. 1467, 44 U.S.C. 3101, Executive Order No. 11807.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary use of the records are (a) for administrative and fiscal management. Disclosure outside the Department of the Interior may be made, (1) to the Department of the Treasury for preparation of (a) payroll checks, (b) payroll deduction and other checks to Federal, State and local and (c) checks for reimbursement of employees and others, (2) to the Internal Revenue Service and to the State, Commonwealth, Territorial and local governments for tax purposes, (3) to the Civil Service Retirement System and other contributions, (4) to another Federal agency to which an employee has transferred, (5) to another Federal agency having a subject matter interest in the records, (6) to the U.S. Department of Justice when related to litigation or anticipated litigation, (7) of information indicating a violation or potential violation of a statute, regulation, rule, order, license, to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license; (8) to Federal, State, local agencies or commerical business where necessary to obtain information relevant to the hiring or retention of an employee, or the issuance of a security clearance, license, pilot qualification card, grant or other benefit; (9) to a Member of Congress from the record of an individual in response to an inquiry made at the request of that individual; (10)to other Federal agencies conducting computer matching programs to help eliminate fraud and abuse and to detect unauthorized overpayments made to individuals.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Manual and automated.

Retrievability:

May be retrieved by individual name or social security number.

Safeguards:

Records are maintained in accordance with 43 CFR 2.51.

Retention and disposal:

According to approved records disposal schedules.

System manager(s) and address:

Director, Office of Aircraft Services, U.S. Department of the Interior, 3905 Vista Avenue, Boise, Idaho 83705.

Notification procedure:

Inquiries regarding the existence of records should be addressed to the System Manager. A written, signed request stating that the requester seeks information concerning records pertaining to him is required. See 43 CFR 2.60.

Record access procedures:

A request for access may be addressed to the System Manager. The request must be in writing and be signed by the requester. The request must meet the content requirements of 43 CFR 2.63.

Contesting record procedures:

A petition for amendment should be addressed to the System Manager and must meet the content requirements of 43 CFR 2.71.

Record source categories:

Employees, supervisors, timekeepers.

INTERIOR/OS-12

System name:

Private Relief Claimants, Department—Interior, Office of the Secretary—12.

System location:

Office of Congressional & Legislative Affairs, Legislative Counsel, U.S. Department of the Interior, 18th and C Streets NW., Washington, DC 20240.

Categories of individuals covered by the system:

Individual claimants against the United States seeking remedy through private relief bills for claims involving the programs and activities of the Department of the Interior.

Categories of records in the system:

Copies of relief bills and congressional committee reports. Department records on bills, correspondence, comments of bureaus and offices.

Authority for maintenance of the system:

5 U.S.C. 301, U.S.C. 1457, 44 U.S.C. 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary use of the records is to support legislation for the relief of private claimants. Disclosures outside the Department of the Interior may be made (1) to Congress to report on the basis and validity of claims; (2) to another Federal agency having a subject matter interest in the claim; (3) to the Office of Management and Budget in connection with the review of private relief legislation as set forth in OMB Circular No. A-19, at any stage of the legislative coordinates and clearance process as set forth in that Circular; (4) to the Congressional sponsor of a private relief bill and to representatives of the individual who is the subject of the legislation; (5) to the U.S. Department of Justice or in a proceeding before a court or adjudicative body when (a) the United States, the Department of the Interior, a component of the Department, or, when represented by the government, an employee of the Department is a party to litigation or anticipated litigation or has an interest in such litigation, and (b) the Department of the Interior determines that the disclosure is relevant or necessary to the litigation and is compatible with the purpose for which the records were compiled.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained manually in file folders, and in computer media.

Retrievability:

Cross-indexed by name of claimant, through a computer legislative tracking database.

Safeguards:

Maintained with safeguards meeting the requirements of 43 CFR 2.51 for manual and computer records.

Retention and disposal:

Retired to Federal Records Center after two Congresses. Office of the Secretary, Records Disposal Schedule, Category H, Items 3 and 6 govern the disposal of records.

System manager(s) and address:

Director, Office of Congressional & Legislative Affairs, U.S. Department of the Interior, Washington, DC 20240.

Notification procedure:

An individual may inquire whether or not the system contains a record pertaining to him by addressing a written request to Legislative Services Center, Office of Congressional & Legislative Affairs, Office of the Secretary, U.S. Department of the Interior, Washington, DC 20240. The inquiry must be in writing and state that the individual seeks information concerning records pertaining to him. See 43 CFR 2.60.

Record access procedures:

Same as Notification. See 43 CFR 2.63 for additional content requirements for requests.

Contesting record procedures:

A petition for amendment should be addressed to the System Manager and must meet the requirements of 43 CFR 2.71.

Record source categories:

Congress, individual claimants, bureaus and offices of the Department.

INTERIOR/OS-13

System name:

Private Relief Claimants, Bureau—Office of the Secretary—13.

System location:

(1) Bureau of Indian Affairs, 1951 Constitution Avenue, NW., Washington, D.C. 20245. (2) Bureau of Land Management, Office of Legislation and Regulatory Management, 18th and C Streets, NW., Washington, D.C. 20240.

Categories of individuals covered by the system:

Individual claimants agains the United States seeking remedy through private relief bills for claims involving the programs and activities of the Department of the Interior.

Categories of records in the system:

Copies of relief bills and Congressional committee reports, Departmental reports on bills, correspondence, information compiled in connection with the claims, communications of requests from the sponsor of the bill on the claimant's attorney.

Authority for maintenance of the system:

5 U.S.C. 301. 43 U.S.C. 1457. 44 U.S.C. 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary use of the records is to support legislation for the relief of private claimants. Disclosures outside the Department of the Interior may be made (1) to Congress on the basis and validity of claims; (2) to another Federal agency having a subject matter interest in a claim; (3) to the Office of Management and Budget in connection with the review of private relief legislation as set forth in OMB Circular No. A-19 at any stage of the legislative coordination and clearance process as set forth in that Circular; (4) to the Congressional sponsor of a private relief bill and to representatives of the individual who is subject of the legislation; (5) to the U.S. Department of Justice when related to litigation or anticipated litigation; (6) of information indicating a violation or potential violation of a statute, regulation, rule, order or license, to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license; (7) to a Member of Congress from the record of an individual in response to an inquiry from a Congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained manually in file folders.

Retrievability:

Cross-indexed by name of claimant.

Safeguards:

Maintained with safeguards meeting the requirements of 43 CFR 2.51 for manual records.

Retention and disposal:

In accordance with approved retention and disposal schedules.

System manager(s) and address:

(1) Director, Congressional and Legislative Staff, Room 4639, Bureau of Indian Affairs, 1951 Constitution Avenue, NW., Washington, D.C. 20245. (2) Chief, Office of Legislation and Regulatory Management, Bureau of Land Management, 18th and C Streets, NW., Washington, D.C. 20240.

Notification procedure:

An individual may inquire whether or not the system contains a record pertaining to him by addressing a written request to the appropriate System Manager listed above. The inquiry must be in writing and state that the individual seeks information concerning records pertaining to him. See 43 CFR 2.60.

Record access procedures:

Same as Notification. See 43 CFR 2.63 for additional content requirements for requests.

Contesting record procedures:

A petition for amendment should be addressed to the System Manager and must meet the requirements of 43 CFR 2.71.

Record source categories:

Congress, individual claimants, bureaus and offices of the Department.

INTERIOR/OS-18

System name:

Discrimination Complaints—Interior, Office of the Secretary—18.

System location:

(1) Office of Equal Opportunity, U.S. Department of the Interior, 18th & C Streets, Northwest, Washington, D.C. 20240. (2) Bureau of Land Management, Alaska State Office, 701 "C" Street, Box 13, Anchorage Alaska 99513. (3) Bureau/Office Equal Employment Opportunity Offices. A current listing of such offices may be obtained from System Manager "(a)" below.

Categories of individuals covered by the system:

Individuals who claim to have been discriminated against on the basis of race, color, sex, religion, national origin, handicap and age in violation of various statutes including: Title VI and VII of the Civil Rights Act of 1964 as amended (42 U.S.C. 2000d and 42 U.S.C. 2000e, et seq); in violation of Section 501 of the Rehabilitation Act of 1973, as amended (29 U.S.C. 791, et seq); in violation of Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. 794 et seq) and its implementing regulations; in violation of the Age Discrimination in Employment Act of 1967, as amended (29 U.S.C. 621, et seq); in violation of Title IX of the Education Amendments of 1972 (Pub. L. 92-318); and in violation of Section 403 of the Trans-Alaska Pipeline Authorization Act (Pub. L. 93-153, 87 Stat. 576).

Categories of records in the system:

Contains complaints of discrimination; reports of complaints investigation and supplementary documentary evidence; correspondence, including requests for information from other Federal agencies, and from minority, civil rights, women's and community organizations; documents obtained from recipients of permits, rights-of-way, public land orders, or other Federal authorizations, and their agents, contractors, and subcontractors, under the Trans-Alaska Pipeline Authorization Act (87 Stat. 576); and miscellaneous relevant statistical data obtained from various sources.

Within the Departmental Office for Equal Opportunity, an automated system of records (complaints management information system) will be used to manage and track the processing of complaints received by the Office for Equal Opportunity concerning discrimination based on race, color, national origin, religion, sex, age and/or handicap.

Authority for maintenance of the system:

Title VI of the Civil Rights Act of 1964, as amended (42 U.S.C. 2000d) and its implementing regulations (43 CFR Part 17, Subpart A); Title VII of the Civil Rights Act of 1964, as amended (42 U.S.C. 2000e, et seq) and its implementing regulations (29 CFR Part 1613); Section 501 of the Rehabilitation Act of 1973, as amended (29 U.S.C. 791, et seq); Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. 794 et seq) and its implementing regulations (43 CFR Part 17, Subpart B); the Age Discrimination in Employment Act of 1967, as amended (29 U.S.C. 621 et seq); Title IX of the Education Amendments of 1972 (Pub. L. 92-318); Section 403 of the Trans-Alaska Pipeline Authorization Act (Pub. L. 93-153, 87 Stat. 576).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary use of the system of records is for the investigation and resolution of complaints of discrimination and for the compilation of statistical information on complaints of discrimination in violation of the aforementioned legislation cited under "Authority for Maintenance of the System". Disclosures outside the Department of the Interior may be made: (1) To other Federal agencies charged with the enforcement of equal employment opportunity laws, orders and regulations, on a need-to-know basis to assist these agencies in their enforcement activities; (2) to the U.S. Department of Justice or in a proceeding before a court or adjudicative body when (a) the United States, the Department of the Interior, a component of the Department, or, when represented by the government, an employee of the Department is a party to litigation or anticipated litigation or has an interest in such litigation, and (b) the disclosure is deemed by the Department of the Interior to be relevant or necessary to the litigation, and (c) the Department of the Interior determines that disclosure is compatible with the purpose for which the records were compiled; (3) of information indicating a violation or potential violation of a statute, regulation, rule, order or license, to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license; (4) to a Member of Congress from the record of an individual in response to an inquiry made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are stored in file folders and in automated records systems.

Retrievability:

Files maintained in manual systems may be retrieved by: (1) Name, (2) docket control number; (3) bureau; (4) political jurisdiction; or (5) any combination of those identifiers.

Additionally, within the automated system of records, information is retrieved by: (1) Bureau, (2) docket control number, (3) name, or (4) any combination of those identifiers.

Safeguards:

Records are maintained with safeguards meeting the requirements of the Privacy Act of 1974, as amended (5 U.S.C. 552a) and the Departmental Regulations (43 CFR Part 2, Subpart D). Standards for the maintenance of records subject to the Privacy Act are described in the Departmental regulations (43 CFR 2.48) and involve the content of the records, data collection practices, and the use, safeguarding, and disposal of personal information in the records.

Records system areas are posted with warnings to include access limitation, standards of conduct for employees in handling Privacy Act records (383 DM 9), and possible criminal penalties for violation. Access to hard-copy records is restricted by containing records in a locked metal file cabinet or locked room. Keys to rooms containing system of records are off-master.

Records subject to the Act that are maintained in automated data processing form are subject to safeguards based on recommendations of the National Bureau of Standards contained in "Computer Security Guidelines for Implementing the Privacy Act of 1974" (FIPS Pub. 41, May 30, 1975).

Each bureau is responsible for ensuring that specific procedures are developed for maintaining each of its systems of records with appropriate administrative, technical, and physical safeguards to insure the security and confidentiality of records, and to protect against the possibility of substantial harm, embarrassment, inconvenience, or unfairness to any individual on whom information is maintained. These procedures are developed for both manual and computerized records, as detailed in the Department's regulations (43 CFR 2.51) and in 383 DM 8.

Retention and disposal:

Records are retained and disposed in compliance with the National Archives and Records Administration's General Records Schedule No. 1, Item No. 26.

In addition, the Departmental Office of Information Resources Management and the Department Office for Equal Opportunity will coordinate responsibility for archival record transfers and record storage and disposal methods for the automated system within the Departmental Office for Equal Opportunity.

System manager(s) and address:

(a) For complaints of discrimination arising under Title VI and VII of the Civil Rights Act of 1964, as amended (42 U.S.C. 2000d and 42 U.S.C. 2000e, respectively), Section 501 of the Rehabilitation Act of

1973, as amended (29 U.S.C. 791, et seq); Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. 794 et seq) and its implementing regulations; the Age Discrimination in Employment Act of 1967, as amended (29 U.S.C. 621 et seq); Title IX of the Education Amendments of 1972 (Pub. L. 92-318)—Director, Office for Equal Opportunity, Office of the Secretary, U.S. Department of the Interior, 18th and C Streets, NW., Washington, D.C.

(b) For complaints arising under Section 403 of the Trans-Alaska Pipeline Authorization Act (Pub. L. 93-153, 87 Stat. 576—Alaska State Office Director, Bureau of Land Management, Alaska State Office, 701 'C' Street, Box 13, Anchorage, Alaska 99513.

(c) For complaints of discrimination arising under Title VII of the Civil Rights of 1964, as amended (42 U.S.C. 2000e) which are filed against the Departmental Office for Equal Opportunity, the alternative responsibility for recordkeeping rests with the Human Relations Officer, Human Relations Office, Office of the Secretary, U.S. Department of the Interior, 18th and C Streets, Northwest, Washington, D.C. 20240.

Notification procedure:

A written and signed request stating that the requester seeks information concerning records pertaining to him/her is required, and shall be addressed to the appropriate System Manager. See 43 CFR 2.60.

Record access procedures:

A written and signed request for access shall be addressed to the appropriate System Manager and shall meet the content requirements of 43 CFR 2.63.

Contesting record procedures:

A petition for amendment shall be addressed to the appropriate system manager and must meet the content requirements of 43 CFR 2.71.

Record source categories:

Complainants; recipients of permits, rights-of-way, public land orders, or other Federal authorizations, and their agents, contractors, and subcontractors, under Section 403 of the Trans-Alaska Pipeline Authorization Act (87 Stat. 576) and their employees; the administrators and recipient of Government funds from programs administered by the Department of the Interior; Federal, State, and local government agencies; community, minority, civil rights, and women's organizations; unions, Members of Congress and their staffs; bureaus and offices of the Department of the Interior, and confidential informants, to the extent they possess relevant data otherwise unavailable.

INTERIOR/OS-20

System name:

Secretarial Controlled Correspondence File—Interior, Office of the Secretary—20.

System location:

Executive Secretariat, Office of the Under Secretary, U.S. Department of Interior, 18th and C Streets, NW., Washington, D.C. 20240.

Categories of individuals covered by the system:

Persons who have written to the Secretary of the Interior on official business.

Categories of records in the system:

Identification of writer, subject, date and disposition of correspondence.

Authority for maintenance of the system:

5 U.S.C. 301; 43 U.S.C. 1457; 44 U.S.C. 3101; Reorganization Plan 3 of 1950.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary use of the records is to ascertain the status of correspondence to the Secretary of the Interior. Disclosures outside the Department of the Interior may be made: (1) To a Federal agency so that the agency may respond to an inquiry from the named individual, (2) to the U.S. Department of Justice or in a proceeding before a court or adjudicative body when (a) the United States, the Department of the Interior, a component of the Department, or, when represented by the government, an employee of the Department is a party to litigation or anticipated litigation or has an interest in such litigation, and (b) the disclosure is deemed by the Department of the Interior to be relevant or necessary to the litigation, and (c) the Department of the Interior determines that disclosure is compatible with the purpose for which the records were compiled, (3) of information indicating a violation or potential violation of a statute, regulation, rule, order or license to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license, and (4) to a congressional office from the record of an individual in response to an inquiry the individual has made to the congressional office.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Automated database.

Retrievability:

Indexed by number, name of correspondent, subject(s), date, date received, and disposition.

Safeguards:

Records maintained on secure database with access limited by security software, installed on hardware located in secure room.

Retention and disposal:

In accordance with General Records Schedule No. 23, Item No. 3.

System manager(s) and address:

Executive Secretary, Interior Building, Room 6221, 18th and C Streets, NW., Washington, D.C. 20240.

Notification procedure:

Inquiries regarding the existence of records should be addressed to the System Manager. A written, signed request stating that the requester seeks information concerning his/her records is required. See 43 CFR 2.60.

Record access procedures:

A request for access may be addressed to the System Manager. The request must be in writing and be signed by the requester. The request must meet the content requirements of 43 CFR 2.63.

Contesting record procedures:

A petition for amendment should be addressed to the System Manager and must meet the content requirements of 43 CFR 2.71.

Record source categories:

Individuals on whom the record is maintained.

INTERIOR/OS-25

System name:

Youth Conservation Corps (YCC) Enrollee Records—Interior, Office of the Secretary—25.

System location:

Pertinent Federal Records Center, National Archives and Records Administration.

Categories of individuals covered by the system:

Enrollees (YCC) of USDI Federal YCC program.

Categories of records in the system:

(1) Current enrollee USDI Application Form and Employment and Training Administration Form 27; USDI Medical History Forms; Personal and Statistical Information. (2) Optional; Evaluation of enrollees performance by camp staff; Accident, injury, and treatment forms. (3) Past enrollees; List of names and addresses. (4) Current alternates (YCC) USDI Application Form and Employment and Training Administration Form 27.

Authority for maintenance of the system:

Pub. L. 93-408.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary uses of the records are (a) the identification of current and past enrollees and current alternates or applicants; (b) for the selection of alternate upon enrollee withdrawal from program (YCC), (c) to provide enrollee participation record for school credit. Disclosures outside of the Department of the Interior may be made (1) to the U.S. Department of Agriculture in connection with joint administration of YCC program; (2) to the U.S. Department of Justice or in a proceeding before a court or adjudicative body when (a) the United States, the Department of the Interior, a component of the Department, or, when represented by the government, an employee of the Department is a party to litigation or anticipated litigation or has an interest in such litigation, and (b) the Department of the Interior determines that the disclosure is relevant or necessary to the litigation and is compatible with the purpose for which the records were compiled; (3) of information indicating a violation or potential violation of a statute, regulation, rule, order, or license, to appropriate Federal, State, local, or foreign agencies responsible for investigating or prosecuting the violation or for enforcement or implementing the statute, rule, regulation, order or license; (4) to a congressional office from the record of an individual in response to an inquiry the individual has made to the congressional office; (5) to a Federal agency which has requested information relevant or necessary to its hiring or retention of an employee, or issuance of a security clearance, license, contract, grant or other benefit; (6) to Federal, State, or local agencies where necessary to obtain information relevant to the hiring or retention of an employee, or the issuance of a security clearance, license, contract, grant or other benefit.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in personnel jackets.

Safeguards:

In accordance with National Archives and Records Administration regulations (36 CFR 1228.150, et seq.).

Retention and disposal:

In accordance with Interior Department, Office of the Secretary Records Schedule NCa-48-82-1.

System manager(s) and address:

Director, Office of Historically Black College and University Programs and Job Corps, Department of the Interior, Office of the Secretary, Washington, DC 20240.

Notification procedure:

Inquiries regarding the existence of records should be addressed to the System Manager. A written, signed request stating that the requester seeks information pertaining to him/her is required. See 43 CFR 2.60.

Record access procedures:

A request for access may be addressed to the System Manager. The request must be in writing and be signed by the requester. The request must meet the content requirements of 43 CFR 2.63.

Contesting record procedures:

A petition for amendment should be addressed to the System Manager and must meet the content requirements of 43 CFR 2.71.

Record source categories:

Individual on whom the record is maintained, medical doctor, school or other official.

INTERIOR/OS-26

System name:

Youth Conservation Corps (YCC) Enrollee Payroll Records File—Interior, Office of the Secretary—26.

System location:

Pertinent Federal Records Center National Archives and Records Administration.

Categories of individuals covered by the system:

Youth accepted into the YCC program.

Categories of records in the system:

Personnel, pay, statistical and termination data compiled by camp officials.

Authority for maintenance of the system:

Pub. L. 93-408.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary uses of the records are (a) the identification of current and past enrollees and corpsmembers; (b) for payroll purposes for current enrollees and corpsmember; (c) to develop demographic characteristics of enrollee and corpsmember population for statistical purposes. Disclosures outside the Department of the Interior may be made (1) to the Department of the Treasury for preparation of (a) payroll checks and (b) payroll deduction and other checks to Federal, State, and local government agencies, nongovernmental organizations and individuals; (2) to the Internal Revenue and to State, Commonwealth, Territorial and local government for tax purposes; (3) to the Civil Service Commission in connection with the Civil Service Retirement System; (4) to another Federal agency to which an employee has transferred; (5) to the U.S. Department of Justice or in a proceeding before a court or adjudicative body when (a) the United States, the Department, or, when represented by the government, an employee of the Department is a party to litigation or anticipated litigation or has an interest in such litigation, and (b) the Department of the Interior determines that the disclosure is relevant or necessary to the litigation and is compatible with the purpose for which the records were compiled; (6) of information indicating a violation or potential violation of a statute, regulation, rule, order or license, to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the status, rule regulation, order or license; (7) to a Congressional office from the record of an individual in response to an inquiry the individual has made to the Congressional office; (8) to a Federal agency which has requested information relevant or necessary to its hiring or retention of an employee, or issuance of a security clearance, license, contract, grant or other benefit; (9) to Federal, State, or local agencies where necessary to obtain information relevant to the hiring or retention of an employee, or the issuance of a security clearance, license, contract, grant or other benefit.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Current and past personal and statistical information on magnetic tape and printouts.

Retrievability:

Tape reels are coded by number.

Safeguards:

In accordance with National Archives and Records Administration regulations (36 CFR 1228.150, et seq).

Retention and disposal:

In accordance with General Records Schedule No. 2, Item 1.

System manager(s) and address:

Director, Office of Historically Black College and University Programs and Job Corps, U.S. Department of the Interior, Washington, DC 20240.

Notification procedure:

Inquiries regarding the existence of records should be addressed to the System Manager. A written signed request stating that the requester seeks information concerning records pertaining to him is required. See 43 CFR 2.60.

Record access procedures:

A request for access may be addressed to the System Manager. The request must be in writing and be signed by the requester. The request must meet the content requirements of 43 CFR 2.71.

Contesting record procedures:

A petition for amendment should be addressed to the System Manager and must meet the content requirements of 43 CFR 2.71.

Record source categories:

Individual on whom the record is maintained camp personnel.

INTERIOR/OS-27.

System name:

Youth Conservation Corps (YCC) Enrollee Medical Records—Interior, Office of the Secretary—27.

System location:

Pertinent Federal Records Center, National Archives and Records Administration.

Categories of individuals covered by the system:

Enrollees of past Interior Federal YCC program.

Categories of records in the system:

(1) U.S.C.I. Medical History Forms. (2) Accident, injury and treatment forms. (3) Parental permission portion of the U.S.D.I. Application forms for YCC enrollees.

Authority for maintenance of the system:

Pub. L. 93-408

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary uses of the records are (a) for the adjudication of FERC medical claims, and (b) the adjudication of tort claims. Disclosures outside the Department of the Interior may be made (1) to the U.S. Department of Agriculture in connection with joint administration of the YCC program; (2) to the U.S. Department of Justice or in a proceeding before a court or adjudicative body when (a) the United States, the Department of the Interior, a component of the Department, or, when represented by the government, an employee of the Department is a party to litigation or anticipated litigation or has an interest in such litigation, and (b) the Department of the Interior determines that the disclosure is relevant or necessary to the litigation and is compatible with the purpose for which the records were compiled; (3) of information indicating a violation or potential violation of a statute, regulation, rule, order or license to appropriate Federal, State, local, or foreign agencies responsible for investigating or prosecuting the violation of for enforcing or implementing the statute, rule, regulation, order or license; (4) to a congressional office from the record of an individual in response to an inquiry the individual has made to the congressional office; (5) to a Federal agency which has requested information relevant or necessary to its hiring or retention of an employee, or issuance of a security clearance, license, contract, grant or other benefit.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Manual records.

Retrievability:

By individual name.

Safeguards:

In accordance with National Archives and Records Administration regulations (36 CFR 1228.150, et seq.).

Retention and disposal:

In accordance with Interior Department, Office of the Secretary Records Schedule NC1-46-82-1.

System manager(s) and address:

Director, Office of Historically Black College and University Programs and Job Corps, Department of the Interior, Office of the Secretary, Washington, DC. 20240.

Notification procedure:

Inquiries regarding the existence of records should be addressed to the System Manager. A written signed request stating that the requester seeks information concerning records pertaining to him is required. See 43 CFR 2.60.

Record access procedure:

A request for access may be addressed to the System Manager. The request must be in writing and be signed by the requester. The request must meet the content requirements of 43 CFR 2.63.

Contesting record procedures:

A petition for amendment should be addressed to the System Manager and must meet the content requirements of 43 CFR 2.71.

Record source categories:

Individual on whom the record is maintained, medical doctor, and camp official compiling accident of medical treatment information.

INTERIOR/AJC-28

System name: Youth Conservation Corps (YCC) Research File—Interior, Office of the Secretary—28.

System location: Institute for Social Research, University of Michigan, Ann Arbor, Michigan 48106. Records are joint records of the U.S. Department of the Interior, Office of Manpower Training and Youth Activities and the U.S. Department of Agriculture, Forest Service.

Categories of individuals covered by the system: A random sample of 600 1973 YCC enrollees.

Categories of records in the system: The file contains questionnaire responses, environmental education scores, and verbal skills test data of questionnaire respondents.

Authority for maintenance of the system: Pub.L. 93-408.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1)The primary use of the records is for future research on long term values gained from the YCC experience. Disclosures outside the Department of Justice when related to litigation or anticipated litigation; (2) of information indicating a violation or potential violation of a statute, regulation, rule, order or license, to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license; (3) from the record of an individual in response to an inquiry from a Congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File is on a magnetic tape.

Retrievability: Data on each person is identified by a case number. It can be retrieved by matching the case number with a mailing list containing case numbers, name and address.

Safeguards: Only the research staff have access to the mailing list.

Retention and disposal: Files are being retained indefinitely for possible future longitudinal studies of long range benefit.

System manager(s) and address: (1) Director, Division of Manpower and Youth Conservation Programs, U.S. Department of Agriculture, Forest Service, Washington, D.C. 20250. (2) Director, Office of Manpower Training and Youth Activities, U.S. Department of the Interior, Washington, D.C. 20240.

Notification procedure: Inquiries regarding the existence of records should be addressed to the System Manager. A written, signed request stating that the requester seeks information concerning records pertaining to him is required. See 43 CFR 2.60.

Record access procedures: A request for access may be addressed to the System Manager. The request must be in writing and be signed by the requester. The request must meet the content requirements of 43 CFR 2.63.

Contesting record procedures: A petition for amendment should be addressed to the System Manager and must meet the content requirements of 43 CFR 2.71.

Record source categories: The individual covered in the sample.

INTERIOR/OS-29

System name:

Youth Conservation Corps (YCC) Recruitment Files—Interior, Office of the Secretary—29.

System location:

Records are kept at participating field stations of the U.S. Department of the Interior's Fish and Wildlife Service and National Park Service. A listing of field locations may be obtained from the pertinent system manager noted below.

Categories of individuals covered by the system:

Youths between the ages of 15 and 18 who file an application to attend a Department of the Interior, or State Grant YCC camp.

Categories of records in the system:

The system consists of application forms submitted by eligible youth and contains the following categories of information: Name, address, telephone number, birthdate, sex, and name of parent or guardian.

Authority for maintenance of the system:

Pub. L. 93-408.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary use of the records is for selection among applications of all eligible applications. Persons selected are either offered employment in a YCC camp or placed on an alternate list to be used in case of declination. Disclosures outside the Department of the Interior may be made (1) to the U.S. Forest Service, States, counties, cities and other subgrantees for employment purposes; (2) to the U.S. Department of Justice or in a proceeding before a court of adjudicative body when (a) the United States, the Department of the Interior, a component of the Department, or, when represented by the government, an employee of the Department is a party to litigation or anticipated litigation or has an interest in such litigation, and (b) the Department of the Interior determines that the disclosure is relevant or necessary to the litigation and is compatible with the purpose for which the records were compiled; (3) of information indicating a violation or potential violation of a statute, regulation, rule, order or license, to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license; (4) to a congressional office from the record of an individual in response to an inquiry the individual has made to the congressional office; (5) to Federal, State, or local agencies where necessary to obtain information relevant to the hiring or retention of an employee, or the issuance of a security clearance, license, contract, grant or other benefit.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Manual.

Retrievability:

Applications are filed alphabetically by name of individual applicant.

Safeguards:

Records are kept locked in confidential files.

Retention and disposal:

Pending approval of the Archivist of the U.S.

System manager(s) and address:

(1) Chief, Division of Refuges, U.S. Fish and Wildlife Service, U.S. Department of the Interior, Washington, D.C. 20240; (2) Direc-

tor, Office of Youth Activities, National Park Service, U.S. Department of the Interior, Washington, D.C. 20240.

Notification procedure:

Inquiries regarding the existence of records should be addressed to the appropriate system manager. A written, signed request stating that the requester seeks information concerning records pertaining to him is required. See 43 CFR 2.60.

Record access procedures:

A request for access may be addressed to the appropriate System Manager. The request must be in writing and be signed by the requester. The request must meet the content requirements of 43 CFR 2.63.

Contesting record procedures:

A petition for amendment should be addressed to the appropriate System Manager and must meet the content requirements of 43 CFR 2.71.

Record source categories:

The records in this system originate in two ways: (1) The YCC application form prepared by the applicant and any additions or corrections thereto, also prepared by the applicant. (2) Additional information added to the file by the State recruiter concerning the applicant's selection, nonselection, declination, etc.

INTERIOR/OS-35

System name: Library Circulation Control System—Interior, Office of the Secretary—35.

System location: (1) Center for Information and Library Services, U.S. Department of the Interior, 18th and C Streets, NW, Washington, D.C. 20240. (2) Libraries maintained by bureaus and offices of the department. (List of addresses may be obtained from the System Manager.)

Categories of individuals covered by the system: Borrowers of library materials from Department of the Interior libraries.

Categories of records in the system: Borrowers' name and working address, book call number and due date.

Authority for maintenance of the system: 43 U.S.C. 67a, 1456, 1467, 40 U.S.C. 483(b), 44 U.S.C. 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The primary use of the records is control of library materials. Disclosures outside the Department of the Interior may be made (1) to the U.S. Department of Justice when related to litigation or anticipated litigation; (2) of information indicating a violation or potential violation of a statute, regulation, rule, order or license, to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Manual card file.

Retrievability: Name, call number, date due.

Safeguards: Attended constantly during working hours, library locked thereafter.

Retention and disposal: Current year plus one, disposed of in regular trash.

System manager(s) and address: Chief, Center for Information and Library Services, Department of the Interior, Washington, D.C. 20240.

Notification procedure: Inquiries regarding the existence of records shall be addressed to the System Manager with respect to records located in the Center for Information and Library Services, and to individual librarians with respect to records located in the facility for which each is responsible. A written, signed request stating that the requester seeks information concerning records pertaining to him is required. See 43 CFR 2.60.

Record access procedures: A request for access shall be addressed to the System Manager, with respect to records located in the Center for Information and Library Services, and to individual librarians with respect to records located in the facility for which each is responsible. The request must be in writing and be signed by the requester. The request must meet the content requirements of 43 CFR 2.63.

Contesting record procedures: A petition for amendment shall be addressed to the System Manager and must meet the content requirements of 43 CFR 2.71.

Record source categories: Individual using library services.

INTERIOR/OS-36

System name:

Telephone Call Detail Records—Interior, Office of the Secretary-36.

System location:

U.S. Department of the Interior (DOI) and bureau offices nationwide.

Categories of individuals covered by the system:

Individuals (generally Department, bureau/office, and contractor employees) who make long distance calls and individuals who received telephone calls placed from or charged to DOI telephones.

Categories of records in the system:

Records relating to use of DOI telephone systems to place long distance calls; records indicating assignment of telephone numbers of employees; and records relating to the location of telephones. Telephone calls made to the Department's Office of Inspector General Hotline number are excluded from the records maintained in this system pursuant to the provisions of 5 U.S.C., Appendix 3, Section 7(b) (Inspector General Act of 1978).

Authority for maintenance of the system:

31 U.S.C. 1348(b), which prohibits agencies from using appropriated funds to pay for personal calls; 44 U.S.C. 3101, which authorizes agencies to create and preserve records documenting agency organizations, functions, procedures and transactions; and 41 CFR 201-38.007, which limits the use of Government telephone systems to the conduct of official business.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Records and data may be disclosed as is necessary, (1) to Members of Congress to respond to inquiries made on behalf of individual constituents that are record subjects; (2) to representatives of the General Services Administration or the National Archives and Records Administration who are conducting records management inspections under authority of 44 U.S.C. 2904 and 2906; (3) in response to a request for discovery or for the appearance of a witness, to the extent that what is disclosed in relevant to the subject matter involved in a pending judicial or administrative proceeding; (4) in a proceeding before a court or adjudicative body to the extent that they are relevant and necessary to the proceeding; (5) in the event that material in the system indicates a violation of law, whether civil or criminal or regulatory in nature, and whether arising by general statute, or by regulation, rule or order issued pursuant thereto, the relevant records may be disclosed to the appropriate agency, whether Federal, State, local, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order, issued pursuant thereto; (6) to employees of the Department to determine responsibility for telephone calls and to resolve any disputes and facilitate the verification of discrepancies relating to billing, payment, or reconciliation of telephone operational or accountability records; (7) to respond to a Federal agency's request made in connection with the hiring or retention of an employee, the letting of a contract or issuance of a grant, license, or other benefit by the requesting agency, but only to the extent that the information disclosed is relevant and necessary to the requesting agency's decision on the matter; (8) to a telecommunications company providing telecommunications support to permit servicing the account.

Disclosure to consumer reporting agencies:

Disclosure pursuant to 5 U.S.C. 552a(b)(12); Disclosures may be made from this system to "consumer reporting agencies" as defined in the Fair Credit Reporting Act (15 U.S.C. 1681a(f)) or the Federal Claims Collection Act of 1966 (31 U.S.C. 3701(a)(3)).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Record data on computer processing media or paper files.

Retrievability:

Records are retrieved by employee name, telephone number, identification number, or by an account code.

Safeguards:

Access to the records is limited to Government employees who have an official need to use the records in the performance of their duties. Records are stored in a controlled area and maintained with safeguards meeting the requirements of 43 CFR 2.51 for computer and paper records. Automated records are protected from unauthorized access through password identification procedures and other system based protection methods.

Retention and disposal:

Pending approval of the Archivist of the U.S.

System manager(s) and address:

(1) Fish and Wildlife Services, Chief, Division of Information Resources Management, Room 801, 1730 K Street NW., Washington, DC 20240 (202) 653-7464.

(2) U.S. Geological Survey, Chief, Branch of Telecommunications Services, 12201 Sunrise Valley Dr., Mail Stop 809, Reston, VA 22092 (703) 648-7006.

(3) Bureau of Indian Affairs, Telecommunications Manager, Office of Facilities Management, P.O. Box 1248, Albuquerque, NM 87103 (505) 766-2846.

(4) Minerals Management Service, Chief, Safety and Facilities Management Branch, Mail Stop 635, 1110 Herndon Parkway Building, Herndon, VA 22070 (703) 435-6220.

(5) Bureau of Mines, Telecommunications Manager, 5th Floor, 2401 E Street, Washington, DC 20240 (202) 634-1032.

(6) Bureau of Reclamation, Telecommunications Manager, Denver Federal Center, Code D7900, P.O. Box 25007, Denver, Colorado 80225 (303) 236-0970.

(7) Office of the Secretary, Office of Administrative Services, Chief, Branch of Telecommunications Management, Room 1449, 18th & C Streets, NW. Washington, DC 20240 (202) 343-1412.

(8) Office of Surface Mining Reclamation & Enforcement, Telecommunications Manager, Room 5131, 1100 L Street, Washington, DC 20240 (202) 343-5447.

(9) National Park Service, Chief, Telecommunications Engineering, P.O. Box 25287, Denver, CO 80225 (303) 969-2084.

(10) Bureau of Land Management, Chief, Branch of Telecommunications, Mail Stop 208 Prmr, 18th & C Street, NW. Washington, DC 20240 (202) 653-8853.

(11) Office of Inspector General Administration, 18th & C Street, NW., Room 5346, Washington, DC 20240 (202) 343-4356.

Notification procedure:

Requests for notification regarding the existence of call detail report information should be addressed to the appropriate system manager. A written and signed request stating that the request stating that the requester seeks information concerning call records pertaining to him/her is required. See 43 CFR 2.60.

Record access procedures:

Requests for access to call detail information should be address to the appropriate system manager. All requests must be in writing and meet the content requirements of 43 CFR 2.63.

Contesting record procedures:

A petition for amendment shall be addressed to the appropriate systems manager, and meet the requirements of 43 CFR 2.71.

Record source categories:

Telephone assignment records; call detail listings; results of administrative inquiries relating to assignment of responsibility for placement of specific long distance calls.

Systems exempted from certain provisions of the act:

None.

INTERIOR/OS-45

System name:

Security Clearance Files and Other Reference Files—Interior, Office of the Secretary—45.

System location:

Office of the Secretary, Office of Administrative Services (PMO), Division of Enforcement and Security Management, U.S. Department of the Interior, 18th and C Streets NW, Washington, D.C. 20240.

Categories of individuals covered by the system:

Employees in the Office of the Secretary, Other Departmental Offices, Bureau Heads, Bureau Security Officers, and employees in Independent Agencies, Councils, and Commissions who are provided administrative support, whose duties have been designated special sensitive, critical sensitive, non-critical sensitive, or clearance for the FEMA special access program.

Categories of records in the system:

Contains copies of SF-85 or SF-86 and/or SF-71 supplied by individual concerned as well as copies of letters of transmittal between Interior and the Office of Personnel Management concerning the individual's background investigation. Further, contains copy of certification of clearance status and briefing and/or debriefing certificate signed by individual as appropriate. Card file reflects summary, case number and disposition of the case number and disposition of the case file following review.

Authority for maintenance of the system:

Executive Order 10450.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary uses of the records are for the identification of (a) Office of the Secretary personnel and heads of Bureaus and their respective Security Officers who have been granted a security clearance; (b) persons in a pending clearance status awaiting the results and adjudication of Office of Personnel Management investigations; and (c) persons whose clearance has been terminated in the last five years due to an administrative down-grading, transfer to other agencies, employment, or retirement. Disclosures outside the Department of the Interior may be made (1) to the U.S. Department of Justice or in a proceeding before a court of adjudicative body when (a) the United States, the Department of the Interior, a component of the Department, or, when represented by the government, an employee of the Department is a party to litigation or anticipated litigation or has an interest in such litigation, and (b) the Department of the Interior determines that the disclosure is relevant or necessary to the litigation and is compatible with the purpose for which the records were compiled; (2) of information indicating a violation or potential violation of a statute, regulation, rule, order or license, to appropriate Federal state, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license; (3) to a congressional office from the record of an individual in response to an inquiry the individual has made to the congressional office; (4) to a Federal agency which has requested information relevant or necessary to its hiring or retention of an employee, or issuance of a security clearance, license, contract, grant or other benefit; (5) to Federal, State or local agencies where necessary to obtain information relevant to the hiring or retention of an employee, or the issuance of a security clearance, license, contract, grant or other benefit; (6) to the Office of Personnel Management for matters concerned with oversight activities necessary for the Office to carry out its legally authorized Government-wide personnel management programs and functions.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Indexed by name.

Safeguards:

Stored in a locked room. Access granted only to cleared personnel on official business.

Retention and disposal:

Records are maintained and disposed of in accordance with General Records Schedule No. 18, Item No. 23.

System manager(s) and address:

Chief, Division of Enforcement and Security Management, Office of Administrative Services (PMO), Office of the Secretary, Department of the Interior, 18th and C Streets, NW, Washington, D.C. 20240.

Notification procedure:

Same as the above. A written and signed request stating that the requester seeks information concerning records pertaining to him/her is required. See 43 CFR 2.60.

Record access procedures:

Same as the above. The request must be in writing, signed by the requester, and meet the content requirements of 43 CFR 2.63.

Contesting record procedures:

A petition for amendment shall be addressed to the System Manager and must meet the requirements of 43 CFR 2.71.

Record source categories:

Individual on whom the record is maintained as well as data furnished by other Federal agencies on the person concerned.

INTERIOR/OS-46

System name:

Secretarial Subject Files—Interior, Office of the Secretary—46.

System location:

Office of the Secretary, Office of Administrative Services (PMO), Division of General Services, U.S. Department of the Interior, 18th and C Streets, NW, Washington, D.C. 20240.

Categories of individuals covered by the system:

Those who have had correspondence with the Secretary, Under Secretary, Assistant Secretaries, Deputy Assistant Secretaries, and individuals acting in these capacities.

Categories of records in the system:

Index cards containing the name, dates, and subject codes for retrieval of subject files, subject files of correspondence.

Authority for maintenance of the system:

5 U.S.C. 301, 43, U.S.C. 1457, 44 U.S.C. 3101, Reorganization Plan 3 of 1950.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary use of the records are to support the operational, program and policy decisions of the Secretary of the Interior, Under Secretary, Assistant Secretaries, and Deputy Assistant Secretaries. Disclosures outside the department are (1) to the U.S. Department of Justice or in a proceeding before a court or adjudicative body when (a) the United States, the Department of the Interior, a component of the Department, or, when represented by the government, an employee of the Department is a party to litigation or anticipated litigation or has an interest in such litigation, and (b) the Department of the Interior determine that the disclosure is relevant or necessary to the litigation and is compatible with the purpose for which the records were compiled, (2) of information indicating a violation or potential violation of a statute, regulation, rule, order or license, to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license, and (3) to a Member of Congress from the record of an individual in response to an inquiry made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

3" x 5" index cards; correspondence filed in folders.

Retrievability:

Indexed by subject.

Safeguards:

Stored in locked office.

Retention and disposal:

Retained and disposed of in accordance with the Office of the Secretary Comprehensive Records Disposal Schedule K-1.

System manager(s) and address:

Chief, Division of General Services (PMO), Office of Administrative Services, U.S. Department of the Interior, 18th and C Streets, NW, Washington, D.C. 20240.

Notification procedure:

A written and signed request stating that the requester seeks information concerning records pertaining to him/her. See 43 CFR 2.60.

Record access procedures:

Submit requests to the System Manager. The request must be in writing, signed by the requester, and meet the requirements of 43 CFR 2.63.

Contesting record procedures:

A petition for amendment shall be addressed to the System Manager and must meet the requirements of 43 CFR 2.71.

Record source categories:

Correspondence or documents signed at the Secretarial level.

INTERIOR/OS-47

System name:

Parking Assignment Record—Interior, Office of the Secretary—47.

System location:

Office of Administrative Services (PMO), Division of General Services, U.S. Department of the Interior, 18th and C Streets, NW, Washington, D.C. 20240.

Categories of individuals covered by the system:

Individual requesting a parking permit or joining a carpool from both the Federal and private sector.

Categories of records in the system:

The records contain the individual's name, social security number, telephone number at work, service computation date, vehicle make and model, state of registration, license tag number, residence address, location of employment, parking space location and number, and number of carpool riders.

Authority for maintenance of the system:

40 U.S.C. 471, et seq., FMC 74-1 FPMR Temporary Regulation D-69.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary uses of the records are (a) internal control over the assignment of parking permits (b) assistance to individuals in locating carpools. Disclosures outside the department are (1) to a Federal agency that has jurisdiction over parking spaces, (2) to the U.S. Department of Justice or in a proceeding before a court or adjudicative body when (a) the United States, the Department of the Interior, a component of the Department, or, when represented by the government, an employee of the Department is a party to litigation or anticipated litigation or has an interest in such litigation, and (b) the Department of the Interior determines that the disclosure is relevant or necessary to the litigation and is compatible with the purpose for which the records were compiled, (3) or information indicating a violation of a statute, regulation, rule, order or license, to appropriate Federal, State, local, or foreign agencies responsible for investigating or prosecuting the violation or for enforcing of implementing the statute, rule, regulation, order to license and (4) to a Member of Congress from the record of an individual in response to an inquiry made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained on computer printout.

Retrievability:

By individual's name, social security number, zip code of individual's residence, telephone number at work, service computation date, vehicle make and model, state of registration, license tag number, location of employment, parking space location and number, and number of carpol riders.

Safeguards:

Maintained with safeguards meeting the requirements of 43 CFR 2.51 for computerized records.

Retention and disposal:

Retained and disposed of in accordance with General Records Schedule No. 11, Item No. 4.

System manager(s) and address:

Chief, Division of General Services, Office of Administrative Services (PMO), U.S. Department of the Interior, 18th and C Streets, NW, Washington, D.C. 20240.

Notification procedure:

A written and signed request stating that the requester seeks information concerning records pertaining to him/her. See 43 CFR 2.60.

Record access procedures:

Submit requests to the System Manager. The request must be in writing, signed by the requester, and meet the content requirements of 43 CFR 2.63.

Contesting record procedures:

A petition for amendment shall be addressed to the System Manager and must meet the requirements of 43 CFR 2.71.

Record source categories:

Data furnished by the individual.

INTERIOR/OS-51

System name:

Property Accountability and Control System—Interior, Office of the Secretary—51.

System location:

Property Management Section, Branch of Office Services, Division of General Services, Office of Administrative Services (PMO), Office of the Secretary, U.S. Department of the Interior, Washington, D.C. 20240.

Categories of individuals covered by the system:

Individuals designated as Custodial Officers in the Office of the Secretary, Other Departmental Offices, and Independent Agencies, Councils, and Commissions who are provided administrative support and who are charged with the care, utilization, recordkeeping, etc., for property assigned to them.

Categories of records in the system:

The records system contains computer identification codes for each Custodial Officer and descriptive data about each piece of property (excluding supplies) assigned.

Authority for maintenance of the system:

40 U.S.C. 483

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary use of the records is the internal control of property assigned to offices. Disclosures outside the Department are (1) to the U.S. Department of Justice or in a proceeding before a court or adjudicative body when (a) the United States, the Department of the Interior, a component of the Department, or, when represented by the government, an employee of the Department is a party to litigation or anticipated litigation or has an interest in such litigation, and (b) the Department of the Interior determines that the disclosure is relevant or necessary to the litigation and is compatible with the purpose for which the records were compiled, (2) of information indicating a violation or potential violation of a statute, regulation, rule, order or license, to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license, (3) to respond to General Accounting Office audits, and (4) to a Member of Congress from the record of an individual in response to an inquiry made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are maintained on computer media.

Retrievability:

System is indexed by code assigned to each Custodial Officer or by various property system codes.

Safeguards:

Maintained with safeguards meeting the Computer Security Guidelines for Implementing the Privacy Act of 1974 and the Computer Security Act of 1987.

Retention and disposal:

Retained and disposed of in accordance with General Records Schedule No. 3, Item No. 10a.

System manager(s) and address:

Chief, Property Management Section, Branch of Office Services, Office of Administrative Services, U.S. Department of the Interior, Washington, D.C. 20240.

Notification procedure:

A written and signed request stating that the requester seeks information concerning records pertaining to him/her. See 43 CFR 2.60.

Record access procedures:

Submit requests to the System Manager. The request must be in writing, signed by the requester, and meet the content requirements of 43 CFR 2.63.

Contesting record procedures:

A petition for amendment shall be addressed to the System Manager and must meet the requirements of 43 CFR 2.71.

Record source categories:

Custodial Officer who is assigned the property by code.

INTERIOR/OS-52

System name:

Passport and Visa Records—Interior, Office of Secretary—52.

System location:

Division of General Services Office of Administrative Services (PMO), Office of the Secretary. U.S. Department of the Interior, 18th and C Streets, NW, Washington, DC. 20240.

Categories of individuals covered by the system:

Employees or individuals who travel on official business on behalf of the Department of the Interior, and Independent Agencies, Councils, and Commissions who are provided administrative support.

Categories of records in the system:

The records system contains passports and visas.

Authority for maintenance of the system:

22 U.S.C. 211a.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary use of the records are to initiate and maintain passports and visas. Disclosures outside the Department are (1) the transfer of passports and visas to other Federal agencies, (2) to the U.S. Department of Justice or in a proceeding before a court or adjudicative body when (a) the United States, the Department of the Interior, a component of the Department, or, when represented by the government, an employee of the Department is a party to litigation or anticipated litigation or has an interest in such litigation, and (b) the Department of the Interior determines that the disclosure is relevant or necessary to the litigation and is compatible with the purpose for which the records were compiled, (3) of information indicating a violation or potential violation of a potential violation of a statute, regulation, rule, order or license, to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license, and (4) to a congressional office from the record of an individual in response to an inquiry the individual has made to the congressional office.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Passports and visas are maintained in a locked safe.

Retrievability:

Passports and visas are filed by name.

Safeguards:

Passports and visas are stored in a locked room in manipulation proof three way combination lock steel safes. Access granted only to designated personnel.

Retention and disposal:

General Records Schedule No. 9, Item No. 4

System manager(s) and address:

Chief, Division of General Services, Office of Administrative Services, Department of the Interior, 18th and C Street, NW, Washington, DC. 20240

Notification procedure:

A written and signed request stating that the requester seeks information concerning records pertaining to him/her. See 43 CFR 2.60.

Record access procedures:

Submit request to the System Manager. The request must be in writing, signed by the requester, and meet the content requirements of 43 CFR 2.63.

Contesting record procedures:

A petition for amendment shall be addressed to the System Manager and must meet the requirements of 43 CFR 2.71.

Record source categories:

Federal employees and individuals who travel on behalf of the Department.

INTERIOR/OS-57

System name:

Privacy Act Files—Interior, Office of the Secretary—57.

System location:

(1) Office of Information Resources Management, Division of Directives and Regulatory Mgt., U.S. Department of the Interior, 18th and C Streets, NW, Washington, D.C.20240. (2) Offices of Privacy Act Officers of each bureau of the Department. (See Appendix for addresses of bureau headquarters offices.) (3) Offices of Systems Managers and other officials authorized to receive requests for notification and access and petitions for amendments. (See pertinent system notices for addresses.)

Categories of individuals covered by the system:

(1) Individuals who have submitted requests for notification, access or amendment of their records maintained as systems of records under the Privacy Act.

(2) Individuals who have filed Privacy Act appeals with Assistant Secretary—Policy, Budget, and Administration under the department's regulations.

Categories of records in the system:

Requests, appeals, decisions and related correspondence.

Authority for maintenance of the system:

5 U.S.C. 552a.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary uses of the records are for action on requests and appeals of Privacy Act matters and to gather program administration information for management and reporting purposes. Disclosures outside the Department of the Interior may be made (1) to other Federal agencies having a subject matter interest in a request or an appeal or a decision thereon; (2) to the U.S. Department of Justice or in a proceeding before a court or adjudicative body when (a) the United States, the Department of the Interior, a component of the Department, or, when represented by the government, an employee of the Department is a party to litigation or anticipated litigation or has an interest in such litigation, and (b) the Department of the Interior determines that the disclosure is relevant or necessary to the litigation and is compatible with the purpose for which the records were complied; (3) of information indicating a violation or potential violation of a statute, regulation, rule, order or license, to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license; (4) to a congressional office from the record of an individual in response to an inquiry the individual has made to the congressional office.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in manual form.

Retrievability:

By individual name.

Safeguards:

Maintained with safeguards meeting the requirements of 43 CFR 2.51.

Retention and disposal:

Records are retained and disposed of in accordance with General Records Schedule No. 14, Items 25 and 26.

System manager(s) and address:

(1) For records in the Office of Information Resources Mgt., Chief, Division of Directives and Regulatory Mgt., U.S. Department of the Interior, 18th and C Streets, NW, Washington, D.C. 20240. (2) For other records: Bureau Privacy Act Officers or System Managers. (See Appendix for addresses of bureau headquarters offices or pertinent systems of records notices for System Manager addresses.)

Notification procedure:

Contact the pertinent System Manager. A written, signed request stating that the requester seeks information concerning records pertaining to him/her is required. See 43 CFR 2.60.

Record access procedures:

A request for access should be addressed to any office or offices to which the requester has submitted a request for access or an appeal. The request must be in writing and be signed by the requester. The request must meet the content requirements of 43 CFR 2.63.

Contesting record procedures:

A petition for amendment should be addressed to the appropriate System Manager and must meet the content requirements of 43 CFR 2.71.

Record source categories:

Individuals on whom records are kept, Department employees who act on requests and appeals received from individuals.

INTERIOR/OS-58

System name:

Administrative Operations Records on Employees, Department System—Interior, Office of the Secretary-58.

System location:

All Departmental bureaus and offices including regional and field facilities thereof.

Categories of individuals covered by the system:

Employees and former employees of the Department of the Interior, and independent agencies and commissions for which the Department provides administrative support.

Categories of records in the system:

Records involving administrative and operational relationships between the employee and the office in which the employee works, which include: Workload and productivity records for scheduling purposes; travel activity and budgets; accident and safety records, property accountability; studies and special projects; committee and detail assignments; locator indexes, parking space assignments, mailing lists, and similar records. Records that identify employees and their organization, location, position title, occupational series and grade, office telephone number, functional or organizational titles assigned for program management purposes, home address and telephone number, and other related data.

Authority for maintenance of the system:

5 U.S.C. 301, 3101, 5105-5115, 5501-5516, 5701-5709, 31 U.S.C. 66a, 240-243, 40 U.S.C. 483(b), 43 U.S.C. 1467, 44 U.S.C. 3101, Executive Order No. 11807.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary uses of the records are administrative in nature and reflect the employee's relationship to the activities and functions of the office. They are also used to prepare and maintain data bases, directories, and listings showing organizational and functional position assignments; staffing tables; listings for budget, organizational, space, administrative services, and training planning purposes; and the preparation of employee telephone directories. Disclosures outside the Department of the Interior may be made: (1) To the U.S. Department of Justice or in a proceeding before a court or adjudicative body when (a) the United States, the Department of the Interior, a component of the Department, or, when represented by the government, an employee of the Department is a party to litigation or anticipated litigation or has an interest in such litigation, and (b) the Department of the Interior determines that the disclosure is relevant or necessary to the litigation and is compatible with the purpose for which the records were compiled; (2) of information indicating a violation or potential violation of a statute, regulation, rule, order, or license, to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license; (3) to a congressional office from the record of an individual in response to an inquiry the individual has made to the congressional office; (4) to other Federal agencies for related program management purposes; (5) to the public in the form of agency telephone directories.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained on paper in file folders or card files in file cabinets, word processing media, microfiche, or computer files.

Retrievability:

By name or control number assigned to employee.

Safeguards:

In accordance with the requirements of 43 CFR 2.51.

Retention and disposal:

Retained until completion of work project or activity to which the record pertains, or until separation of the employee, at which time the record is disposed of in accordance with appropriate records schedules. Depending on the subject matter of the records, various disposal schedules may apply to the records in this system. In addition to pertinent bureau schedules, certain General Records Schedules (GRS) may typically apply as follows: GRS 2, item 12; GRS 6, item 5; GRS 11, items 1,3,4; GRS 13, item 5; GRS 16, item 12; GRS 18, items 13,17; GRS 20, item 29; GRS 23, items 1,2,5.

System manager(s) and address:

For the records located in the office in which the individual is (or was) employed, the appropriate personnel or administrative officer. For records related to special listings or directories of employees related to organizational, functional, or program assignments, the office maintaining the listing or directory.

Notification procedure:

Inquiries regarding the existence of records should be addressed to the pertinent personnel office of the organization or office in which the individual is (or was) employed, or the office maintaining the listing or directory containing information about the individual. See 43 CFR 2.60.

Record access procedures:

A request for access to records should be addressed to the pertinent personnel office of the facility at which he/she is (or was) employed, or the office maintaining the listing or directory containing information about the individual. See 43 CFR 2.61 for submission requirements.

Contesting record procedures:

A petition for amendment shall be addressed to the appropriate System Manager and must meet the content requirements of 43 CFR 2.71.

Record source categories:

Information in this system of records either comes from the individual to whom it applies, or is obtained through internal office procedures with which the individual is involved. Other sources are official agency records or documents designating employees to serve in special functional or organizational assignments.

INTERIOR/OS-60

System name:

Safety Management Information System—Interior, Office of the Secretary—60.

System location:

(1) Safety Office, Bureau of Reclamation, U.S. Department of the Interior, P.O. Box 25007, Code D-7600, Denver, CO 80225.

(2) All field offices and bureau headquarters retain copies of source document.

Categories of individuals covered by the system:

Employees, contractors, concessioners and public visitors to Interior facilities who have been involved in an accident resulting in personal injury, and/or property damage.

Categories of records in the system:

Contains the name, social security number (employees only), occupation, date and location of accident; data elements about the accident for analytical purposes; and descriptive narrative concerning the reason for the loss producing event.

Authority for maintenance of the system:

(1) 5 U.S.C. 7901, (2) 28 U.S.C. 2671-2680, (3) 31 U.S.C. 240-243, (4) Executive Order 12196 (1980), (5) 29 CFR Part 1960.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary uses of the records are (a) provide summary data of injury, illness and property loss information to bureaus in a number of formats for analytical purposes in establishing program to reduce or eliminate loss producing problem areas, (b) provide listings of individual cases to bureaus to insure that accidents occurring are reported through the Safety Management Information System, and (c) adjudicating tort and employee claims. Disclosures outside the Department of the Interior may be made. (1) to a Federal, State or local government agency that has partial or complete jurisdiction over the claim or related claims; (2) provide to the Department of Labor quarterly summary listings of fatalities and disabling injuries and illnesses in compliance with 29 CFR 1960.6; (3) to the U.S. Department of Justice or in a proceeding before a court or adjudicative body when (a) the United States, the Department of the Interior, a component of the Department, or, when represented by the government, an employee of the Department is a party to litigation or anticipated litigation or has an interest in such litigation, and (b) the Department of the Interior determines that the disclosure is relevant or necessary to the litigation and is compatible with the purpose for which the records were compiled; (4) of information indicating a violation or potential violation of a statute, regulation, rule, order or license, to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license; and (5) to a congressional office from the record of an individual in response to an inquiry the individual has made to the congressional office.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are maintained on magnetic tape, with copies of source document maintained at bureau safety management headquarters, regional, and field offices where accident is reported.

Retrievability:

System is indexed by bureau assigned document control number.

Safeguards:

Maintained with safeguards meeting the 'Computer Security Guidelines for Implementing the Privacy Act of 1974.'

Retention and disposal:

Records are retained and disposed of in accordance with General Records Schedule (GRS) 10, item 5; GRS-18, item 11; and GRS-20.

System manager(s) and address:

Department Safety and Health Program Manager, Safety Office, Bureau of Reclamation, U.S. Department of the Interior, P.O. Box 25007, Code D-7600, Denver, CO 80225.

Notification procedure:

Inquiries regarding the existence of records should be addressed to the System Manager or the field office in which the source document pertaining to the individual would be filed. A written and signed request stating that the requester seeks information concerning records pertaining to him/her is required. See 43 CFR 2.60.

Record access procedures:

A request for access may be addressed to the System Manager or the field safety office in which the source document for the individual would be filed. The request must be in writing and be signed by the requester. The request must meet the content requirements of 43 CFR 2.63.

Contesting record procedures:

A petition for amendment shall be addressed to the System Manager and must meet the requirements of 43 CFR 2.71.

Record source categories:

Supervisor of employee involved in accident. Investigation conducted by supervisor of employee and may include safety professionals and other management officials of the involved bureau of office.

INTERIOR/OS-65

System name:

Biography File—Interior, Office of the Secretary—65.

System location:

(1) Office of Public Affairs, Research Office, U.S. Department of the Interior, 18th and C Streets, NW, Washington D.C. 20240. (2) Bureau public information offices in the Bureau of Indian Affairs, the Bureau of Reclamation, the U.S. Geological Survey, the National Park Service, the U.S. Fish and Wildlife Service, Bureau of Land Management (BLM), Bureau of Mines, Office of Surface Mining (OSM), and the Minerals Management Service. (See System Manager paragraph for addresses.).

Categories of individuals covered by the system:

Officials of the Department of the Interior, including the Secretary, Assistant Secretaries, heads of Bureaus and Offices.

Categories of records in the system:

The records are biographical sketches, notes, resume, and news releases generally containing the individual's name, place and date of birth, education, military service, work experience, publications, membership in professional or scientific societies, marital status plus occasional newspaper clippings about the individual and in some cases a photograph of the individual.

Authority for maintenance of the system:

5 USC 301, 3101, 43 USC 1467, 44 USC 3101, 30 USC 1, 3, 5-097.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary use of the records is to maintain biographic information on key officials of the Department. Disclosures outside the Department of the Interior may be made (1) to the news media and public for public information purposes; (2) to the U.S. Department of Justice or in a proceeding before a court or adjudicative body when (a) the United States, the Department of the Interior, a component of the Department, or, when represented by the government, an employee of the Department is a party to litigation or anticipated litigation or has an interest in such litigation, and (b) the Department of the Interior determines that the disclosure is relevant or necessary to the litigation and is compatible with the purpose for which the records were compiled; (3) to a congressional office from the record of an individual in response to an inquiry the individual has made to the congressional office.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Biographies are in press release form, maintained in file folders.

Retrievability:

Alphabetized by name.

Safeguards:

Maintained with safeguards meeting the requirements of 43 CFR 2.51.

Retention and disposal:

Maintained and destroyed in accordance with General Records Schedule No. 14, item 6.

System manager(s) and address:

(Unless otherwise noted, the address for all managers is U.S. Department of the Interior, 18th and C Streets, NW, Washington, DC 20240. (1) For the Office of Public Affairs. (2) For the Bureau of Indian Affairs: Director. Public Information Staff, Bureau of Indian Affairs. (3) For the Bureau of Reclamation: Director, Office of Public Affairs, Bureau of Reclamation. (4) For the Geological Survey: Public Affairs Officer, U.S. Geological Survey, the National Center, Reston, Virginia 22092. (5) For BLM: Chief, Office of Public

Affairs (130), Bureau of Land Management. (6) For the National Park Service: Chief, Office of Public Affairs, National Park Service. (7) For the Fish and Wildlife Service: Assistant Director—Public Affairs, U.S. Fish and Wildlife Service. (8) For the Bureau of Mines: Chief, Office of Technical Information, Bureau of Mines, 2401 E Street, NW, Washington, D.C. 20241. (9) For OSM: Chief, Public Affairs Staff, Office of Surface Mining. (10) For MMS: Chief, Office of Minerals Management Information, Minerals Management Service.

Notification procedure:

Address inquiries to the System Manager. A written and signed request stating that the requester seeks information concerning records pertaining to him is required. See 43 CFR 2.60.

Record access procedures:

Same as the above. The request must be in writing, signed by the requester. The request must meet the content requirements of 43 CFR 2.63.

Contesting record procedures:

A petition for amendment should be addressed to the appropriate System Manager and must meet the content requirements of 43 CFR 2.71.

Record source categories:

Data furnished by the individual, newspaper clippings, and published materials.

INTERIOR/APB-68

System name: Committee Management Files—Interior, Office of the Secretary—68.

System location: (1) Department Committee Management Officer and Bureau Committee Management Officers. (2) Headquarters office of all bureaus. (See appendix for addresses.)

Categories of individuals covered by the system: Members of advisory committees and candidates for advisory committee membership.

Categories of records in the system: Biographies and records of committee participation.

Authority for maintenance of the system: 5 U.S.C. App. I.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The primary use of the records is administration of committee activities within the Department. Disclosures outside the Department of the Interior may be made (1) to OMB in connection with its committee management responsibilities; (2) to other Federal agencies which have joint responsibility for advisory committees or which receive or utilize advice of the committees; (3) to a Federal, State or local agency, private organization or individual as necessary to obtain information in connection with a decision concerning appointment or reappointment of an individual to committee membership; (4) to the U.S. Department of Justice when related to litigation or anticipated litigation; (5) of information indicating a violation or potential violation of a statute, regulation, rule, order or license, to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Maintained in file folders.

Retrievability: Filed by committee or bureau.

Safeguards: Maintained with safeguards meeting the requirements of 43 CFR 2.51 for manual records.

Retention and disposal: Department Committee Management Office records are maintained no longer than two years. Bureau records are subject to bureau disposal schedules.

System manager(s) and address: Department Committee Management Officer, U.S. Department of the Interior, Washington, D.C. 20240.

Notification procedure: System Manager. A written and signed request stating that the requester seeks information concerning records pertaining to him is required. See 43 CFR 2.60.

Record access procedures: A request for access may be addressed to the System Manager. The request must be in writing and be signed by the requester. The request must meet the content requirements of 43 CFR 2.63.

Contesting record procedures: A petition for amendment shall be addressed to the System Manager and must meet the requirements of 43 CFR 2.71.

Record source categories: individual members or candidates for membership. Persons recommending or proposing or having knowledge of the qualifications of an individual.

Systems exempted from certain provisions of the act: Under the specific exemption authority of 5 U.S.C. 552a(k)(5), the Department of the Interior has adopted a regulation (43 CFR 2.79(c)) which exempts this system from the provisions of 5 U.S.C. 552a (c)(3), (d), (e)(1), (e)(4) (G), (H) and (I) and (f) to the extent that the system consists of investigatory material compiled solely for the purpose of determining suitability, eligibility or qualifications for federal civilian employment. The reasons for adoption of this regulation are set out at 40 FR 50432 (October 29, 1975).

INTERIOR/OS-69

System name:

Freedom of Information Appeal Files—Interior, Office of the Secretary—69.

System location:

(1) Office of Information Resources Management, Division of Directives and Regulatory Mgt., U.S. Department of the Interior, 18th and C Streets, NW, Washington, D.C. 20240, (2) Office of Public Affairs, U.S. Department of the Interior, 18th and C Streets, NW, Washington, DC 20240.

Categories of individuals covered by the system:

Individuals who have filed appeals under Department of the Interior Freedom of Information appeal procedures.

Categories of records in the system:

Appeal, Recommendations of the Office of the Solicitor and other Departmental Officials, final decisions on appeals, extension of time, initial decisions issued by bureaus and offices, related records, and records to track the processing of appeals.

Authority for maintenance of the system:

5 U.S.C. 552.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary uses of the records are (a) to support review and decision-making for Freedom of Information appeals, (b) for preparation of annual report to the Congress. Disclosures outside the Department of the Interior may be made (1) to other Federal agencies having a subject matter interest in an appeal or bureau or office decision; (2) to the U.S. Department of Justice or in a proceeding before a court or adjudicative body when (a) the United States, the Department of the Interior, a component of the Department, or, when represented by the government, an employee of the Department is a party to litigation or anticipated litigation or has an interest in such litigation, and (b) the Department of the Interior determines that the disclosure is relevant or necessary to the litigation and is compatible with the purpose for which the records were compiled; (3) of information indicating a violation or potential violation of a statute, regulation, rule, order or license, to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license, (4) to a congressional office from the record of an individual in response to an inquiry the individual has made to the congressional office.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in manual form in file folders. Appeal tracking information is maintained on magnetic media for use in a micro-computer.

Retrievability:

Manual records are indexed by appeal number. A cross-reference list permits retrieval of records by appellant's name.

Safeguards:

Maintained with safeguards meeting the requirements of 43 CFR 2.51.

Retention and disposal:

Records are destroyed four years after final determination by agency, or three years after final adjudication by courts, in accordance with General Records Schedule No. 14, item 17.

System manager(s) and address:

Freedom of Information Appeals Officer, Office of Information Resources Management, Division of Directives and Regulatory Mgt., U.S. Department of the Interior, Washington, D.C. 20240.

Notification procedure:

Inquiries regarding the existence of records should be addressed to the System Manager. A written, signed request stating that the requester seeks information concerning records pertaining to him/her is required. See 43 CFR 2.60.

Record access procedures:

A request for access may be addressed to the System Manager. The request must be in writing and be signed by the requester. The request must meet the content requirements of 43 CFR 2.63.

Contesting record procedures:

A petition for amendment should be addressed to the System Manager and must meet the content requirements of 43 CFR 2.71.

Record source categories:

Officials of bureaus and offices of the Department, appellants.

INTERIOR/OS-71

System name:

Freedom of Information Request Files System—Interior, Office of the Secretary—71.

System location:

All facilities of the Department of the Interior which have received requests under the Freedom of Information Act seeking access to or copies of records.

Categories of individuals covered by the system:

Individuals who have submitted Freedom of Information requests.

Categories of records in the system:

Requests, responses, related documents.

Authority for maintenance of the system:

5 U.S.C. 552.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary use of the records is to administer Freedom of Information requests. Disclosures outside the Department of the Interior may be made (1) to other Federal, State, and local agencies having a subject matter interest in a request or an appeal or a decision thereon; (2) to the U.S. Department of Justice or in a proceeding before a court or adjudicative body when (a) the United States, the Department of the Interior, a component of the Department, or, when represented by the government, an employee of the Department is a party to litigation or anticipated litigation or has an interest in such litigation, and (b) the Department of the Interior determines that the disclosure is relevant or necessary to the litigation and is compatible with the purpose for which the records were compiled; (3) of information indicating a violation or potential violation of a statute, regulation, rule, order or license, to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license; (4) to a congressional office from the record of an individual in response to an inquiry the individual has made to the congressional office.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders, and on computer magnetic media.

Retrievability:

Retrieved by name of person making request.

Safeguards:

Maintained with the minimum safeguards prescribed in 43 CFR 2.51.

Retention and disposal:

Records are maintained and disposed of in accordance with General Records Schedule No. 14, items 16 and 18.

System manager(s) and address:

For the office or bureau for which each is responsible, the head of each office making up the Office of the Secretary, each other Departmental office and each bureau. (See Appendix for addresses of office and bureau headquarters offices.)

Notification procedure:

Inquiries regarding the existence of records in the system shall be addressed to each facility to which an individual has submitted a Freedom of Information request. See 43 CFR 2.60 for submission requirements.

Record access procedures:

A request for access shall be addressed to each facility to which the requester has submitted a Freedom of Information request. See 43 CFR 2.63 for submission requirements.

Contesting record procedures:

A petition for amendment shall be addressed to the System Manager and must meet the content requirements of 43 CFR 2.71.

Record source categories:

Requesters, internally generated documents, and employees processing the requests.

INTERIOR/OS-72

System name:

FECA Chargeback Case File—Interior, Office of the Secretary—72.

System location:

a. For Departmental Records: Office of the Secretary, Office of Personnel, Division of Employee Relations, 19th & C Streets, NW, Washington, D.C. 20240. b. For BIA; Bureau of Indian Affairs, Division of Personnel Management, 1951 Constitution Avenue, NW, Washington, D.C. 20245. c. For EBM: Bureau of Mines, Branch of Personnel , 4th Floor, Columbia Plaza, Washington D.C. 20037. d. For EGS: Geological Survey, 215 National Center, 12201 Sunrise Valley Drive, Reston, Virginia 22092. e. For FNP: National Park Service, Personnel Management Division, 19th & C Streets, NW, Washington, D.C. 20240. f. For FWS: U.S. Fish and Wildlife Service, Division of Personnel Management and Organization. 19th & C Streets, NW, Washington, D.C. 20240. g. For LBR: Bureau of Reclamation, Division of Personnel and Management, 19th & C Streets, NW, Washington, D.C. 20240. h. For LLM: Bureau of Land Management, Division of Personnel (530), 19th & C Streets, NW, Washington, D.C. 20240. i. For SOL: Office of the Solicitor, Division of General Law, 19th & C Streets, NW, Washington, D.C. 20240 j. For ESM: Office of Surface Mining, Reclamation and Enforcement, Division of Personnel, 1951 Constitution Avenue, NW, Washington, D,C. 20245. k. For MMS: Minerals Management Service, Personnel Division, 1110 Herndon Parkway, Herndon, Virginia 22070.

Categories of individuals covered by the system:

Former and present Federal employees and dependents currently receiving compensation payments through the Federal Employees' Compensation Act (FECA) which are being charged back to the Department of the Interior.

Categories of records in the system:

These records will consist of computer listings showing name, social security account number, current home address, date of injury and/or death, last payment date, type of payment (whether medical bills or compensation), occupation code at time of injury , zip code where injury occurred, grand total of amount paid and narrative description of injury. The listings will result from a computer match of the Department of the Interior's Safety Management Information System—Office of the Secretary—60 file with the Department of Labor's Office of Workers' Compensation Programs, Federal Employees, Compensation Act Chargeback File, DOL/ESA-15.

Authority for maintenance of the system:

5 U.S.C. 301, E.O. 11807, 5 U.S.C. 8147, and 31 U.S.C. 66a.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Records will be used by bureau and Departmental personnel to determine validity of chargebacks to the Department of the Interior. Records generated in the computer matching process (whenever no match occurs) will be furnished to bureau personnel for investigation to determine why no match occurred. Resolution may include a request to the Department of Labor (DOL), Office of Workers' Compensation Programs that future charges be referred to another agency or DOL discontinue payments and possibly initiate civil or criminal prosecution proceedings against the claimant. Disclosures outside the Department of the Interior may be made (1) to the U.S. Department of Justice when related to litigation or anticipated litigation; (2) of information indicating a violation or potential violation of a statute, regulation, rule order or license, to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license; (3) from the record of an individual in response to an inquiry from a Congressional office made at the request of that individual; (4) to another Federal State, or local agency for the purpose of obtaining information regarding payments being made to claimants; and (5) to the Department of Labor, as necessary, to transmit information on results of investigations.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders.

Retrievability:

Records are maintained by name and Social Security Account number.

Safeguards:

Records are kept in locked files with accesss limited to employees whose official duties require access.

Retention and disposal:

Destroy 5 years after close of investigation.

System manager(s) and address:

For records at location (a): Chief, Division of Employee Relations, Office of Personnel, Office of the Secretary, Department of the Interior, 19th & C Streets, NW, Wshington D.C. 20240. For records at location (b): Employee Relations Officer, Bureau of Indian Affairs, Division of Personnel Management, 1951 Constitution Avenue, NW, Washington, D.C. 20245. For records at location (c): Employee Relations Officer, Bureau of Mines, Division of Personnel, Branch of Compensation and Labor Relations, 5th Floor, Columbia Plaza, Washington, D.C. 20037. For Records at location (d): Personnel Officer, Geological Survey, National Center, 12201 Sunrise Valley Drive, Reston, Virginia 22092. For Records at location (e): Employee Relations Officer, National Park Service, Personnel Management Division, 19th & C Streets, NW, Washington, D.C. 20240. For Records at location (f): Employee Relations Officer, U.S. Fish and Wildlife Service, Division of Personnel Management and Organization, 19th & C Streets, NW, Washington, D.C. 20240. For records at location (g): Employee Relations Officer, Bureau of Reclamation, Division of Personnel and Management, 19th & C Streets, NW, Washington, D.C. 20240. For records at location (h): Employee Relations Officer, Bureau of Land Management, Division of Personnel (530), 19th & C Streets, NW, Washington, D.C. 20240. For records at location (i): Office of the Solicitor, Division of General Law, 19th & C Streets, NW, Washington, D.C. 20240. For records at location (j): Employee Relations Officer. Division of Personnel, Office of Surface Mining Reclamation and Enforcement, 1951 Constitution Avenue, NW, Washington, D.C. 20245. (k): Employee Relations Officer, Personnel Division, Minerals Management Service, 1110 Herndon Parkway, Herndon, Virginia 22070.

Notification procedure:

An individual may inquire whether or not the system contains a record pertaining to him/her by contacting the systems manager. He/she must also follow the Departments Privacy Act regulations regarding request for notification of existence of records (43 CFR 2.60).

Record access procedures:

Individuals wishing to request access to their records in this system should contact the system manager and furnish the following information for their records to be located and identified: Name, including all former names and social security account number. He/she must also follow the Departments Privacy Act regulations regarding verification of identity and access to records (43 CFR 2.63).

Contesting record procedures:

Individuals wishing to request amendment of their records in this system should contact the system manager and furnish their name, including all former names and social security account number. They must also follow the Department's Privacy Act regulations regarding amendment of records (43 CFR 2.70).

Record source categories:

The information in this system is obtained from the following sources: A record will be generated by computer matching whenever a case on the Department of Labor's, Office of Workers' Compensation Program, Federal Employees' Compensation Act Chargeback File, DOL/ESA-15 does not match to a case on the Department of Interior's Safety Management Information System—Office of the Secretary—60 File (Interior/OS—60). Although scheduled as a one time match, based on the results of this match continuing and/or periodic matching may be made

INTERIOR/OS-74

System name: Grievance Records—Interior, Office of the Secretary—74.

System location: These records are located in Departmental personnel or designated offices in which the grievances were filed.

Categories of individuals covered by the system: Current or former Departmental employees who have submitted grievances in accordance with Part 771 of Office of Personnel Management regulations (5 CFR Part 771), or a negotiated procedure.

Categories of records in the system: The system contains records relating to grievances filed by Department employees under Part 771 of Office of Personnel Management regulations. These case files contain all documents related to the grievance, including statements of witnesses, reports of interviews and hearings, examiner's findings and recommendations, a copy of the original and final decision, and related correspondence and exhibits. This system includes files and records of internal grievance and arbitration systems that the Department may establish through negotiations with recognized labor organizations.

Authority for maintenance of the system: 5 U.S.C. 1302, 3301, 3302, E.O. 10577, 3 CFR 1954–1958 Comp. p218.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: These records and information in these records may be used:

a. To disclose pertinent information to the appropriate Federal, State, or local agency responsible for investigating, prosecuting, enforcing or implementing a statute, rule, regulation, or order, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation.

b. To disclose information to any source from which additional information is requested in the course of processing a grievance, to the extent necessary to identify the individual, inform the source of the purpose(s) of the request, and identify the type of information requested.

c. To disclose information to a Federal agency, in response to its request, in connection with the hiring or retention of any employee, the issuance of a security clearance, the conducting of a security or suitablility investigation of an individual, the classifying of jobs, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter.

d. To provide information to a congressional office from the record of an individual in response to an inquiry from that congressional office made at the request of that individual

e. To disclose information to another Federal agency or to a court when the Government is party to a judicial proceeding before the court.

f. By the National Archives and Records Service (General Services Administration) in records management inspections conducted under authority of 44 U.S.C. 2904 and 2908.

g. By the agency maintaining the records in the production of summary descriptive statistics and analytical studies in support of the function for which the records are collected and maintained, or for related work force studies. While published statistics and studies do not contain individual identifiers, in some instances the selection of elements of data included in the study may be structured in such a way as to make the data individually identifiable by inference.

h. To disclose information to officials of the Office of Personnel Management; Merit Systems Protection Board, including the Office of the Special Counsel; the Federal Labor Relations Authority and its General Counsel; or the Equal Employment Opportunity Commission when requested in performance of their authorized duties.

i. To disclose, in response to a request for discovery or for appearance of a witness, information that is relevant to the subject matter involved in a pending judicial or administrative proceeding.

j. To provide information to officials of labor organizations recognized under the Civil Service Reform Act when relevant and necessary to their duties of exclusive representation concerning personnel policies, practices, and matters affecting work conditions.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: These records are maintained in file folders.

Retrievability:

These records are retrieved by the names of the individuals on whom they are maintained.

Safeguards: These records are maintained in lockable metal filing cabinets to which only authorized personnel have access.

Retention and disposal: The records compiled under 5 CFR Part 771 are disposed of 3 years after closing of the case. Records compiled under a negotiated procedure are disposed of in accordance with approved records schedules.

System manager(s) and address: Director, Office of Personnel, U.S. Department of the Interior, 18th & C Streets, Washington, D.C. 20240.

Notification procedure: It is required that individuals submitting grievances be provided a copy of the record under the grievance process. They may, however, contact the Department personnel or designated office where the action was processed, regarding the existence of such records on them. They must furnish the following information for their record to be located and identified: Name, date of birth, approximate date of closing of the case and kind of action taken, and organizational component involved. See 43 CFR 2.60.

Record access procedures: It is required that individuals submitting grievances be provided a copy of the record under the grievance process. However, after the action has been closed, an individual may request access to the official copy of the grievance file by contacting the Departmental personnel or designated office where the action for their records to be located and identified: Name, date of birth, approximate date of closing of the case and kind of action taken, and organizational component involved. Individuals requesting access must also follow the requirements in 43 CFR 2.61.

Contesting record procedures: Review of requests from individuals seeking amendment of their records which have been the subject of a judicial or quasi-judicial action will be limited in scope. Review of amendment requests of these records will be restricted to determining if the record accurately documents the action of the agency ruling on the case, and will not include a review of the merits of the action, determination, or finding. Individuals wishing to request amendment to their records to correct factual errors should contact the Departmental personnel or designated office where the grievance was processed. Individuals must furnish the following information for their records to be located and identified: Name, date of birth, approximate date of closing of the case and kind of action taken, and organizational component involved. See 43 CFR 2.71.

Record source categories: Information in this system of records is provided by the individual on whom the record is maintained, by testimony of witnesses, by agency officials, by grievance examiners, by arbitrators, and from related correspondence from organizations or persons.

INTERIOR/OS-76

System name:

Employee Experience, Skills, Performance, Training, and Career Development Records—Interior, Office of the Secretary—76.

System location:

Servicing personnel office and/or administrative office of all bureaus and offices of the Department of the Interior. For Contracting Officers' Warrant System records the head of each bureau's central contracting office and the Office of Acquisition and Property Management in the Office of the Secretary.

Categories of individuals covered by the system:

Current employees of the Department of the Interior.

Categories of records in the system:

These records relate to employees and contain such information as: Name; date of birth; social security number; office address and phone, service computation date; physical limitations or interests which might affect type of location of assignment; career interests; education history; work or skills experience; availability for geographic relocation; outside activities including membership in professional organizations; listing of special qualifications; licenses and certificates held; listing of honors and awards; career goals and objectives of the employee; annual supervisory evaluation.

Authority for maintenance of the system:

5 U.S.C. 1302, 2951, 4118, 4308, 4506, 3101, 43 U.S.C. 1457, Reorganization Plan 3 of 1950, Executive Order 10561, Executive Order 12352.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary uses of the records are (a) by bureau officials for purposes of review in connection with transfers, promotions, reassignments, adverse actions, disciplinary actions, and determination of qualifications, of an individual, (b) by bureau officials for setting out career goals and objectives of the employee and for documenting attainment of these targets, and (c) by bureau and Departmental officials in monitoring qualifications for maintaining a Contracting Officer's Warrant.

Disclosures outside the Department of the Interior may be made (1) to the U.S. Department of Justice when related to litigation or anticipated litigation; (2) of information indicating a violation or potential violation of a statute, regulation, rule, order or license, to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license; (3) to a Member of Congress from the record of an individual in response to an inquiry made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are maintained manually in file folders or on preprinted forms in file cabinets or on computer media.

Retrievability:

Records may be indexed by name of the subject employee.

Safeguards:

Records are maintained with safeguards meeting minimum security requirements of 43 CFR 2.51.

Retention and disposal:

Records are maintained only on current employees. Records are destroyed upon departure of the employee.

System manager(s) and address:

For all records other than Contracting Officers' Warrant System Records: (1)The Personnel Officer of each bureau of the Department for records maintained in the bureau. (See Appendix for addresses of bureau headquarters offices), and (2) Chief, Division of Personnel Services, Office of Administrative Services, U.S. Department of the Interior, 18th and C Street, NW, Washington, D.C. 20240 for records maintained in the Office of the Secretary. For all Contracting Officers' Warrant System Records; Director, Office of Acquisition and Property Management, U. S. Department of the Interior, 18th and C Streets NW, Washington, D.C. 20240.

Notification procedure:

Individuals may inquire whether or not the system contains records pertaining to them by contacting the personnel officer and/or administrative officer servicing the facility where they are employed. Contracting Officers may submit inquiries regarding Contracting Officers' Warrant System Records to the head of the procuring activity of the bureau in which the individual is employed, or to the Director, Office of Acquisition and Property Management. See 43 CFR 2.60 for notification procedure requirements.

Record access procedures:

Current employees who wish to gain access to their records should contact the same officials listed under "Notification procedure" above. See 43 CFR 2.63.

Contesting record procedures:

Employees who wish to contest their records should contact the pertinent System Manager listed above. See 43 CFR 2.71.

Record source categories:

Information in this system of records either comes from the individual to whom it applies or is derived from information he supplied, except information provided by agency officials.

INTERIOR/OS-77

System name:

Unfair Labor Practice Charges/Complaints—Interior, Office of the Secretary—77.

System location:

Records for pertinent employees of each bureau and office and maintained at the locations shown for the System Managers listed below.

Categories of individuals covered by the system:

Interior employees filing unfair labor practices charges/complaints.

Categories of records in the system:

Formal charge and complaint; name, address, and other personal information about complainant, transcript of hearing (if held), and information about other personnel in complainant's work unit, as relevant.

Authority for maintenance of the system:

Executive Order 11491, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary uses of the records are to administer charges or complaints of unfair labor practices. Disclosures outside the Department of the Interior may be made (1) to the Department of Labor and to the Federal Labor Relations Council for settlement of the complaint or appeal; (2) to the U.S. Department of Justice or in a proceeding before a court or adjudicative body when (a) the United States, the Department of the Interior, a component of the Department, or, when represented by the government, an employee of the Department is a party to litigation or anticipated litigation or has an interest in such litigation, and (b) the Department of the Interior determines that the disclosure is relevant or necessary to the litigation and is compatible with the purpose for which the records were complied; (3) of information indicating a violation or potential violation of a statute, regulation, rule, order or license, to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license; (4) to a congressional office from the record of an individual in response to an inquiry the individual has made to the congressional office.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Name and docket or case number.

Safeguards:

Records are locked in lockable metal file cabinets or in metal file cabinets in secured rooms or secured premises with access limited to those whose official duties require access.

Retention and disposal:

Records are disposed of in accordance with General Records Schedule No. 1, Item 29.

System manager(s) and address:

(a) Chief, Division of Labor Management Relations, Office of the Secretary, Office of Personnel, Division of Labor Management Relations, 19th and C Streets NW., Washington, DC 20240.

(b) Labor Relations Officer, Bureau of Indian Affairs, Division of Personnel Management, 1951 Constitution Avenue NW., Washington, DC 20245.

(c) Labor Relations Officer, Bureau of Mines, Division of Personnel, Branch of Compensation and Labor Relations, 19th and C Streets NW., Washington, DC 20240.

(d) Personnel Officer, Geological Survey, National Center, 12201 Sunrise Valley Drive, Reston, VA 22092.

(e) Labor Relations Officer, National Park Service, Division of Personnel, Branch of Labor Management Relations, 19th and C Streets NW., Washington, DC 20240.

(f) Personnel Officer, U.S. Fish and Wildlife Service, Division of Personnel Management and Organization, 19th and C Streets NW., Washington, DC 20240.

(g) Labor Relations Officer, Bureau of Reclamation, 19th and C Streets NW., Washington, DC 20240.

(h) Labor Relations Officer, Bureau of Land Management, Division of Personnel (530), 19th and C Streets NW., Washington, DC 20240.

(i) Chief, Branch of Employee Relations and Training, Minerals Management Service, Personnel Division, 1110 Herndon Parkway, Herndon, VA 22070.

(j) Chief, Branch of Policies and Progams, Office of the Secretary, 19th and C Streets NW., Washington, DC 20240.

(k) Labor Relations Officer, Office of Surface Mining, Division of Personnel, 1951 Constitution Avenue NW., Washington, DC 20245.

Notification procedure:

Inquiries regarding the existence of records should be addressed to the appropriate System Manager. A written, signed request stating that the requester seeks information concerning records pertaining to him is required. See 43 CFR 2.60.

Record access procedures:

A request for access may be addressed to the appropriate System Manager. The request must be in writing and be signed by the requester. The request must meet the content requirements of 43 CFR 2.63.

Contesting record procedures:

A petition for amendment should be addressed to the appropriate System Manager and must meet the content requirements of 43 CFR 2.71.

Record source categories:

Subject to complaint, colleagues and supervisors of complainant and management officials.

INTERIOR/OS-78

System name:

Negotiated Grievance Procedure Files—Interior, Office of the Secretary–78.

System location:

Records for pertinent employees of each bureau and office are maintained at the locations shown for the System Managers listed below.

Categories of individuals covered by the system:

Interior employees filing grievances/complaints.

Categories of records in the system:

Formal charge and complaint; name, address, and other personal information about complainant, transcript of hearing (if held) and information about other personnel in complianant's work unit, as relevant.

Authority for maintenance of the system:

Executive Order 11491, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary uses of the records are to administer employee grievances. Disclosures outside the Department of Interior may be made (1) to the Federal Labor Relations Council; (2) to the U.S. Department of Justice or in a proceeding before a court or adjudicative body when (a) the United States, the Department of the Interior, a component of the Department, or, when represented by the government, an employee of the Department is a party to litigation or anticipated litigation or has an interest in such litigation, and (b) the Department of the Interior determines that the disclosure is relevant or necessary to the litigation and is compatible with the purpose for which the records were compiled; (3) of information indicating a violation or potential violation of a statute, regulation, rule, order or license, to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license; (4) to a congressional office from the record of an individual in response to an inquiry the individual has made to the congressional office.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file orders.

Retrievability:

Name and Docket or Case number.

Safeguards:

Records are located in lockable metal file cabinets or in metal file cabinets in secured premises with access limited to those whose official duties require access.

Retention and disposal:

Records are disposed of in accordance with General Records Schedule No. 1, Item 31.

System manager(s) and address:

(a) Chief, Division of Labor Management Relations, Office of the Secretary, Office of Personnel, Division of Labor Management Relations, 19th and C Streets, NW., Washington, DC 20240.

(b) Labor Relations Officer, Bureau of Indian Affairs, Division of Personnel Management, 1951 Constitution Avenue NW., Washington, DC 20245.

(c) Labor Relations Officer, Bureau of Mines, Division of Personnel, Branch of Compensation and Labor Relations, 19th and C Streets, NW., Washington, DC 20240.

(d) Personnel Officer, Geological Survey, National Center, 12201 Sunrise Valley Drive, Reston, Virginia 22092.

(e) Labor Relations Officer, National Park Service, Division of Personnel Branch of Labor Management Relations, 19th and C Streets NW., Washington, DC 20240.

(f) Personnel Officer, U.S. Fish and Wildlife Service, Division of Personnel Management and Organization, 19th and C Streets, NW., Washington, DC 20240.

(g) Labor Relations Officer, Bureau of Reclamation, 19th and C Streets, NW., Washington, DC 20240.

(h) Labor Relations Officer, Bureau of Land Management, Division of Personnel (530) 19th and C Streets NW., Washington, DC 20240.

(i) Chief, Branch of Employee Relations and Training, Minerals Management Service, Personnel Division, 1110 Herndon Parkway, Herndon, VA 22070.

(j) Chief, Branch of Policies and Office Programs, of the Secretary, 19th and C Streets, NW., Washington, DC 20240.

(k) Labor Relations Officer, Office of Surface Mining, Division of Personnel, 1951 Constitution Avenue, NW., Washington, DC 20245

Notification procedure:

Inquiries regarding the existence of records should be addressed to the appropriate System Manager. A written, signed request stating that the requester seeks information concerning records pertaining to him is required. See 43 CFR 2.60.

Record access procedures:

A request for access may be addressed to the appropriate System Manager. The request must be in writing and be signed by the requester.

Contesting record procedures:

A petition for amendment should be addressed to the appropriate System Manager and must meet the content requirements of 43 CFR 2.71. The request must meet the content requirements of 43 CFR 2.63.

Record source categories:

Subject complainant, colleagues and supervisors of complainant and management officials.

INTERIOR/OS—79

System name:

General Personnel Records—Interior, Office of the Secretary—79.

Note.—This system complements OPM-GOVT-1 which delineates the Governmentwide system for general personnel records. This notice does not repeat all information contained in OPM-GOVT-1.

System location:

Hard copy records on current and recently separated employees are located at the Personnel Office or other designated office of the installation which currently employees (or recently employed) the individual. Automated personnel records are maintained on the PAY/PERs system administered by the Bureau of Reclamation in Denver, Colorado. (The Office of the Secretary maintains the DPDF—Departmental Personnel Data File—in Washington, D.C. Automated personnel records for employees in the Office of the Secretary. Geological Survey, National Park Service, Office of the Solicitor, and Fish and Wildlife Service are maintained on the DIPS system administered by the Geological Survey in Washington, D.C. These two systems will be abolished once records are incorporated into PAY/PERS by the end of 1984.

Categories of individuals covered by the system:

Current and recently separated employees of the Department.

Categories of records in the system:

An individual record is maintained for each employee containing historical as well as current personnel data.

Authority for maintenance of the system:

5 U.S.C. 2951, 5 U.S.C. 2954.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The official hard copy (paper microform) records maintained by the servicing personnel office provide basic data for preparation and verification of personnel reports and documents. They also provide a comprehensive and continuing record of each employee's service, status, skills, and personnel history, for use in the merit promotion program, reduction in force and to effect other personnel actions. Automated records are used to generate reports and listings; produce standard personnel management documents; establish and verify entitlement to pay and benefits; and provide historical data.

Routine use disclosures outside the Department will be the same as stated in the systems notice for the OPM/GOVT-1 system of records.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

These records are maintained in file folders, on lists and forms, microfilm or microfiche and in computer processible storage media.

Retrievability:

These records are retrieved by various combinations of name, birth date, Social Security Number, or identification number of the individual on whom they are maintained.

Safeguards:

Paper or microfiche/microfilmed records are located in lockable metal file cabinets or in secured rooms with access limited to those personnel whose official duties require access. Automated records are maintained with safeguards meeting the requirements of 43 CFR 2.51 for computer records. Access to all records in this system is limited to Departmental officials whose official duties require access. Bureau officials will generally only have access to records pertaining to employees of their own bureau.

Retention and disposal:

In accordance with approved Retention and Disposal schedules. Some records may be retained indefinitely as a basis for longitudinal work history statistical studies.

System manager(s) and address:

Director of Personnel, Office of the Secretary, U.S. Department of the Interior, Washington, D.C. 20240.

Notification procedure:

An individual may inquire whether or not the system contains a record pertaining to him/her from the Bureau Personnel Officer where he/she is (or was) employed. The request must be in writing, be signed by the requester, and meet the content requirements of 43 CFR 2.60. Office addresses are:

(1) Personnel Officer, Division of Personnel Services, Secretary, 19th & C Streets, NW, Washington, D.C. 20240.

(2) Bureau of Indian Affairs, Division of Personnel Management, 1951 Constitution Avenue, NW, Washington, D.C. 20245.

(3) Bureau of Mines, Division of Personnel, Branch of Compensation and Labor Relations, Columbia Plaza, 5th Floor, Washington, D.C. 20037

(4) Personnel Officer, Geological Survey, National Center, 12201 Sunrise Valley Drive, Reston, Virginia 22092

(5) National Park Service, Personnel Management Division, 19th & C Streets, NW, Washington, D.C. 20240

(6) U.S. Fish and Wildlife Service, Division of Personnel Management and Organization, 19th & C Streets, NW, Washington, D.C. 20240

(7) Bureau of Reclamation, Chief, Division of Personnel Management, Code 500, 19th & C Streets, NW, Washington, D.C. 20240

(8) Bureau of Land Management, Division of Personnel (530), 19th & C Streets, NW, Washington, D.C. 20240

(9) Office of the Solicitor, Personnel Officer, 19th & C Streets, NW., Washington, D.C. 20240

(10) Division of Personnel, Office of Surface Mining Reclamation and Enforcement, 1951 Constitution Avenue, NW., Washington, D.C. 20245

(11) Minerals Management Service, Personnel Division, Mail Stop 634, 12203 Sunrise Valley Drive, Reston, Virginia 22091

(12) Office of Inspector General, Assistant Inspector General for Administration, 19th & C Streets, NW., Washington, D.C. 20240

Record access procedures:

A request for access may be addressed the same as Notification. The request must meet the content requirements of 43 CFR 2.63.

Contesting record procedures:

A petition for amendment shall be addressed to the System Manager and must meet the requirements of 43 CFR 2.71.

Record source categories:

Individual employees and employing bureaus.

INTERIOR/OS-82

System name: Executive and Manager Development Program (EMDP)—Interior, Office of the Secretary—82.

System location:

Office of Personnel, U.S. Department of the Interior, 18th and C Streets, NW, Washington, D.C. 20240.

Categories of individuals covered by the system:

(1) Present participants in the EMDP Program; (2) former participants in the program; (3) nominees selected or not selected for the program.

Categories of records in the system:

Nomination documents, reports of training assignments, evaluation statements list of graduates and placement assignments of current participants.

Authority for maintenance of the system:

5 U.S.C. 3301, Pub.L. 91-616, Pub.L. 92-255, Pub.L. 93-282, Pub.L. 79-658 (5 U.S.C. 7901) OMB Circular A-72.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary uses are (a) select candidates for the program; (b) to evaluate caliber or assignments; (c) evaluate performance of the participant; (d) determine or assist in placement efforts; (e) track career of graduates to determine success of program. Disclosures outside the Department of the Interior may be made, (1) to the U.S. Department of Justice when related to litigation or anticipated litigation, (2) of information indicating a violation or potential violation of a statute, regulation, rule, order or license, to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license, (3) from the record of an individual in response to an inquiry from a Congressional office made at the request of that individual, (4) to a Federal Agency which has requested information relevant or necessary to its hiring or retention of an employee, or issuance of a security clearance, license, contract, grant or other benefit, and, (5) to Federal, State or local agencies where necessary to obtain information relevant to the hiring or retention of an employee, or the issuance of a security clearance, license, contract, grant or other benefit.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained manually in file folders;

Retrievability:

Indexed by name and/or by bureau;

Safeguards:

Participant records are maintained in lockable cabinets.

Retention and disposal:

In accordance with established disposal schedule.

System manager(s) and address:

Chief, Division of Employee Development, Office of Personnel, U.S. Department of the Interior, Washington, D.C. 20240.

Notification procedure:

A request for access must be presented in person or in writing and signed by the requestor with proof of identity. Individuals may inquire whether or not the system contains a record pertaining to them by contacting the systems manager cited above.

Record access procedures:

Individuals who wish to gain access should contract the systems manager cited above.

Contesting record procedures:

Individuals who wish to contest their records should contact the systems manager cited above.

Record source categories:

Information in this system of records either comes from the individual to whom it applies, is derived from information supplied by the individual, or comes from agency officials.

INTERIOR/OS-85

System name:

Payroll, Attendance, Retirement, and Leave Records—Interior, Office of the Secretary-85.

System location:

(1) Bureau of Reclamation, Management Operations Center, Division of Payroll Operations, 7333 West Jefferson Ave., Academy Place 1, Denver, CO 80235.

(2) Bureau of Reclamation, Management Operations Center, Division of Payroll Operations, 1925 Isaac Newton Square, Reston, Virginia 22090

(3) All Departmental offices and locations which prepare and provide input documents and information for data processing and administrative actions.

Categories of individuals covered by the system:

All employees of the Department of the Interior, and employees of Independent Agencies, Councils, and Commissions who are provided payroll administrative support by the Department.

Categories of records in the system:

Employee identification, pay rate and grade, retirement, and location data; length of service; pay, leave, time and attendance, allowances, and cost distribution records; deductions for Medicare or FICA, savings bonds, FEGLI, union dues, taxes, allotments, quarters, charities; health benefits, Thrift Savings Fund contributions, awards, shift schedules, pay differentials, IRS tax lien data; and related payroll and personnel data. Also included is information on debts owed to the government as a result of overpayment, refunds owed, or a debt referred for collection on a transferred employee. The payroll, attendance, retirement, and leave records described in this notice form a part of the information contained in the Department's integrated payroll and personnel (PAY/PERS) automated information system. Personnel records contained in the PAY/PERS system are covered under the governmentwide system of records notice published by the Office of Personnel Management (OPM/GOVT-1).

Authority for maintenance of the system:

5 U.S.C. 5101, et seq., 31 U.S.C. 3512.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary uses of the records are for fiscal operations for payroll, attendance, leave, insurance, tax, retirement and cost accounting programs; and to prepare related reports to other Federal agencies including the Treasury Department and the Office of Personnel Management. Disclosures outside the Department of the Interior may be made: (1) To the Department of the Treasury for preparation of payroll checks and other checks to Federal, State, and local government agencies, non-governmental organizations, and individuals; (2) to the Internal Revenue Service and to State, local, tribal and territorial governments for tax purposes; (3) to the Office of Personnel Management in connection with programs administered by that office; (4) to another Federal agency to which an employee has transferred; (5) to the U.S. Department of Justice or in a proceeding before a court or adjudicative body when (a) the United States, the Department of the Interior, a component of the Department, or, when represented by the government, an employee of the Department is a party to litigation or anticipated litigation or has an interest in such litigation, and (b) the Department of the Interior determines that the disclosure is relevant or necessary to the litigation and is compatible with the purpose for which the records were compiled; (6) to disclose pertinent information to an appropriate Federal, State, local, or foreign agency responsible for investigating, prosecuting, enforcing, or implementing a statute, rule, regulation, or order, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation; (7) to a congressional office from the record of an individual in response to an inquiry from that congressional office made at the request of the individual; (8) to a Federal agency which has requested information relevant or necessary to its hiring or retention of an employee, or issuance of a security clearance, license, contract, grant or other benefit; (9) to Federal, State or local agencies where necessary to enable the Department of the Interior to obtain information relevant to the hiring or retention of an employee, or the issuance of a security clearance, contract, license, grant or other benefit; (10) to appropriate Federal and State agencies to provide required reports including data on unemployment insurance; (11) to the Social Security administration to report FICA deductions; (12) to labor unions to report union dues deductions; (13) to insurance carriers to report withholdings for health insurance; (14) to charitable institutions to report contributions; (15) to a Federal agency for the purpose of collecting a debt owed the Federal government through administrative or salary offset; (16) to other Federal agencies conducting computer matching programs to help eliminate fraud and abuse and to detect unauthorized overpayments made to individuals; (17) to provide addresses obtained from the Internal Revenue Service to debt collection agencies for purposes of locating a debtor to collect or compromise a Federal claim against the debtor; (18) with respect to Bureau of Indian Affairs employee records, to a Federal, State, local agency, or Indian tribal group or any establishment or individual that assumes jurisdiction, either by contract or legal transfer, of any program under the control of the Bureau of Indian Affairs; (19) with respect to Bureau of Reclamation employee records, to non-Federal auditors under contract with the Department of the Interior or Energy or water user and other organizations with which the Bureau of Reclamation has written agreements permitting access to financial records to perform financial audits; (20) to the Federal Retirement Thrift Investment Board with respect to Thrift Savings Fund contributions; (21) To disclose debtor information to the IRS, or another Federal agency or its contractor solely to aggregate information for the IRS, to collect debts owed to the Federal government through the offset of tax refunds.

Disclosure to consumer reporting agencies:

Disclosure pursuant to 5 U.S.C. 552a(b)(12). Disclosures may be made from this system to consumer reporting agencies as defined in the Fair Credit Reporting Act (15 U.S.C. 1681a(f)) or the Federal Claims Collection Act of 1966 (31 U.S.C. 3701(a)(3)).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in manual, microfilm, microfiche, and printout form in the Payroll Office. Currently applicable records are stored on magnetic media at the computer processing center; historic records are stored on magnetic media at the computer center. Original input documents are kept in standard office filing equipment.

Retrievability:

Indexed by name, social security number, and organizational code.

Safeguards:

Maintained with safeguards meeting the requirements of 43 CFR 2.51.

Retention and disposal:

The records contained in this system of records have varying retention periods as described in General Records Schedule 2 issued by the Archivist of the United States, and are disposed of in accordance with the National Archives and Records Administration Regulations, 36 CFR 1228.74.

System manager(s) and address:

The following system manager is responsible for the payroll records contained in the integrated Payroll/Personnel (PAY/PERS) system which are pertinent to all Department of the Interior bureaus and offices. Personnel records contained in the PAY/PERS system fall under the jurisdiction of the Office of Personnel Management as prescribed in 5 CFR Part 293 and 5 CFR Part 297.

(1) Chief, Client Support Branch, Bureau of Reclamation, Management Operations Center, Division of Payroll Operations, 7333 W. Jefferson Ave., Academy Place 1, Denver, CO 80235.

Notification procedure:

Inquiries regarding the existence of records should be addressed to the System Manager. A written, signed request stating that the individual seeks information concerning his/her records is required. See 43 CFR 2.60.

Record access procedures:

A request for access may be addressed to the System Manager. The request must be in writing, signed by the requester, and meet the content requirement of 43 CFR 2.63.

Contesting record procedures:

A petition for amendment should be addressed to the System Manager and meet the content requirements of 43 CFR 2.71.

Record source categories:

Individuals on whom the records are maintained, supervisors, timekeepers, official personnel records, previous employers, and the Internal Revenue Service.

INTERIOR/OS-86

System name:

Accounts Receivable—Interior, Office of the Secretary—86.

System location:

Division of Fiscal Services, Office of Administrative Services, U.S. Department of the Interior, 18th and C Streets, NW, Washington, D.C. 20240.

Categories of individuals covered by the system:

All debtors including employees, former employees, business firms, private citizens and institutions. (The records contained in this system which pertain to individuals contain principally proprietary information concerning sole proprietorships. Some of the records in the system which pertain to individuals may reflect personal information, however. Only the records reflecting personal information are subject to the Privacy Act. The system also contains records concerning corporations, other business entities and organizations. These records are not subject to the Privacy Act.)

Categories of records in the system:

Name, address, amount and basis including goods, services or overpayments therefor.

Authority for maintenance of the system:

(1) U.S.C. 5701-09. (2) FPMR 101-7. (3) Treasury Fiscal Requirements Manual. (4) 31 U.S.C. 3711.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary uses of the records are for billing and follow-up. Disclosure outside the Department of the Interior may be made (1) to the U.S. Department of Justice or in a proceeding before a court or adjudicative body when (a) the United States, the Department of the Interior, a component of the Department, or, when represented by the government, an employee of the Department is a party to litigation or anticipated litigation or has an interest in such litigation, and (b) the Department of the Interior determines that the disclosure is relevant or necessary to the litigation and is compatible with the purpose for which the records were compiled, (2) of information indicating a violation or potential violation of a statute, regulation, rule, order or license, to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license, (3) to a Member of Congress from the record of an individual in response to an inquiry made at the request of that individual, (4) to consumer reporting agencies to facilitate collection of debts owned the Government, and (5) to disclose debtor information to the IRS, or another Federal agency or its contractor solely to aggregate information for the IRS, to collect debts owed to the Federal government through the offset of tax refunds.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in manual, machine readable, and printout form.

Retrievability:

Indexed by appropriation or fund to be credited.

Safeguards:

Maintained in locked room when not in use.

Retention and disposal:

Retained and disposed of in accordance with General Records Schedule No. 6, Item No. 1.

System manager(s) and address:

Chief, Division of Fiscal Services, Office of Administrative Services, U.S. Department of the Interior, 18th and C Streets, NW, Washington, D.C. 20240.

Notification procedure:

Inquiries regarding the existence of records should be addressed to the System Manager. A written, signed request stating that the requester seeks information concerning records pertaining to him is required. See 43 CFR 2.60.

Record access procedures:

A request for access may be addressed to the System Manager. The request must be in writing and be signed by the requester. The request must meet the content requirements of 43 CFR 2.63.

Contesting record procedures:

A petition for amendment should be addressed to the System Manager and must meet the content requirements of 43 CFR 2.71.

Record source categories:

Debtor, accounting records.

INTERIOR/OS-87

System name:

Cash Receipts—Interior, Office of the Secretary—87.

System location:

Division of Fiscal Service, Office of Administrative Services, U.S. Department of the Interior, 18th and C Streets, NW, Washington, D.C. 20240.

Categories of individuals covered by the system:

Persons paying for goods or services, returning overpayments or otherwise delivering cash. (The records contained in this system which pertain to individuals contain principally proprietary information concerning sole proprietorships. Some of the records in the system pertain to individuals may reflect personal information, however. Only the records reflecting personal information are subject to the Privacy Act. The system also contains records concerning corporations, other business entities and organizations. These records are not subject to the Privacy Act.)

Categories of records in the system:

Individual's name, the goods or services purchased, check number, date and treasury deposit number.

Authority for maintenance of the system:

31 U.S.C. 3512.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary use of the records is to account for monies paid to the Office of the Secretary. Disclosures outside the Department of the Interior may be made (1) to the U.S. Department of Justice or in a proceeding before a court or adjudicative body when (a) the United States, the Department of the Interior, a component of the Department, or, when represented by the government, an employee of the Department is a party to litigation or anticipated litigation or has an interest in such litigation, and (b) the Department of the Interior determines that the disclosure is relevant or necessary to the litigation and is compatible with the purpose for which the records were compiled, (2) of information indicating a violation or potential violation of a statute, regulation, rule, order or license, to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order of license, and (3) to a Member of Congress from the record of an individual in response to an inquiry made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Manual and machine readable.

Retrievability:

Date and name.

Safeguards:

Maintained in locked room when not in use.

Retention and disposal:

Retained and disposed of in accordance with General Records Schedule No. 6, Item No. 1.

System manager(s) and address:

Chief, Division of Fiscal Services, Office of Administrative Services, U.S. Department of the Interior, 18th and C Streets, NW, Washington, D.C. 20240.

Notification procedure:

Inquiries regarding the existence of records should be addressed to the System Manager. A written, signed request stating that the requester seeks information concerning records pertaining to him is required. See 43 CFR 2.60.

Record access procedures:

A request for access may be addressed to the System Manager. The request must be in writing and be signed by the requester. The request must meet the content requirements of 43 CFR 2.63.

Contesting record procedures:

A petition for amendment should be addressed to the System Manager and must meet the content requirements of 43 CFR 2.71.

Record source categories:

Individual remitters.

INTERIOR/OS-88

System name:

Travel—Interior, Office of the Secretary—88.

System location:

(1) Division of Fiscal Services, Office of Administrative Services, U.S. Department of the Interior, 18th and C Streets, NW, Washington, D.C. 20240.

Categories of individuals covered by the system:

Employees of the Office of the Secretary, Other Departmental Offices, and Independent Agencies, Councils, and Commissions who are provided administrative support, and persons serving without compensation to the extent authorized under 5 U.S.C. 5703.

Categories of records in the system:

Name, address, destination, itinerary, mode and purpose, dates, expenses, advances, claims, reimbursements, and authorizations.

Authority for maintenance of the system:

5 U.S.C. 5701 et seq.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary use of the records is to process travel authorizations and claims. Disclosures outside the Department of the Interior may be made (1) the U.S. Treasury for payment of claims; (2) to the State Department for passports; (3) to the U.S. Department of Justice or in a proceeding before a court or adjudicative body when (a) the United States, the Department of the Interior, a component of the Department, or, when represented by the government, an employee of the Department is a party to litigation or anticipated litigation or has an interest in such litigation, and (b) the Department of the Interior determines that the disclosure is relevant or necessary to the litigation and is compatible with the purpose for which the records were compiled; (4) of information indicating a violation or potential violation of a statute, regulation, rule, order or license, to appropriate Federal, State, local or foreign agencies responsible for investigation or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license; (5) to a Federal agency which has requested information relevant or necessary to its hiring or retention of an employee, or issuance of a security clearance, license, contract, grant or other benefit; (6) to Federal, State or local agencies where necessary to obtain information relevant to the hiring or retention of an employee, or the issuance of a security clearance, license, contract, grant or other benefit, (7) to a congressional office from the record of an individual in response to an inquiry the individual has made to the congressional office.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in manual, machine readable and printout form.

Retrievability:

Indexed by employee name and/or account number.

Safeguards:

Maintained in locked room when not in use.

Retention and disposal:

Retained and disposed of in accordance with General Records Schedule No. 9, Item No. 3.

System manager(s) and address:

Chief Division of Fiscal Services, Office of Administrative Services, U.S. Department of the Interior, 18th and C Streets, NW, Washington, D.C. 20240.

Notification procedure:

Inquiries regarding the existence of records should be addressed to the System Manager. A written, signed request stating that the requester seeks information concerning records pertaining to him is required. See 43 CFR 2.60.

Record access procedures:

A request for access may be addressed to the System Manager. The request must be in writing and be signed by the requester. The request must meet the content requirements of 43 CFR 2.63.

Contesting record procedures:

A petition for amendment should be addressed to the System Manager and must meet content requirements of 43 CFR 2.71.

Record source categories:

Employee, employing office, and standard travel document references.

INTERIOR/AAS—97

System name: Pilot Flight Time Report—Interior, Office of the Secretary.

System location: (1) National Headquarters, Office of Aircraft Services, Division of Technical Services, 3905 Vista Avenue, Boise, Idaho, 83705. (2) Regional Office—Regional Director, Office of Aircraft Services, 4343 Aircraft Drive, Anchorage, Alaska 99503.

Categories of individuals covered by the system: Professional, dual-function and incidental pilots employed by Interior Bureaus/Offices.

Categories of records in the system: The system contains information relative to certificates, qualifications, experience levels, currency and proficiency.

Authority for maintenance of the system: 5 USC 301, Reorganization Plan 3 of 1950.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The primary use of the record is to determine pilot qualifications and to monitor compliance with OAS directives and Federal Aviation Regulations. Disclosure outside the Department of the Interior may be made, (1) to the U.S. Department of Justice when related to litigation or anticipated litigation, (2) of information indicating a violation or potential violation of a statute, regulation, rule, order or license, to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license, (3) to a Federal agency which has requested information relevant or necessary to its hiring or retention of an employee, or issuance of a security clearance, license, pilot qualification card, grant or other benefit, (4) to Federal, State, local agencies or commercial business where necessary to obtain information relevant to the hiring or retention of an employee, or the issuance of a security clearance, license, pilot qualification card, grant or other benefit.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Manual and automated.

Retrievability: Indexed Social Security Account Number, Name, Agency and Location.

Safeguards: Access to and use of these records are limited to those persons whose official duties require such access.

Retention and disposal: According to approved records disposal schedules.

System manager(s) and address: (1) National Headquarters—Chief, Technical Services Division, Office of Aircraft Services, 3905 Vista Avenue, Boise, Idaho, 83705. (2) Regional Office—Regional Director, Office of Aircraft Services, 4343 Aircraft Drive, Anchorage, Alaska, 99503.

Notification procedure: Inquiries regarding the existence of records shall be addressed to the appropriate System Manager. A written, signed request stating that the requester seeks information concerning records pertaining to him is required. See 43 CFR 2.60.

Record access procedures: A request for access shall be addressed to the appropriate System Manager. The request must be in writing and be signed by the requester. The request must meet the content requirements of 43 CFR 2.63.

Contesting record procedures: A petition for amendment shall be addressed to the appropriate System Manager and must meet the content requirements of 43 CFR 2.71.

Record source categories: Information in this system comes from the individual to whom it applies and from OAS records.

INTERIOR/OS-99

System name:

Personnel Correspondence Files—Interior, Office of the Secretary— OS/99.

System location:

Office of the Secretary, Office of Congressional and Legislative Affairs, Division of Congressional Services, U.S. Department of the Interior, 18th and C Streets NW., Washington, DC 20240.

Categories of individuals covered by the system:

Those who have corresponded directly or indirectly through Members of Congress with the Office of Congressional and Legislative Affairs concerning personnel and employment matters within the Department.

Categories of records in the system:

Correspondence is filed in State files in alphabetical order under Members of Congress names. Correspondence may contain applications, résumés, or other personal materials in support of the reason for the individual's inquiry.

Authority for maintenance of the system:

5 U.S.C. 301; 44 U.S.C. 3101; 43 U.S.C. 1457; and Reorganization Plan 3 of 1950.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary use is to maintain a temporary record of the personal interest of the subject of the correspondence. Usually the correspondence is advising the constituent of the status of his or her application for a position with the Department, or advising of the current availability of opportunities, or of the procedures for applicant must undergo in order to be eligible for Federal work within the Department. These records are maintained alphabetically by calendar year basis and are destroyed after the yearly fiel has become 2 years old. The applications submitted may be provided in the subject's wishes to other personnel authorities within the Department for current consideration should there be possible opportunities or vacancies of possible interest to the applicant.

Disclosures outside the Department of the Interior may be made (1) to a Federal agency so that the agency may respond to an inquiry from the named individual; (2) to the U.S. Department of Justice or in a proceeding before a court or adjudicative body when (a) the United States, the Department of the Interior, a component of the Department, or when represented by the government, an employee of the Department is a party to litigation or anticipated litigation or has an interest in such litigation, and (b) the Department of the Interior determines that the disclosure is relevant or necessary to the litigation and is compatible with the purpose for which the records were compiled; (3) of information indicating a violation or potential violation of a statute, regulation, rule, order or license, to appropriate Federal, State, local or foreign agencies responsible for investigation or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license; and (4) to a congressional office from the record of an individual in response to an inquiry the individual has made to the congressional office.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are stored in metal file cabinets in locked rooms.

Retrievability:

Filing system maintained on yearly basis in alphabetical name order.

Retention and disposal:

Filing system maintained on calendar year basis and the 2d yearly file is destroyed December 31 at the end of the 2d year. General Records Schedule 1, Items 3, 15, and 33b govern the disposal of records.

System manager(s) and address:

Congressional Liaison Officer, Office of the Secretary, Office of Congressional and Legislative Affairs, 18th and C Streets NW., Washington, DC 20240.

Notification procedure:

To determine if records are maintained on you in this system write to the System Manager. See 43 CFR 2.60 for submission requirements.

Record access procedures:

Same as above. See 43 CFR 2.63 for submission requirements.

Contesting record procedures:

Same as above. See 43 CFR 2.71 for submission requirements.

Record source categories:

Correspondence or documents signed within the Office of the Secretary, Office of Congressional and Legislative Affairs, or presented to the Office in person by constituents and this material became a record of the interview or visit, etc.

INTERIOR/BIA-1

System name:

Property Loan Agreement Files—Interior, BIA—1.

System location:

All Area and Agency Offices (For a listing of specific locations, contact the Systems Manager.)

Categories of individuals covered by the system:

Individual Indians or non-Indians having a need for Government-owned real or personal property for use in a Bureau program.

Categories of records in the system:

(1) Records of accountability for Government-owned real or personal property loaned to individuals, and (2) records concerning individuals which have arisen as a result of that individual's misuse of or damage to Government-owned or Government-leased real or personal property.

Authority for maintenance of the system:

40 U.S.C. 483(6).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary use of the records is to identify individuals responsible for government-owned real or personal property by agreement. Disclosures outside the Department of the Interior may be made (1) to the U.S. Department of Justice when related to litigation or anticipated litigation, (2) of information indicating a violation or potential violation of a statute, regulation, rule, order or license, to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license, (3) from the record of an individual in respone to an inquiry from a Congressional office made at the request of that individual.

Disclosure to consumer reporting agencies:

Disclosures pursuant to 5 U.S.C. 552a(b) (12). Pursuant to 5 U.S.C. 552a (b)(12), disclosures may be made to a consumer reporting agency as defined in the Fair Credit Reporting Act (15 U.S.C. 1681a(f)) or the Federal Claims Collection Act of 1966 (31 U.S.C. 3701(a)(3)).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Manual: Letter files.

Retrievability:

(a) Indexed by individual name and cross-referenced by tribal name, contract or use permit number; (b) retrieved by manual search.

Safeguards:

In accordance with 43 CFR 2.51.

Retention and disposal:

Destroy one year after property is returned.

System manager(s) and address:

Director, Office of Administration, Bureau of Indian Affairs, Department of the Interior, 1951 Constitution Avenue, NW, Washington, D.C. 20245.

Notification procedure:

To determine whether the records are maintained on you in this system, write to the System Manager or, with respect to records maintained in the office for which he is responsible, an Area Director or Agency Superintendent. See 43 CFR 2.60.

Record access procedures:

To see your records, write the officials listed in the Notification procedure. Describe as specifically as possible the records sought. If copies are desired, indicate the maximum you are willing to pay. See 43 CFR 2.63.

Contesting record procedures:

To request corrections or the removal of material from your files, write the System Manager. See 43 CFR 2.71

Record source categories:

Individual on whom the record is maintained, Bureau of Indian Affairs employees, supervisors.

INTERIOR/BIA-2

System name:

Safety Management Information—Interior, BIA—2.

System location:

(1) All Area, Agency and Field Offices of the BIA. (2) Director, Office of Administration, Bureau of Indian Affairs, Department of the Interior, 1951 Constitution Avenue, NW, Washington, D.C. 20245. (For a listing of specific locations, contact the Systems Manager.)

Categories of individuals covered by the system:

(1) Employee operators and incidental operators of government-owned vehicles and equipment. (2) Federal employees who have had an accident or incident. (3) Injured employees who submit claims for medical attention or loss of earning capability due to on-the-job injury. (4) Individuals filing tort claims against the U.S. Government.

Categories of records in the system:

(1) Documents supporting the issuance of SF-46 Motor Vehicle Identification Cards to employees, (2) reports of accident/incident by agency, area, name of person involved and social security number, (3) employee claims case files pertaining to claims submitted to the Office of Workmen's Compensation, and (4) case files with supporting documents pertaining to tort claims filed by an individual against the U.S. Government, and (5) records concerning individuals which have arisen as a result of that individual's misuse of or damage to Government-owned or Government-leased motor vehicles, other equipment/facilities, and salary overpayments as a result of misuse of leave relating to Office of Workmen's Compensation claims deemed to be invalid.

Authority for maintenance of the system:

5 U.S.C. 7902, 28 U.S.C. 2671-2680, 31 U.S.C. 242-243.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary use of the record is to provide complete recordkeeping on qualified motor vehicle operators in BIA, employee accidents or incidents, Federal employees compensation claims and adjudication of tort claims. Disclosures outside the U.S. Department of the Interior may be made (1) to the U.S. Department of Justice when related to litigation or anticipated litigation, (2) of information indicating a violation or potential violation of a statute, regulation, rule, order or license, to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license, (3) from the record of an individual in response to an inquiry from a Congressional office made at the request of that individual, (4) to a Federal agency which has requested information relevant or necessary to its hiring or retention of an employee, or issuance of a security clearance, license, contract, grant or other benefit, (5) to Federal, State, or local agencies where necessary to obtain information relevant to the hiring or retention of an employee, or the issuance of a security clearance, contract, license, grant or other benefit.

Disclosure to consumer reporting agencies:

Disclosures pursuant to 5 U.S.C. 552a(b)(12). Pursuant to 5 U.S.C. 552a (b)(12), disclosures may be made to a consumer reporting agency as defined in the Fair Credit Reporting Act (15 U.S.C. 1681a(f)) or the Federal Claims Collection Act of 1966 (31 U.S.C. 3701(a)(3)).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Manual: Letter files.

Retrievability:

(a) Indexed alphabetically by name of employee. (b) Retrieved by manual search.

Safeguards:

In accordance with 43 CFR 2.51.

Retention and disposal:

Records permanently retained.

System manager(s) and address:

Director, Office of Administration, Bureau of Indian Affairs, Department of the Interior, 1951 Constitution Avenue, NW, Washington, D.C. 20245.

Notification procedure:

To determine whether the records are maintained on you in this system, write to the System Manager or with respect to records maintained in the office for which he is responsible, the Agency or School Superintendent, the Area or Field Office Director. See 43 CFR 2.60.

Record access procedures:

To see your records, write the officials listed in the Notification procedure. Describe as specifically as possible the records sought. If copies are desired, indicate the maximum you are willing to pay. See 43 CFR 2.63.

Contesting record procedures:

To request corrections or the removal of material from your files, write the System Manager. See 43 CFR 2.71.

Record source categories:

Claimants. Individuals on whom the record is maintained.

INTERIOR/BIA-3

System name:

Individual Indian Monies—Interior, BIA—3.

System location:

(1) All Area and Agency Offices of the BIA or contractors processing IIM accounts for them. (2) Division of Accounting Management, Bureau of Indian Affairs, P.O. Box 2088, Albuquerque, NM 87103. For a listing of specific locations, contact the Systems Manager.

Categories of individuals covered by the system:

Individual Indians who have money accounts.

Categories of records in the system:

(1) General ledgers showing deposits and withdrawals from Indians' accounts and money folders with supporting documentation, and (2) records concerning overdrafts paid to individuals from the IIM account.

Authority for maintenance of the system:

25 U.S.C. 151.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

(a)The primary uses of the records are to control individual Indian's money accounts and to disclose to them the status of those accounts. (b) Provides management with an automated information system for program planning, reporting and management utilization. Disclosures outside the Department of the Interior may be made (1) granting of access or transfer to another Federal agency, a State or local government, Indian tribal group or to any individual or establishment that, under contract to the BIA or as the result of some form of legal transfer of the program to them, will have jurisdiction for the IIM program now under the jurisdiction of the BIA, (2) to the U.S. Department of Justice when related to litigation or anticipated litigation, (3) of information indicating a violation or potential violation of a statute, regulation, rule, order or license, to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statue, rule, regulation, order or license, (4) from the record of an individual in response to an inquiry from a Congressional office made at the request of that individual, (5) to a Federal agency which has requested information relevant or necessary to its hiring or retention of an employee, or issuance of a security clearance, license, contract, grant or other benefit.

Disclosure to consumer reporting agencies:

Disclosures pursuant to 5 U.S.C. 552a(b)(12). Pursuant to 5 U.S.C. 552a(b)(12), disclosures may be made to a consumer reporting agency as defined in the Fair Credit Reporting Act (15 U.S.C. 1681a(f)) or the Federal Claims Collection Act of 1966 (31 U.S.C. 3701(a)(3)).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Manual: Maintained in letter files, cardex, and binders for non-automated areas; Computer: Maintained in computer translatable form on magnetic tape for automated areas.

Retrievability:

(a) Indexed by name of identifying number. (b) Retrieved by manual search and through computer batch processes.

Safeguards:

In accordance with 43 CFR 2.51.

Retention and disposal:

Closed files are transferred to the appropriate GSA Federal Records Center five years after probate and other actions are completed. Prior information on magnetic tape erased as updated information is added to the system.

System manager(s) and address:

Director, Office of Administration, Bureau of Indian Affairs, 1951 Constitution Avenue, NW, Washington, D.C. 20245.

Notification procedure:

To determine whether the records are maintained on you in this system, write to the System Manager or, with respect to records maintained in the office for which he is responsible, an Area Director or Agency Superintendent. See 43 CFR 2.60.

Record access procedures:

To see your records, write the officials listed in the Notification procedure. Describe as specifically as possible the records sought. If copies are desired, indicate the maximum you are willing to pay. See 43 CFR 2.63.

Contesting record procedures:

To request corrections or the removal of material from your files, write the System Manager. See 43 CFR 2.71.

Record source categories:

Individual on whom record is maintained, depositors in the accounts and claimants against the accounts.

INTERIOR/BIA-4

System name: Indian Land Records—Interior, BIA-4.

System location: (1) Land Records Improvement Program Liaison Office, Bureau of Indian Affairs, 500 Gold Ave., SW, Albuquerque, NM 87103. (2) Title plants at the following five Area Offices of the BIA: Portland, Billings, Anadarko, Aberdeen and Albuquerque. (3) Central Area, Agency and Field Offices of the BIA. (For a listing of specific locations, contact the Systems Manager.)

Categories of individuals covered by the system: Individual Indians and Indian tribal groups that owners of land held in trust by the government.

Categories of records in the system: (1) Land description, current ownership, probate and title history of Indian trust lands, and (2) records concerning individuals which have arisen as a result of that individual's receipt of overpayment(s) relative to land disposal, leases, sales and rentals.

Authority for maintenance of the system: 25 U.S.C. 392.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The primary uses of the records are (a) to identify individual Indians' and Indian Tribal Groups' interest in lands held in trust, (b) land acquisition and disposal and tenure and management purposes, (c) adjudication of rights to the land or resources, (d) administration leases, sales, rentals, transfers, (e) land statistics for BIA personnel information uses, and (f) to answer questions regarding land rights. Disclosures outside the Department of the Interior may be made (1) to transfer or disclose to another Federal agency, a State or local government, or to any individual or establishment that has been appointed to act as trustee for Indian lands, (2) to the Department of Justice when related to litigation or aniticipated litigation, (3) of information indicating a violation or potential violation of a statute, regulation, rule, order or license, to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license, (4) from the record of an individual or tribe in response to an inquiry from a Congressional office made at the request of that individual or authorized tribal official, (5) to title insurance and abstracting companies and attorneys for the purposes of determining ownership of an encumbrance against title.

Disclosure to consumer reporting agencies:

Disclosures pursuant to 5 U.S.C. 552a(b)(12).

Pursuant to 5 U.S.C. 552a(b)(12), disclosures may be made to a consumer reporting agency as defined in the Fair Credit Reporting Act (15 U.S.C. 1681a(f)) or the Federal Claims Collection Act of 1966 (31 U.S.C. 3701(a)(3)).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Manual: Basic legal documents in letter files at the five title plants and input documents and printed copies in letter files at the Albuquerque Office, the five title plants, and the Area, Agency and Field Offices. Computer: Mag-tape and disk.

Retrievability: (a) Indexed by name of identification number of individual. Historical Index Computer files are in order by land location. Current owners are in order by land location and then by owner identification number. (b) Retrieved by manual search, use of computer printouts and batch inquiries of the computer.

Safeguards: In accordance with 43 CFR 2.51.

Retention and disposal: Records permanently retained. Records permanently retained for historical index. Prior information on magtape and disk is erased as new data is added for the current owner files.

System manager(s) and address: Director, Office of Trust Responsibilities, Bureau of Indian Affairs, 18th and C Streets, NW, Washington, D.C. 20245.

Notification procedure: To determine whether the records are maintained on you in this system, write to the System Manager or, with respect to records maintained in the office for which he is responsible, an Area or Field Office Director, or an Agency Superintendent. See 43 CFR 2.60.

Record access procedures: To see your records, write the officials listed in the Notification procedure. Describe as specifically as possible the records sought. If copies are desired, indicate the maximum you are willing to pay. See 43 CFR 2.63.

Contesting record procedures: To request corrections or the removal of material from your files, write the System Manager. See 43 CFR 2.71.

Record source categories: Legal records such as titles, deeds, probates and birth notices.

INTERIOR/BIA-5

System name:

Indian Land Leases--Interior, BIA-5.

System location:

(1) Area, Agency and Field Offices of the BIA. (2) Division of Automatic Data Processing Services, Bureau of Indian Affairs, 500 Gold Ave., SW, Albuquerque, NM 87103. (3) Contractors, including Indian tribal groups and other federal agencies. (For a listing of specific locations, contact the Systems Manager.)

Categories of individuals covered by the system:

Individual Indian and Indian tribal groups that are owners of real property held in trust by the government, and individuals or groups that are potential or actual lessees of that property.

Categories of records in the system:

Land description, heirship and current ownership of Indian trust lands and real property; identification of owners and lessees; water, surface and subsurface rights on that land; conservation, irrigation and land use projects; and information on all types of leases, including grazing, farming, minerals and mining, timber, business, etc; and records concerning individuals which have arisen as a result of that individual's receipt of overpayment(s) relative to the distribution of leased income.

Authority for maintenance of the system:

25 U.S.C. 415.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary uses of the records are (a) to control leases on Indian trust lands and real property, (b) for the collection and distribution of lease income (c) protection of water, surface and subsurface rights on Indian trust lands, and (d) planning, and implementing conservation, irrigation and land use projects on Indian lands. Disclosures outside the Department of the Interior may be made, (1) to another Federal agency, a State or local government, Indian tribal group or contractor having jurisdiction of programs ordinarily the responsibility of the BIA, (2) to the Department of Justice when related to litigation or anticipated litigation, (3) of information indicating a violation or potential violation of a statute, regulation, rule, order or license to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license, (4) to title insurance and abstracting companies and attorneys for the purposes of determining ownership of and encumbrances against title.

Disclosure to consumer reporting agencies:

Disclosures pursuant to 5 U.S.C. 552a(b)(12). Pursuant to 5 U.S.C. 552a(b)(12), disclosures may be made to a consumer reporting agency as defined in the Fair Credit Reporting Act (15 U.S.C. 1681a(f)) or the Federal Claims Collection Act of 1966 (31 U.S.C. 3701(a)(3)).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Manual: Letter files and maps. Computer: Mag-tape.

Retrievability: (a) Indexed by name of identification number of the individual. Computer file is in order by reservation and then by land lease numbers. (b) Retrieved by manual search, use of computer printouts, and batch inquiries of the computer.

Safeguards: Most records are maintained in accordance with 43 CFR 2.51 for both manual and computer records. A program will be initiated to bring the safeguards for the remaining systems of records up to the same standards.

Retention and disposal: Records held two years after lease expiration and then transferred to the Federal Records Center. Records permanently retained on mag-tape. Prior information on mag-tape is erased as new data or changes are added.

System manager(s) and address: Director, Office of Trust Responsibilities, Bureau of Indian Affairs, 18th and C Streets NW, Washington, D.C. 20245.

Notification procedure: To determine whether the records are maintained on you in this system, write to the System Manager or, with respect to records maintained in the office for which he is responsible, an Area or Field Office Director, or an Agency Superintendent See 43 CFR 2.60.

Record access procedures: To see your records, write the officials listed in the Notification procedure. Describe as specifically as possible the records sought. If copies are desired, indicate the maximum you are willing to pay. See 43 CFR 2.63.

Contesting record procedures:

To request corrections or the removal of material from your files, write the System Manager. See 43 CFR 2.71.

Record source categories:

Individual on whom record is maintained. Titles, deeds, birth and death notices, all types of land and water rights and usages documents.

INTERIOR/BIA-6

System name:

Navajo-Hopi Joint Use Project—Interior, BIA-6.

System location:

(1) Joint Use Administrative Office, 125 E. Birch St. Arizona Bank Bldg., Flagstaff, Arizona 86001. (2) Division of Automatic Data Processing Services, Bureau of Indian Affairs, 500 Gold Ave., SW., Albuquerque, NM 87103.

Categories of individuals covered by the system:

Navajo and Hopi Indians who are residents of the Joint Use Area in Arizona.

Categories of records in the system:

Census enumerations, and inventories and ownerships of property improvements (includes livestock inventories).

Authority for maintenance of the system:

25 U.S.C. 631, et seq.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary use of the records is to identify improvements locations, ownership and residents of the Joint Use Administration. Disclosures outside the Department of the Interior may be made (1) for Tribal Government use in adjudicating land disputes, (2) to Relocation Commission to identify resident and location and ownership of improvements, (3) U.S. Federal Courts concerned with the project, (4) to the U.S. Department of Justice when related to litigation or anticipated litigation, (5) of information indicating a violation or potential violation of a statute, regulation, rule, order or license, to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license, and (6) from the record of an individual in response to an inquiry from a Congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Manual: Letter files and computer printouts at the JUA Office. Computer: Disk files with mag-tape backup.

Retrievability:

(a) Indexed by name of individual. (b) Retrieved by manual search. Computer listings are by name in alphabetical order, also location and individual assigned number. Records are accessed from disk by location and individual's assigned number or a real estate improvement number in a batch process mode.

Safeguards:

In accordance with 43 CFR 2.51.

Retention and disposal:

Disk files are perpetual. Prior information on disk is erased as new data is added.

System manager(s) and address:

Project Officer, Joint Use Administrative Office, 125 E. Birch St., Arizona Bank Building, Flagstaff, Arizona 86001.

Notification procedure:

To determine whether the records are maintained on you in this system, write to the System Manager. See 43 CFR 2.60.

Record access procedures:

To see your records, write the System Manager or the Offices cited under "Systems Location". Describe as specifically as possible the records sought. If copies are desired, indicate the maximum you are willing to pay. See 43 CFR 2.63.

Contesting record procedures:

To request corrections or the removal of material from your files, write the System Manager. See 43 CFR 2.71.

Record source categories:

Navajo and Hopi residents of the Joint Use Area and enumeration surveyors who are interviewing claimants and physically examining property improvements.

INTERIOR/BIA-7

System name:

Tribal Rolls—Interior, BIA-7.

System location:

(1) All Area, Agency and Field Offices of the BIA. (2) Director, Office of Indian Services, Bureau of Indian Affairs, 18th and C Streets, NW, Washington, D.C. 20245. (3) Division of Automatic Data Processing Services, Bureau of Indian Affairs, 500 Gold Ave., SW, Albuquerque, NM 87103. (For a listing of specific locations, contact the System Manager.)

Categories of individuals covered by the system:

Individual Indians who are applying for or have been assigned interests of any kind in Indian tribes, bands, pueblos or corporations.

Categories of records in the system:

Documents supporting Individual Indians claims to interests in Indian tribal groups, including birth, marriage and death notices; records of actions taken (approvals, rejections, appeals); rolls of approved individuals; records of actions taken (judgement distributions, per capita payments, shares of stocks); ownership and census data taken using the rolls as a base; and records concerning individuals which have arisen as a result of that individual's receipt of funds or income to which that individual was not entitled or the entitlement was exceeded in the distribution of such funds.

Authority for maintenance of the system:

25 U.S.C. 163.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary uses of the records are (a) to determine eligibility of individuals who participate in or enjoy benefits from an interest in a tribal group, and (b) provide lists of approved enrollees used to distribute funds or income, or as a base to gather census or ownership data for planning purposes. Disclosures outside the Department of the Interior may be made (1) to the Tribe, Band, Pueblo or corporation of which the individual to whom a record pertains is a member or a stockholder, (2) to the U.S. Department of Justice when related to litigation or anticipated litigation, (3) of information indicating a violation or potential violation of a statute, regulation, rule, order or license, to appropriated Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license, (4) from the record of an individual in response to an inquiry from a Congressional office made at the request of that individual, (5) to a Federal agency which has requested information relevant or necessary to its hiring or retention of an employee, or issuance of a security clearance, license, contract, grant or other benefit, (6) to Federal, State or local agencies where necessary to obtain information relevant to the hiring or retention of an employee, or the issuance of a security clearance, contract, license, grant or other benefit.

Disclosure to consumer reporting agencies:

Disclosures pursuant to 5 U.S.C. 552a (b)(12).

Pursuant to 5 U.S.C. 552a(b)(12), disclosures may be made to a consumer reporting agency as defined in the Fair Credit Reporting

Act (15 U.S.C. 1681a(f)) or the Federal Claims Collection Act of 1966 (31 U.S.C. 3701(a)(3)).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Manual: Letter files and computer printouts. Computer: Disk files with mag-tape backup protection.

Retrievability:

(a) Indexed by name, identification numbers, family numbers, etc. (b) Retrieved by manual search or computer inquiry.

Safeguards:

In accordance with 43 CFR 2.51.

Retention and disposal:

Records permanently retained. Disk files are perpetual. Prior information on disk is erased as new data is added or changed.

System manager(s) and address:

Director, Office of Indian Services, Bureau of Indian Affairs, 18th and C Streets NW, Washington, D.C. 20245.

Notification procedure:

To determine whether the records are maintained on you in this system, write to the System Manager or with respect to records maintained in the office for which he is responsible, an Agency Superintendent or an Area or Field Office Director. See 43 CFR 2.60.

Record access procedures:

To see your records, write the officials listed in the Notification procedure. Describe as specifically as possible the records sought. If copies are desired, indicate the maximum you are willing to pay. See 43 CFR 2.63.

Contesting record procedures:

To request corrections or the removal of material from your files, write the System Manager. See 43 CFR 2.71.

Record source categories:

Individual on whom record is maintained. Birth, marriage and death certificates, and family and tribal histories.

INTERIOR/BIA-8

System name:

Indian Social Services Case Files—Interior, BIA-8.

System location:

All Area, Agency and Field Offices of the BIA. (For a listing of specific locations, contact the System Manager.)

Categories of individuals covered by the system:

Individual Indians who apply and receive social services and direct assistance from the Bureau of Indian Affairs on Indian reservations.

Categories of records in the system:

Case files and related card files giving history of social services and direct assistance to individual Indians; and records concerning individuals which have arisen as a result of that individual's receipt of payment or overpayment of direct assistance funds which the individual was not entitled and/or for the misuse of funds disbursed under the direct entitlement program.

Authority for maintenance of the system:

25 U.S.C. 13.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary uses of the records are (a) provides permanent individual records on social services and direct assistance to individual Indians. (b) Provides management with an automated information system for program planning, reporting and management utilization. Disclosures outside the Department of the Interior may be made (1) granting or access of transfer to another Federal agency, a State or local government Indian tribal group or to any individual or establishment that will have jurisdiction whether by contract to the BIA, by assumption of trust responsibilities or by other means, for social services programs now controlled by the BIA, (2) to the U.S. Department of Justice when related to litigation or anticipated litigation, (3) of information indicating a violation or potential violation of a statute, regulation, rule, order or license to appropriate Federal, State, local or foreign Agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license, (4) from the record of an individual in response to an inquiry from a Congressional office made at the request of that individual, (5) to a Federal agency which has requested information relevant or necessary to its hiring or retention of an employee, or issuance of a security clearance, license, contract, grant other benefit, (6) to Federal, State or local agencies where necessary to obtain information relevant to the hiring or retention of an employee, or the issuance of a security clearance, contract, license, grant or other benefit.

Disclosure to consumer reporting agencies:

Disclosures pursuant to 5 U.S.C. 552a(b)(12).

Pursuant to 5 U.S.C. 552a(b)(12), disclosures may be made to a consumer reporting agency as defined in the Fair Credit Reporting Act (15 U.S.C. 1681a(f)) or the Federal Claims Collection Act of 1966 (31 U.S.C. 3701(a)(3)).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Manual; letter files; computer-maintained in computer translatable form on magnetic tape for automated areas.

Retrievability:

(a) Indexed alphabetically by name of applicant and/or recipient. (b) Retrieved by manual search.

Safeguards:

In accordance with 43 CFR 2.51.

Retention and disposal:

Transfer inactive files to GSA Federal Records Center five years.

System manager(s) and address:

Director, Office of Indian Services, Bureau of Indian Affairs, 18th and C Streets NW, Washington, D.C. 20245.

Notification procedure:

To determine whether the records are maintained on you in this system write to the System Manager, or, with respect to records maintained in the office for which he is responsible, an Agency Superintendent or an Area or Field Office Director. See 43 CFR 2.60.

Record access procedures:

To see your records, write the officials listed in the Notification procedure. Describe as specifically as possible the records sought. If copies are desired, indicate the maximum your are willing to pay. See 43 CFR 2.63.

Contesting record procedures:

To request corrections or the removal of material from your files, write the System Manager. See 43 CFR 2.71.

Record source categories:

Individual on whom record is maintained.

INTERIOR/BIA-9

System name:

Traders License Files—Interior, BIA-9.

System location:

All Area and Agency Offices of the BIA. (For a listing of specific locations, contact the Systems Manager.)

Categories of individuals covered by the system:

Applicants requesting licenses to trade on Indian reservations.

Categories of records in the system:

Case files containing applications, bond forms, copies of licenses and related correspondence.

Authority for maintenance of the system:

25 U.S.C. 261.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary use of the record is to identify individuals authorized to trade Indian reservations. Disclosures outside the Department of the Interior may be made (1) to the U.S. Department of Justice when related to litigation or anticipated litigation, and (2) of information indicating a violation or potential violation of a statute, regulation, rule, order or license, to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Manual: Letter files at Area and Agency Offices.

Retrievability:

(a) Indexed alphabetically by name of applicant. (b) Retrieved by manual search.

Safeguards:

In accordance with 43 CFR 2.51.

Retention and disposal:

Transfer to the GSA Federal Records Center five years after case becomes inactive.

System manager(s) and address:

Director, Office of Indian Services, Bureau of Indian Affairs, 18th and C Streets NW, Washington, D.C. 20245.

Notification procedure:

To determine whether the records are maintained on you in this system, write to the System Manager or, for records maintained in the office for which he is responsible, an Agency Superintendent or an Area Director See 43 CFR 2.60.

Record access procedures:

To see your records, write the officials listed in the Notification procedure. Describe as specifically as possible the records sought. If copies are desired, indicate the maximum you are willing to pay. See 43 CFR 2.63.

Contesting record procedures:

To request corrections or the removal of material from your files, write the System Manager. See 43 CFR 2.71.

Record source categories:

Individual on whom record is maintained.

INTERIOR/BIA-10

System name:

Indian Housing Improvement Program—Interior, BIA-10.

System location:

(1) Division of Housing Services, Bureau of Indian Affairs, 1951 Constitution Avenue, NW, Washington, D.C. 20245. (2) All Area and Agency Offices. (For a listing of specific locations, contact the System Manager.)

Categories of individuals covered by the system:

Individual Indians who qualify as housing improvement participants.

Categories of records in the system:

(1) Housing applications, financial records, and engineering drawing material, and (2) records concerning individuals which have arisen as a result of that individual's receipt of Housing Improvement Program funds for which the individual did not meet prescribed eligibility criteria, or as a result of the individual's misuse of funds for the purpose(s) disbursed.

Authority for maintenance of the system:

25 U.S.C. 13.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary uses of the records are (a) to maintain a management control of funds distributed to each individual and (b) to provide a progress report on housing improvements. Provides management with an automated information system for program planning, reporting and management utilization. disclosures outside the Department of the Interior may be made (1) disclosure or transfer to another Federal agency, a State or local government, an Indian tribal group or a contractor that will have jurisdiction over programs now controlled by the BIA (2) to the U.S. Department of Justice when related to litigation or anticipated litigation, (3) of information indicating a violation or to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license, (4) from the record of an individual in response to an inquiry from a Congressional office made at the request of that individual, (5) to a Federal agency which has requested information relevant or necessary to its hiring or retention of an employee, or issuance of a security clearance, license, contract, grant or other benefit.

Disclosure to consumer reporting agencies:

Disclosures pursuant to 5 U.S.C. 552a(b)(12). Pursuant to 5 U.S.C. 552a(b)(12), disclosures may be made to a consumer reporting agency as defined in the Fair Credit Reporting Act (15 U.S.C. 1681a(f)) or the Federal Claims Collection Act of 1966 (31 U.S.C. 3701(a)(3)).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Manual letter files. Computer: Maintained in computer translatable form on magnetic tape for automated areas.

Retrievability:

(a) Indexed by name of applicant. (b) Retrieved by manual search.

Safeguards:

In accordance with 43 CFR 2.51.

Retention and disposal:

Records permanently retained.

System manager(s) and address:

Director, Office of Indian Services, Bureau of Indian Affairs, 18th and C Sts, NW, Washington, D.C. 20245

Notification procedure:

To determine whether the records are maintained on you in this system, write to the System Manager or, with respect to records maintained in the office for which he is responsible, the Agency Superintendent or the Area or Field Office Director. See 43 CFR 2.60

Record access procedures:

To see your records, write the officials listed in the Notification procedure. Describe as specifically as possible the records sought. If copies are desired, indicate the maximum you are willing to pay. See 43 CFR 2.63.

Contesting record procedures:

To request correction or the removal of material from your files, write the System Manager. See 43 CFR 2.71.

Record source categories:

Individual on whom record is maintained.

INTERIOR/BIA-11

System name:

Indian Business Development Program (Grants)—Interior, BIA-11.

System location:

(1) Office of Indian Services, Bureau of Indian Affairs, 18th and C Streets, NW, Washington, D.C. 20245. (2) Division of ADP Services, Bureau of Indian Affairs, 500 Gold Ave., SW, Albuquerque, NM 87103. (3) Area and Agency Offices. (For a listing of specific locations, contact the Systems Manager.)

Categories of individuals covered by the system:

Indian Business Grant applicants.

Categories of records in the system:

(1) Grant application and supporting documents including financial transactions recording obligations and disbursements of grant funds, and (2) records concerning individuals which have arisen as a result of that individual's receipt of grant funds for which the individual did not meet prescribed eligibility criteria or as a result of the individual's misuse of funds for the purpose(s) disbursed.

Authority for maintenance of the system:

88 Stat. 77 (1974).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary use of the record is to identify individual receiving grant. Disclosures outside the Department of the Interior may be made (1) transfer or disclosure to another Federal agency, a State or local government, an Indian tribal group or a contractor that will have jurisdiction over programs now managed by the BIA, (2) to the Economic Development Administration, Farmers Home Administration and Small Business Administration in regard to participating funding packages between these agencies and BIA, (3) to the U.S. Department of Justice when related to litigation or anticipated litigation, (4) of information indicating a violation or potential violation of a statute, regulation, rule, order or license, to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license, (5) from the record of an individual in response to an inquiry from a Congressional office made at the request of that individual.

Disclosure to consumer reporting agencies:

Disclosures pursuant to 5 U.S.C. 552a(b)(12). Pursuant to 5 U.S.C. 552a(b)(12), disclosures may be made to a consumer reporting agency as defined in the Fair Credit Reporting Act (15 U.S.C. 1681a(f)) or the Federal Claims Collection Act of 1966 (31 U.S.C. 3701(a)(3)).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Manual: Letter files and computer printouts. Computer: Mag-tape/disk.

Retrievability:

(a) Indexed by individual's name or control number. (b) Retrieved by manual search and through batch inquiries of computer.

Safeguards:

In accordance with 43 CFR 2.51.

Retention and disposal:

Records permanently retained. Prior information on mag-tape is erased as new data is added.

System manager(s) and address:

Director, Office of Indian Services, Bureau of Indian Affairs, 18th and C Streets NW, Washington, D.C. 20245.

Notification procedure:

To determine whether the records are maintained on you in this system, write to the Systems Manager or, with respect to records maintained in the office for which he is responsible, an Area Director or an Agency Superintendent. (See 43 CFR 2.60).

Record access procedures:

To see your records, write the Systems Manager or the offices cited under "Systems Location". Describe as specifically as possible the records sought. If copies are desired, indicate the maximum you are willing to pay. See 43 CFR 2.63.

Contesting record procedures:

To request corrections or the removal of material from your files, write the Systems Manager. See 43 CFR 2.71.

Record source categories:

Individual on whom record is maintained. Legal records such as titles, deeds, probates and birth notices.

INTERIOR/BIA-12

System name:

Indian Trust Land Mortages—Interior, BIA-12

System location:

Area and Agency Offices. (For a listing of specific locations, contact the Systems Manager.)

Categories of individuals covered by the system:

Individual Indians who mortgaged trust land to customary lenders.

Categories of records in the system:

Mortgage records and supporting documents.

Authority for maintenance of the system:

25 U.S.C. 483(a).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary uses of the records are (a) to furnish lender with information on applicant and on status of land and (b) to maintain current information on payments and balances of loan. Disclosures outside the Department of the Interior may be made (1) to disclose or transfer to another Federal agency, a State of local government, an Indian tribal group or a contractor that will have jurisdiction over programs now managed by the BIA, (2) to the Economic Development Administration, Farmers Home Administration and Small Business Administration in regard to participating funding between those agencies and BIA, (3) to the U.S. Department of Justice when related to litigation or anticipated litigation, (4) of information indicating a violation or potential violation of a statute, regulation, rule, order or license, to appropriate Federal State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license, and (5) from the record of an individual in response to an inquiry from a Congressional office made at the request of that individual, (6) to title insurance and abstracting companies and attorneys for the purposes of determining ownership of and encumbrances against title.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Manual: Letter files.

Retrievability:

(a) Indexed by individual's name. (b) Retrieved by manual search.

Safeguards:

In accordance with 43 CFR 2.51.

Retention and disposal:

Records are permanently retained.

System manager(s) and address:

Director, Office of Trust Responsibilities, Bureau of Indian Affairs, 18th and C Streets NW, Washington, D.C. 20245

Notification procedure:

To determine whether the records are maintained on you in this system, write to the System Manager or, with respect to records maintained in the office for which he is responsible, an Area or Field Office Director, or any Agency Superintendent. (See 43 CFR 2.60.)

Record access procedures:

To see your records, write the officials listed in the Notification procedure. Describe as specifically as possible the records sought. If copies are desired, indicate the maximum you are willing to pay. (See 43 CFR 2.63.)

Contesting record procedures:

To request correction or the removal of material from your files, write the System Manager. (See 43 CFR 2.71.)

Record source categories:

Mortgage applicants.

INTERIOR/BIA-13

System name:

Indian Loan Files—Interior, BIA-13.

System location:

(1) Office of Indian Services, Bureau of Indian Affairs, 18th and C Streets, NW, Washington, D.C. 20245. (2) Division of ADP Services, Bureau of Indian Affairs, 500 Gold Ave., SW., Albuquerque, NM 87103. (3) Area and Agency offices. (For a listing of specific locations, contact the System Manager.)

Categories of individuals covered by the system:

Applicants who applied for or received loans. Applicants who applied for or received guaranteed loans.

Categories of records in the system:

(1) Loan applications and supporting documents, record of payment cards, guaranty agreements, eligibility certificates, default documents, and/or promissory notes, and (2) records concerning an individual's refusal to make required loan payments when it is determined by the United States that the individual has sufficient assets to pay and/or as a result of the individual's misuse of loan proceeds.

Authority for maintenance of the system:

25 U.S.C. 482, 461, et seq.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary uses of the records are (a) to maintain a record of payments and unpaid balances and (b) to provide information on payments made for paying interest subsidy, credits obtained, service loans, and premiums paid by lenders. Disclosures outside the Department of the Interior may be made (1) disclosure or transfer to another Federal agency, a State or local government, an Indian tribal group or a contractor that will have jurisdiction over programs now maintained by the BIA, (2) to the Economic Development Administration, Farmers Home Administration and Small Business Administration, in regard to participating funding between those agencies and BIA, (3) to the U.S. Department of Justice when related to litigation or anticipated litigation, (4) of information indicating a violation or potential violation of a statute, regulation, rule, order or license, to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license, (5) from the record of an individual in response to an inquiry from a Congressional office made at the request of that individual.

Disclosure to consumer reporting agencies:

Disclosures pursuant to 5 U.S.C. 552a(b)(12). Pursuant to 5 U.S.C. 552a(b)(12), disclosures may be made to a consumer reporting agency as defined in the Fair Credit Reporting Act (15 U.S.C. 1681a(f)) or the Federal Claims Collection Act of 1966 (31 U.S.C. 3701(a)(3)).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Manual: Letter files, applications and computer printouts. Computer: Mag-tape/disk.

Retrievability:

(a)Indexed by individual's name, control number or tribal name. (b) Retrieved by manual search and through batch inquiries.

Safeguards:

In accordance with 43 CFR 2.51.

Retention and disposal:

Destroy seven years after loan is paid, cancelled, or otherwise disposed of. Prior information on mag-tape is erased as new data is added.

System manager(s) and address:

Director, Office of Indian Services, Bureau of Indian Affairs, 18th and C Street NW., Washington, D.C. 20245.

Notification procedure:

To determine whether the records are maintained on you in this system, write to the Systems Manager or, with respect to records maintained in the office for which he is responsible, an Area Director or an Agency Superintendent. See 43 CFR 2.60.

Record access procedures:

To see your records, write the Systems Manager or the offices cited under 'Systems Location'. Describe as specifically as possible the records sought. If copies are desired, indicate the maximum you are willing to pay. See 43 CFR 2.63.

Contesting record procedures:

To request corrections or the removal of material from your files, write the System Manager. See 43 CFR 2.71.

Record source categories:

Individual on whom record is maintained.

INTERIOR/BIA-14

System name:

Travel Accounting System—Interior, BIA-14.

System location:

(1) Division of Accounting Management, Bureau of Indian Affairs, 500 Gold Ave., SW, Albuquerque, NM 87103. (2) All Area, Agency, and Field Offices (including the Washington Office) of the BIA. (For a listing of specific locations, contact the Systems Manager.)

Categories of individuals covered by the system:

Individuals who are traveling at government expense.

Categories of records in the system:

(1) Travel authorization, advances and vouchers, and (2) records concerning an individual's inability to file a proper travel voucher within prescribed time lines to liquidate a travel advance, to repay the difference between an advance and an audited travel voucher, or as a result of an individual's misuse of funds advanced for official travel.

Authority for maintenance of the system:

5 U.S.C. 5701, et seq.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary use of the record is to identify individuals who are authorized to travel and be reimbursed by the government. Disclosures outside the Department of the Interior may be made (1) disclosure or transfer to another Federal agency, a State or local government, an Indian tribal group or a contractor that will have jurisdiction over programs now controlled by the BIA and that require personal travel at program expense, (2) to the U.S. Department of Justice when related to litigation or anticipated, lititgation, (3) of information indicating a violation or potential violation of a statute, regulation, rule, order or license, to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license.

Disclosure to consumer reporting agencies:

Disclosure pursuant to 5 U.S.C. 552a(b)(12). Pursuant to 5 U.S.C. 552a(b)(12), disclosures may be made to a consumer reporting agency as defined in the Fair Credit Reporting Act (15 U.S.C. 1681a(f)) or the Federal Claims Collection Act of 1966 (31 U.S.C. 3701(a)(3)).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Manual: Input documents and printed copies are maintained at the Albuquerque Office and at Area, Agency and Field Offices for individuals under their jurisdiction; Computer: Maintained in computer translatable form on mag-tape.

Retrievability:

(a) Indexed by name or identification number of traveler. (b) Retrieved by manual search or batch computer processing.

Safeguards:

In accordance with 43 CFR 2.51.

Retention and disposal:

Records are retained in current status pending final action which is accomplished through batched computer processing. Historical records retained one year then transferred to Federal Records Center.

System manager(s) and address:

Director, Office of Administration, Bureau of Indian Affairs, 1951 Constitution Avenue, NW, Washington, D.C. 20245.

Notification procedure:

To determine whether the records are maintained on you in this system, write to the System Manager or, with respect to records maintained in the office for which he is responsible, the Agency or School Superintendent, or the Area or Field Office Director. See 43 CFR 2.60.

Record access procedures:

To see your records, write the officials listed in the Notification procedure. Describe as specifically as possible the records sought. If copies are desired, indicate the maximum you are willing to pay. See 43 CFR 2.63.

Contesting record procedures:

To request corrections or the removal of material from your files, write the System Manager. See 43 CFR 2.71.

Record source categories:

Individual on whom record is maintained.

INTERIOR/BIA-15

System name:

Trip Reports—Interior, BIA-15.

System location:

Central Office, Area, Agency and Field Office of the BIA. (For a listing of specific locations, contact the Systems Manager.)

Categories of individuals covered by the system:

Federal employees who are assigned to travel as part of their job.

Categories of records in the system:

(1) Copies of reports to supervisors and management officials documenting employee travel, findings and recommendations, and (2) records concerning an individual's failure to submit a prescribed trip report to substantiate official travel when the individual was granted an advance for such travel and as a result of an official trip report that does not substantiate the travel authorized and the individual was advanced funds and/or reimbursed funds for authorized travel.

Authority for maintenance of the system:

5 U.S.C. 5701, 25 U.S.C.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary use of the record is to provide local files which identify staff officer trip reports by name of individual for each BIA program office. Disclosures outside the Department of the Interior may be made (1) to the U.S. Department of Justice when related to litigation or anticipated litigation, (2) of information indicating a violation or potential violation of a statute, regulation, rule, order or license, to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license.

Disclosure to consumer reporting agencies:

Disclosure pursuant to 5 U.S.C.552a(b)(12). Pursuant to 5 U.S.C. 552a(b)(12), disclosures may be made to a consumer reporting agency as defined in the Fair Credit Reporting Act (15 U.S.C. 1681a(f)) or the Federal Claims Collection Act of 1966 (31 U.S.C. 3701(a)(3)).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Manual-letter files.

Retrievability:

(a) Indexed alphabetically by name of traveler. (b) Retrieved by manual search.

Safeguards:

In accordance with 43 CFR 2.51.

Retention and disposal:

As administrative copies, records are destroyed after four years.

System manager(s) and address:

Deputy Assistant Secretary—Indian Affairs (Operations), U.S. Department of the Interior, 18th and C Streets, NW, Washington, D.C. 20240.

Notification procedure:

To determine whether the records are maintained on you in this system, write to the Agency Superintendent, the Area or Field Office director with respect to records maintained in the office for which he is responsible or to the System Manager in the Washington Office. See 43 CFR 2.60.

Record access procedures:

To see your records, write the officials listed in the Notification procedure. Describe as specifically as possible the records sought. If copies are desired, indicate the maximum you are willing to pay. See 43 CFR 2.63.

Contesting record procedures:

To request corrections or the removal of material from your files, write the System Manager. See 43 CFR 2.71.

Record source categories:

Individual travelers who prepare the reports.

INTERIOR/BIA-16

System name:

Travel Files—Interior, BIA-16.

System location:

Central Office, Area, Agency and Field Offices of the BIA. (For a listing of specific locations, contact the Systems Manager.)

Categories of individuals covered by the system:

Federal employees who are authorized to travel at government expense.

Categories of records in the system:

Copies of correspondence, requests, travel authorizations and orders, itineraries and similar papers pertaining to an employees travel.

Authority for maintenance of the system:

5 U.S.C. 5701, et seq.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary use of the records are (a) to provide administrative copy files on each traveler for local office use. (b) Provides management with an automated information system for program planning, reporting and management utilization. Disclosures outside the Department of the Interior may be made (1) to the U.S. Department of Justice when related to litigation or anticipated litigation, and (2) of information indicating a violation or potential violation of a statute, regulation, rule, order or license, to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Manual: Letter files; Computer: Maintained in computer translatable form on magnetic tape for automated areas.

Retrievability:

(a)Indexed alphabetically by name of traveler. (b) Retrieved by manual search.

Safeguards:

In accordance with 43 CFR 2.51.

Retention and disposal:

As administrative copies, records are destroyed after four years.

System manager(s) and address:

Director, Office of Administration, Bureau of Indian Affairs, 1951 Constitution Avenue, NW, Washington, D.C. 20242.

Notification procedure:

To determine whether the records are maintained on you in this system, write to the System Manager or with respect to records maintained in the office for which he is responsible, the Agency or School Superintendent, or the Area or Field Office Director. See 43 CFR 2.60.

Record access procedures:

To see your records write the officials listed in the Notification procedure. Describe as specifically as possible the records sought. If copies are desired, indicate the maximum you are willing to pay. See 43 CFR 2.63.

Contesting record procedures:

To request corrections or the removal of material from your files, write the System Manager. See 43 CFR 2.71.

Record source categories:

Individual on whom record is maintained.

INTERIOR/BIA-18

System name:

Law Enforcement Services—Interior, BIA-18.

System location:

(1) All Area, Agency and Field Offices of the BIA. (2) Director, Office of Indian Services, Bureau of Indian Affairs, 18th and C Streets, NW, Washington, D.C. 20245. (For a listing of specific locations, contact the Systems Manager.)

Categories of individuals covered by the system:

(1) Individuals violating laws on Indian Reservations and those who appear in court for violations of 25 CFR regulations. (2) Individuals primarily interested in Indian Affairs who advocate violence as a means of obtaining their goals.

Categories of records in the system:

Documentation includes statements of witnesses, statutes involved, evidence seized, photographs, final disposition reports and related correspondence.

Authority for maintenance of the system:

25 U.S.C. 1, 1a, 13; 18 U.S.C. 3055; Act of May 10, 1939, 58 Stat. 693; 53 Stat. 520.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary use of the records is to identify individuals who have been arrested on Indian Reservations and who have appeared in court for violations of 25 CFR regulations: Disclosures outside the Department of the Interior may be made to the U.S. Department of Justice when related to litigation or anticipated litigation, of information indicating a violation or potential violation of a statute, regulation, rule, order or license, to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license, from the record of an individual in response to an inquiry from a Congressional office made at the request of that individual, to a Federal agency which has requested information relevant or necessary to its hiring or retention of an employee, or issuance of a security clearance, license, contract, grant or other benefit, and to Federal, State or local agencies where necessary to obtain information relevant to the hiring or retention or an employee or the issuance of a security clearance, contract, license, grant or other benefit.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in manual form in file folders throughout Area and Agency offices.

Retrievability:

Cross referenced by individual's name, case number and docket number.

Safeguards:

Maintained with safeguards meeting the requirements of 43 CFR 2.51 for manual records.

Retention and disposal:

Transfer to GSA Federal Records Center five years after case is closed.

System manager(s) and address:

Director, Office of Indian Services, Bureau of Indian Affairs, 18th and C Streets, NW, Washington, D.C. 20245.

Systems exempted from certain provisions of the act:

Under the general exemption authority provided by 5 U.S.C. 552a(j)(2), the Department of the Interior has adopted a regulation, 43 CFR 2.79(a), which exempts this system from all of the provisions of 5 U.S.C. 552a and the regulations in 43 CFR Part 2, Subpart D, except subsections (b), (c) (1) and (2), (e)(4) (A) through (F), (e) (6), (7), (9), (10), and (11) and (i) of 5 U.S.C. 552a and the portions of the regulations in 43 CFR Part 2, Subpart D implementing these subsections. The reasons for adoption of this regulation are set out at 40 FR 37317 (August 26, 1975).

INTERIOR/BIA-19

System name:

Indian Association Stock Purchase Records—Interior, BIA-19.

System location:

Agency Offices (For a listing of specific locations, contact the Systems Manager.)

Categories of individuals covered by the system:

Indian stockholders.

Categories of records in the system:

Records of purchase of stock in Indian associations by individuals.

Authority for maintenance of the system:

25 U.S.C. 1, 1a, 13.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary use of the record is to identify individual Indians who have stocks in Indian Associations. Disclosures outside the Department of the Interior may be made (1) to another Federal agency, State of local government, an Indian tribal group or a contractor that will have jurisdiction over programs now managed by the BIA, (2) to the Economic Development Administration. Farmers Home Administration and Small Business Administration in regard to participating funding between these agencies and the BIA, (3) to the U.S. Department of Justice when related to litigation or anticipated litigation, (4) of information indicating a violation or potential violation of a statute, regulation, rule, order or license, to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license, and (5) from the record of an individual in response to an inquiry from a Congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Letter files.

Retrievability:

(a) Indexed by individual's name. (b) Retrieved by manual search.

Safeguards:

In accordance with 43 CFR 2.51.

Retention and disposal:

Destroy three years after disposal of stocks.

System manager(s) and address:

Director, Office of Indian Services, Bureau of Indian Affairs, 18th and C Streets, NW, Washington, D.C. 20245.

Notification procedure:

To determine whether the records are maintained on you in this system, write to the System Manager or, with respect to records maintained in the office for which he is responsible, an Area or Field Office Director, or an Agency Superintendent. See 43 CFR 2.60.

Record access procedures:

To see your records, write the officials listed in the Notification procedure. Describe as specifically as possible the records sought. If copies are desired, indicate the maximum you are willing to pay. See 43 CFR 2.63.

Contesting record procedures:

To request corrections or the removal of material from your files, write the System Manager. See 43 CFR 2.71.

Record source categories:

Individual on whom record is maintained.

INTERIOR/BIA-20

System name:

Correspondence Files System—Interior, BIA-20.

System location:

Office of Administration, Bureau of Indian Affairs, 1951 Constitution Avenue, NW, Washington, D.C. 20245.

Categories of individuals covered by the system:

Individuals who correspond with or apply to the BIA Central Office on significant business or program matters.

Categories of records in the system:

Subject and case files pertaining to individual Indians and tribes on various BIA programs and subject matters.

Authority for maintenance of the system:

5 U.S.C. 301, 43 U.S.C. 1457, 44 U.S.C. 3101, Reorganization Plan 3 of 1950, 25 U.S.C. 1a, 2.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary use of the record is to provide information for use by Department of the Interior; BIA; Indian Tribes; Indian Claims Commission; and the Indian Claims Division, Office of Finance, GSA. Disclosures outside the Department of the Interior may be made (1) to another Federal agency, a State or local government, an Indian Tribal Group or a contractor that will have jurisdiction over programs now controlled by the BIA, (2) to the U.S. Department of Justice when related to litigation or anticipated litigation, (3) of information indicating a violation or potential violation of a statute, regulation, rule, order or license, to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license, and (4) from the record of an individual in response to an inquiry from a Congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Manual: Letter files.

Retrievability:

(a) Cross-indexed by name of person or firm name and subject. (b) Retrieved by manual search.

Safeguards:

In accordance with 43 CFR 2.51.

Retention and disposal:

Records are permanent and are transferred to the GSA Federal Records Center after four years.

System manager(s) and address:

Director, Office of Admininstration, Bureau of Indian Affairs, 1951 Constitution Avenue, NW, Washington, D.C. 20245.

Notification procedure:

To determine whether the records are maintained on you in this system write to the System Manager. See 43 CFR 2.60.

Record access procedures:

To see your records, write the System Manager. Describe as specifically as possible the records sought. If copies are desired, indicate the maximum you are willing to pay. See 43 CFR 2.63.

Contesting record procedures:

To request corrections or the removal of material from your files, write the System Manager. See 43 CFR 2.71.

Record source categories:

Individual on whom the record is maintained.

INTERIOR/BIA-21

System name:

Correspondence Control System—Interior, BIA-21.

System location:

Office of the Commissioner, Bureau of Indian Affairs, Department of the Interior, 18th and C Streets, NW, Washington, D.C. 20245.

Categories of individuals covered by the system:

U.S. Senators and Congressmen, Governors of States, Indian leaders.

Categories of records in the system:

Correspondence.

Authority for maintenance of the system:

5 U.S.C. 301, 43 U.S.C. 1457, 44 U.S.C. 3101, Reorganization Plan 3 of 1950, 25 U.S.C. 1a, 2.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary use of the record is to provide control for prompt handling or priority correspondence by the Bureau of Indian Affairs. Disclosures outside the Department of the Interior may be made (1) to the U.S. Department of Justice when related to litigation or anticipated litigation, and (2) of information indicating a violation or potential violation of a statute, regulation, rule, order or license, to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in manual form in file folders.

Retrievability:

Indexed alphabetically by name of congressman or letter writer.

Safeguards:

Maintained with safeguards meeting the requirements of 43 CFR 2.51 for manual records.

Retention and disposal:

Copies are destroyed after one year.

System manager(s) and address:

Deputy Assistant Secretary—Indian Affairs (Operations), Bureau of Indian Affairs, Department of the Interior, 18th and C Streets, NW, Washington, D.C. 20245.

Notification procedure:

To determine whether the records are maintained on you in this system, write to the System Manager. See 43 CFR 2.60.

Record access procedures:

To see your records, write the System Manager. Describe as specifically as possible the records sought. If copies are desired, indicate the maximum you are willing to pay. See 43 CFR 2.63.

Contesting record procedures:

To request corrections or the removal of material from your files, write the System Manager. See 43 CFR 2.71.

Record source categories:

Individual from whom incoming letter was received.

INTERIOR/BIA-22

System name:

Indian Student Records—Interior, BIA-22.

System location:

(1)All Area and Agency Offices and BIA schools. (2) Indian Education Resources Center, Bureau of Indian Affairs, 123 Fourth Street, SW, Albuquerque, NM 87103. (3) Division of ADP Services, Bureau of Indian Affairs, 500 Gold Ave., SW, Albuquerque, NM 87103. (4) Washington, Computer Center, Department of the Interior, 18th and C Street, NW, Washington, D.C. 20242. (For a listing of specific locations, contact the Systems Manager.)

Categories of individuals covered by the system:

Students or potential students at BIA schools (including contact schools) and applicants for or recipients of BIA scholarships or educational grants.

Categories of records in the system:

Student case files, attendance and performance records, banking records and expenditures of tribal benefit funds, and applications for grants and grant agreeements; and records concerning and individual's misuse of BIA scholarship or educational grant funds or as a result of that individual's receipt of payment or overpayment of funds for which the individual was not eligible or entitled.

Authority for maintenance of the system: 25 U.S.C. 271, et seq.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary use of the record is to provide permanent individual student records on all phases of the education of Indians in BIA schools or under Government Education Grants. Disclosures outside the Department of the Interior may be made to (1) another federal agency, a State or local government, Indian Tribal Group or to any individual or establishment that will have jurisdiction whether by contract to the BIA, by assumptions of Trust Responsibilities or by other means for school programs now controlled by the BIA; (2) to any domestic recognized school, whether public, private, parochial or other, of those portions of students' records specified by the requesting school as being necessary for the acceptance, placement or satisfactory performance of the student at the requesting school, (3) to an individual or establishment of those portions of students records specified by the requester as necessary for a decision concerning the hiring or retention of the student as an employee of the requester, (4) to a Federal, State or local agency maintaining civil, criminal or other relevant enforcement information, such as current licenses, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant or other benefit by the requesting agency, (5) to a Federal agency which has requested information relevant or necessary to its hiring or retention of an employee, or issuance of a security clearance, license, contract, grant or other benefit, (6) to persons having official involvement in conjunction with a student's application for/or grant of financial aid, (7) to parents of a dependent student as defined in section 152 of the Internal Revenue Code of 1954, as amended, (8) to accreditation agencies in order to carry out their accrediting functions (9) to the Department of Health, Education and Welfare and other governmental education officials when necessary to carry out their functions, (10) to an educational testing center or similar institution as part of validation research authorized by the school involved, (11) to the U.S. Department of Justice when related to litigation or anticipated litigation, (12) of information indicating a violation or potential violation of a statute, regulation, rule, order or license, to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulations, order or license, and (13) from the record of an individual in response to an inquiry from a Congressional office made at the request of that individual.

Disclosure to consumer reporting agencies:

Disclosures pursuant to 5 U.S.C. 552a(b) (12); Pursuant to 5 U.S.C. 552a(b)(12), disclosures may be made to a consumer reporting agency as defined in the Fair Credit Reporting Act (15 U.S.C. 1681a(f)) or the Federal Claims Collection Act of 1966 (31 U.S.C. 3701(a)(3)).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Manual: Student case letter files at the schools; Computer: Student identification data on mag-tape/disk.

Retrievability:

(a) Indexed by name of student and filed by student identification number. (b) Retrieved by manual search and through batch inquiries of computer.

Safeguards:

In accordance with 43 CFR 2.51.

Retention and disposal:

Records permanently retained.

System manager(s) and address:

Director, Office of Indian Education Programs, Bureau of Indian Affairs, 18th and C Streets, NW, Washington, D.C. 20245.

Notification procedure:

To determine whether the records are maintained on you in this system write to the System Manager or, with respect to records maintained in the office for which he is responsible, an Area Director, and Agency or School Superintendent or a School Principal. (See 43 CFR 2.60.)

Record access procedures:

To see your records, write the System Manager or the offices cited under "Records Location". Describe as specifically as possible the records sought. If copies are desired, indicate the maximum you are willing to pay. (See 43 CFR 2.63.)

Contesting record procedures:

To request corrections or the removal of material for your files, write the System Manager. (See 43 CFR 2.63.)

Record source categories:

Individual on whom record is maintained, his parents, teachers, counselors, school principals doctors, etc.

INTERIOR/BIA-23

System name:

Employment Assistance Case Files—Interior, BIA-23.

System location:

Central Office, Area, Agency and Employment Assistance Program Contractors of the BIA. (For a listing of specific locations, contact the Systems Manager.)

Categories of individuals covered by the system:

Individual Indians who are given assistance in connection with direct employment service or adult vocational training.

Categories of records in the system:

Applications for assistance, departure and arrival schedules, records documenting financial assistance, training plans, contact sheets recording counseling and guidance service, employment referral and placement records, and reports on progress. Case history of employment assistance for individual Indians; records on a individual's receipt of payment or overpayment of direct employment services or vocational training grant funds for which the individual was not entitled, payment exceeded entitlement or as as a result of the individual's misuse of employment assistance funds granted.

Authority for maintenance of the system:

25 U.S.C. 13.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary uses of the records are (a) to identify individual Indians who are given direct employment or vocational training, and (b) to provide permanent records on Employment Assistance to individual Indians. (c) Provides management with an automated information system for program planning, reporting and management utilization. Disclosures outside the Department of the Interior may be made (1) to another Federal agency, a State or local government, Indian Tribal Group or to any individual or establishment that will have jurisdiction whether by contact to the BIA, by assumption of Trust Responsibilities or by other means, for Employment Assistance Programs now controlled by the BIA, (2) to the U.S. Department of Justice when related to litigation or anticipated litigation, (3) of information indicating a violation or potential violation of a statute, regulation, rule order or license, to appropriate Federal, State local or foreign agencies responsible for investigation or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license, (4) from the record of an individual in response to an inquiry from a Congressional office made at the request of that individual, (5) to Federal, State or local agencies where necessary to obtain information relevant to the hiring or retention of an employee, or the issuance of a security clearance, contract license, grant or other benefit.

Disclosure to consumer reporting agencies:

Disclosures pursuant to 5 U.S.C. 552a(b)(12), disclosures may be made to a consumer reporting agency as defined in the Fair Credit Reporting Act (15 U.S.C. 1681a(f)) or the Federal Claims Collection Act of 1966 (31 U.S.C. 3701(a)(3)).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Manual: Letter files. Computer: Maintained in computer translatable form on magnetic tape for automated areas.

Retrievability:

(a) Indexed alphabetically by name of applicant and/or recipient. (b) Retrieved by manual search.

Safeguards:

In accordance with 43 CFR 2.51.

Retention and disposal:

Transfer inactive files to GSA Federal Records Center five years after case is closed.

System manager(s) and address:

Director, Office of Indian Services, Bureau of Indian Affairs, 18th and C Streets, NW, Washington, D.C. 20245.

Notification procedure:

To determine whether the records are maintained on you in this system, write to the System Manager or, with respect to records maintained in the office for which he is responsible, an Agency Superintendent or an Area or Field Office Director. See 43 CFR 2.60.

Record access procedures:

To see your records, write the officials listed in the Notification procedure. Describe as specifically as possible the records sought. If copies are desired, indicate the maximum you are willing to pay. See 43 CFR 2.63.

Contesting record procedures:

To request corrections or the removal of material from your files, write the System Manager. See 43 CFR 2.71.

Record source categories:

Individual on whom record is maintained, schools, law enforcement agencies, employers, doctors, other Bureau of Indian Affairs activities having dealings with the applicant, other whom applicant has dealt.

INTERIOR/BIA-24

System name:

Timber Cutting and Fire Trespass Claims Case Files—Interior, BIA-24.

System location:

Central Office, Area, Agency and Field Offices of the BIA. (For a listing of specific locations, contact the Systems Manager.)

Categories of individuals covered by the system:

Indian landowners who have filed trespass claims for fire or cutting damage to Indian forest lands under Bureau of Indian Affairs supervision.

Categories of records in the system:

Investigation and Claims Case Files on trespass actions involving fire or cutting damage to Indian forestlands under Bureau of Indian Affairs supervision.

Authority for maintenance of the system:

13 U.S.C. 1, 1A, 13; Act of May 10, 1939; 58 Stat. 520.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary uses of the records are (a) to identify unauthorized timber cutting claims filed against trespassers and/or converters, (b) for property damage claims filed against careless or negligent originators of wildfire which trespasses Indian property, and (c) establishing amounts and types of timber trespassed and their value. Disclosures outside the Department of the Interior may be made (1) authorized legal representative of Tribal Groups or members if necessary for litigation, (2) to the Department of Justice when related to litigation or anticipated litigation, (3) of information indicating a violation or potential violation of a statute, regulation, rule, order or license, to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in manual form in file folders.

Retrievability:

Indexed by name of landowner.

Safeguards:

Maintained with safeguards meeting the requirements of 43 CFR 2.51 for manual records.

Retention and disposal:

Records are disposed of after claims have been settled or closed out in full.

System manager(s) and address:

Director, Office of Trust Responsibilities, Bureau of Indian Affairs, 18th and C Streets NW, Washington, D.C. 20245.

Notification procedure:

System Manager or with respect to records maintained in the office for which he is responsible, the Agency or the Area Office Director. A written and signed request stating that the requester seeks information concerning records pertaining to him is required. See 43 CFR 2.60.

Record access procedures:

A request for access may be addressed the same as the notification. The request must be in writing and be signed by the requester. The request must meet the content requirements of 43 CFR 2.63.

Contesting record procedures:

A petition for amendment shall be addressed to the System Manager and meet the requirements of 43 CFR 2.71.

Record source categories:

Indian landowners.

Systems exempted from certain provisions of the act:

Under the general exemption authority provided by 5 U.S.C. 43 CFR 2.79(b), which exempts this system from the provisions of 5 U.S.C. 552a(c)(3), (d), (e)(1), (e)(4)(G), (H) and (I) and (f) and the portions of 43 CFR Part 2, Subpart D which implement these subsections. The reasons for adoptions of this regulation are set out at 40 FR 50432 (October 29, 1975).

INTERIOR/BIA-25

System name:

Integrated Records Management System—Interior, BIA-25.

System location:

(1) Division of Systems Operation, Bureau of Indian Affairs, 500 Gold Ave., SW., Albuquerque, New Mexico 87103;

(2) Central, Area, Agency and Field Offices, Schools of the BIA or contractors providing time-share services to the BIA: (For a listing of specific locations, contact the Systems Manager.)

Categories of individuals covered by the system:

Individual Indian and Indian Tribal Groups that are owners of real property held in trust by the Government, individuals or groups that are potential or actual lessees of that property, individuals who have been assigned interests of any in Indian Tribes, Pueblos or corporations, and individual Indians who have money accounts.

Categories of records in the system:

Land description, current ownership, dower and life estate interest, information on all types of leases or other land uses including grazing, farming, minerals mining, timber and business, etc. Information on individuals including name, address, aliases, sex, date of birth, tribal membership and blood quantums, etc. General ledgers showing deposits and withdrawals from Indian accounts.

Authority for maintenance of the system:

25 U.S.C. 151, 25 U.S.C. 392, 25 U.S.C. 415, and 25 U.S.C. 163.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary uses of the records are: (a) To control individual Indians money accounts and disclose to them the status of those accounts.

(b) Identification of individual Indians and Indian Tribal groups with interest in lands held in trust.

(c) Control of leases on Indian trust lands and real property, and collection and distribution of lease income.

(d) Bill individual owners or lessees for irrigation.

(e) Determination of eligibility of individuals to participate in or enjoy benefits from an interest in or enjoy benefits from an interest in a tribal group.

(f) Lists of approved enrollees used to distribute funds or income, or as a base to gather consensus or ownership data for planning purposes. Disclosures outside the Department of the Interior may be made.

(1) To the Tribe, band, Pueblo or corporation of which the individual to whom a record pertains is a member or a stockholder.

(2) To a Federal, state or local agency maintaining civil, criminal or other relevant enforcement information, such as current licenses, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant or other benefit.

(3) To a Federal agency, in reponse to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant or other benefit by the requesting agency's decision on the matter.

(4) To the U.S. Department of Justice in the event of litigation or potential litigation involving the records or the subject matter of the records.

(5) Transfer, in the event there is indicated a violation or a potential violation of a statute, regulation, rule, order or license whether civil, criminal or regulatory in nature, to the appropriate agency or agencies, whether federal, state, local or foreign, charged with the responsibility of enforcing or implementing the statute, rule, regulation, order or license violated or potentially violated.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Manual: Letter files, computer readable media, input forms and computer printouts. Computer: Mag tape and disk files.

Retrievability:

(a) Indexed by name, identification numbers, family numbers, lease numbers, tract numbers, etc.

(b) Retrieved by manual search or computer inquiry.

Safeguards: In accordance with 43 CFR 2.51.

Retention and disposal:

Permanent records are retrieved. Closed or inactive records are transferred to GSA storage. Prior information on mag tape erased as updated information is added to the system.

System manager(s) and address:

Assistant Director, Administrative Services Center, 500 Gold Ave., SW., Albuquerque, NM 87103.

Notification procedure:

System Manager or with respect to records maintaned in the office for which he is responsible, an Agency Superintendent or an Area or Field Office Director. A written and signed request stating that the requester seeks information concerning records pertaining to him is required. See 43 CFR 2.60.

Record access procedures:

A request for access may be addressed the same as for Notification. The request must be in writing and be signed by the requester, and must meet the content requirements of 43 CFR 2.63.

Contesting record procedures:

A petition for amendment shall be addressed to the System Manager and must meet the requirements of 43 CFR 2.71.

Record source categories:

Enrollees or claimants. Birth, marriage and death certificates, and family and tribal histories. Owners and lessees. Titles, deeds, probates, all types of land and water rights and usages documents. Individual Indians, depositors in the accounts and claimants against the accounts.

INTERIOR/BIA-26

System name:

Indian Electric Power Utilities—Interior, BIA-26.

System locations:

(1) Colorado River Irrigation Project—Power Division; Route 1, Box 9-C; Parker, AZ 85344; (2) Flathead Indian Irrigation Project—Power Division; Box 890; Polson, Montana 59860; (3) San Carlos Indian Irrigation Project—Power Division; Box 250; Coolidge, Arizona 85228.

Categories of individuals covered by the system:

Individual Indians and non-Indians desiring electric power service for households, farms, small businesses and organizations.

Categories of records in the system:

Electric power service requests and agreements; applications and contracts; applications and contracts for seasonal motors; special provisions to application agreement and billing records.

Authority for maintenance of the system:

The Act of August 30, 1935 (49 Stat. 1039), the Act of May 25, 1948 (62 Stat. 269) and the Act of June 7, 1924 (43 Stat. 476).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary use of the records is to identify the recipient(s) of the electric power services rendered and the person(s) responsible for monetary charges (service bill) associated with providing the desired benefits. Disclosure outside the Department of the Interior may be made (1) to the U.S. Department of Justice or in a proceeding before a court or adjudicative body when (a) the United States, the Department of the Interior, a component of the Department, or, when represented by the government, an employee of the Department is a party to litigation or anticipated litigation or has an interest in such litigation, and (b) the Department of the Interior determines that the disclosure is relevant or necessary to the litigation and is compatible with the purpose for which the records were compiled; (2) to disclose pertinent information to an appropriate Federal, State, local, or foreign agency responsible for investigating, prosecuting, enforcing, or implementing a statute, regulation, rule, or order, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation; (3) to a Member of Congress from the record of an individual in response to an inquiry made at the request of that individual; (4) to the Department of the Treasury to effect payment to Federal, State, and local government agencies, nongovernmental organizations, and individuals; (5) to a Federal agency for the purpose of collecting a debt owed the Federal government through administrative or salary offset; and (6) to other Federal agencies conducting computer matching programs to help eliminate fraud and abuse and to detect unauthorized overpayments made to individuals.

Disclosure to consumer reporting agencies:

Disclosures pursuant to 5 U.S.C. 552a(b)(12). Disclosures may be made from this system to consumer reporting agencies as defined in the Fair Credit Reporting Act (15 U.S.C. 1681a(f)) or the Federal Claims Collection Act of 1966 (31 U.S.C. 3701(a)(3)).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Manual, application, agreement and contract files.

Retrievability:

Indexed by individual name and account number.

Safeguards:

In accordance with 43 CFR 2.5.

Retention and disposal:

Records retention and disposal in accordance with 15 BIAM Supplement 3, Schedule No. 1103-13, BIA Files Operation and Records Disposition Handbook.

System manager(s) and address:

(1) Power Manager, Colorado River Irrigation Project—Power Division; Route 1, Box 9-C; Parker, AZ 85344; (2) Power Manager, Flathead Indian Irrigation Project—Power Division; Box 890;

Polson, Montana 59860; (3) Power Manager, San Carlos Indian Irrigation Project—Power Division; Box 250; Coolidge, Arizona 85228.

Notification procedure:

To determine whether the records are maintained on you in this system, write to the pertinent System Manager. The request must meet the requirements of 43 CFR 2.60.

Record access procedures:

To see your records, write to the pertinent System Manager. The request must meet the requirements of 43 CFR 2.63.

Contesting record procedures:

To request corrections or the removal of material from your files, write to the pertinent System Manager. The request must meet the requirements of 43 CFR 2.71.

Record source categories:

Individual on whom the record is maintained, electric power service customers.

INTERIOR/WBM-2

System name:

Travel Advance File—Interior, Mines-2.

System location:

Bureau of Mines, Division of Finance, Building 20, Denver Federal Center, Denver, Colorado 80225.

Categories of individuals covered by the system:

All Bureau of Mines employees who have active travel advances or who have closed travel advances.

Categories of records in the system:

File consists of signed forms whereon employees request travel advances for the purpose of paying travel expenses incurred in the performance of official government business. These forms also include repayments against any advances, whether by claims offset on travel vouchers or remittances by checks, money orders, etc., and records of overpayments and/or debts owed the Federal Government.

Authority for maintenance of the system:

5 U.S.C. 4111(b), 5701-5709, 5721-5733, 5742(b).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary uses of the records are (a) to provide an accounting record of obligations due to the U.S. Government from employees authorized cash advances to defray expenses incurred in official travel. Payments to the traveler and repayments to the Government are reflected in the record; (b) to serve as a backup authority and manually reconciled file to the entries for travel advances in the automated Finance system; (c) computer data are reported to each Bureau office as part of the detailed composition of monthly expense reports applicable to charges made to cost accounts within the Finance system. Only data pertinent to individual Bureau offices are available to that office. Disclosures outside the Department of the Interior may be made (1) to the U.S. Department of Justice or in a proceeding before a court or adjudicative body when (a) the United States, the Department of the Interior, a component of the Department, or, when represented by the government, an employee of the Department is a party to litigation or anticipated litigation or has an interest in such litigation, and (b) the Department of the Interior determines that the disclosure is relevant or necessary to the litigation and is compatible with the purpose for which the records were compiled; (2) of information indicating a violation or potential violation of a statute, regulation, rule, order or license, to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license; (3) to a congressional office from the record of an individual in response to an inquiry the individual has made to the congressional office; (4) to a Federal agency which has requested information relevant or necessary to its hiring or retention of an employee, or issuance of a security clearance, license, contract, grant or other benefit; (5) to Federal, State or local agencies where necessary to obtain information relevant to the hiring or retention of an employee, or the issuance of a security clearance, contract, license, grant or other benefit; (6) to other Federal agencies for the purpose of collecting debts owed to the Federal government by administrative or salary offset.

Disclosure to consumer reporting agencies:

Disclosures pursuant to 5 U.S.C. 552a(b)(12). Pursuant to 5 U.S.C. 552a(b)(12), disclosures may be made to a consumer reporting agency as defined in the Fair Credit Reporting Act (15 U.S.C. 1681a(f) or the Federal Claims Collection Act of 1966 (31 U.S.C. 3701(a)(3)).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are maintained in cardboard boxes in the Division of Finance.

Retrievability:

Files are stored alphabetically by fiscal year.

Safeguards:

Open files are kept by the Travel Advance Clerk for active usage. Closed records are kept in boxes in the vault. Files are accessible during working hours only by personnel from the Division of Finance. Office is locked during periods of non-work.

Retention and disposal:

Records are retained for 3 years, then destroyed. Disposition is in accordance with the National Archives General Records Schedule No. 9, Item 3a.

System manager(s) and address:

Chief, Division of Finance, Bureau of Mines, Building 20, Denver Federal Center, Denver, Colorado 80225.

Notification procedure:

Inquiries regarding the existence of records should be addressed to the System Manager. A written, signed request stating that the requester seeks information concerning records, pertaining to him/her is required. See 43 CFR 2.60.

Record access procedures:

A request for access may be addressed to the System Manager. The request must be in writing and be signed by the requester. The request must meet the content requirements of 43 CFR 2.63.

Contesting record procedures:

A petition for amendment should be addressed to the System Manager and must meet the content requirements of 43 CFR 2.71.

Record source categories:

Information for this system originates with the traveler who specifies the need of a travel advance. The request is concurred in by signature of a responsible supervisory official. All entries on the file are as a result of actions taken by the individual to liquidate his/her travel advance.

INTERIOR/WBM-3

System name:

Travel Voucher and Authorizations—Interior, Mines-3.

System location:

Bureau of Mines, Division of Finance, Building 20, Denver Federal Center, Denver, Colorado 80225.

Categories of individuals covered by the system:

All persons traveling for or on behalf of the Bureau of Mines on official business.

Categories of records in the system:

Voucher file consists of paid travel vouchers which reimburse travelers for expenses incurred in connection with official travel. Travel authorization file consists of record copies of authorizations for travel for which no travel vouchers have been submitted for payment, and records of overpayments and/or debts owed the Federal Government, and related official travel.

Authority for maintenance of the system:

5 U.S.C. 5701, et seq.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary uses of the records are (a) as backup entry data for obligations and disbursements in the automated Finance system of the Bureau of Mines; (b) as input to the Bureau's Automated Disbursement System. This system is used to accumulate approved payments and to generate a daily file which is used by the Treasury Department to issue checks; (c) computer data are reported to each Bureau office as part of the detailed composition of monthly expense reports applicable to charges made to cost accounts within the Finance system. Only data pertinent to individual Bureau offices are available to that office; (d) vouchers are used to determine allowability of expenses within the law authorizing payment of travel expenses. The documents are used to determine which expenses incurred by the traveler can be paid and are sometimes used to report to other Federal agencies summarizations of those types of allowable expenses. Usually, the individual's name is not used in outside reporting but the date is. Disclosures outside the Department of the Interior may be made (1) to the U.S. Department of Justice or in a proceeding before a court or adjudicative body when (a) the United States, the Department of the Interior, a component of the Department, or, when represented by the government, an employee of the Department is a party to litigation or anticipated litigation or has an interest in such litigation, and (b) the Department of the Interior determines that the disclosure is relevant or necessary to the litigation and is compatible with the purpose for which the records were compiled; (2) of information indicating a violation or potential violation of a statute regulation, rule, order or license, to appropriate Federal, state, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing, the statute, rule, regulation, order or license; (3) to a congressional office from the record of an individual in response to an inquiry the individual has made to the congressional office; (4) to a Federal agency which has requested information relevant or necessary to its hiring or retention of an employee, or issuance of a security clearance, license, contract, grant or other benefit; (5) to Federal, state, or local agencies where necessary to obtain information relevant to the hiring or retention of an employee, or the issuance of a security clearance, contract, license, grant or other benefit; (6) to other Federal agencies for the purpose of collecting debts owed to the Federal government by administrative or salary offset.

Disclosure to consumer reporting agencies:

Disclosures pursuant to 5 U.S.C. 552a(b)(12). Pursuant to 5 U.S.C. 552a(b)(12), disclosures may be made to a consumer reporting agency as defined in the Fair Credit Reporting Act (15 U.S.C. 1681a(f)) or the Federal Claims Collection Act of 1966 (31 U.S.C. 3701(a)(3)).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Original records are maintained in standard office filing equipment. Computerized data are stored on magnetic media at the computer processing center.

Retrievability:

Manual voucher files are maintained alphabetically by name of traveler within fiscal year. Computerized records are maintained by transaction number within the overall numbering sequence of the accounting system. Authorizations are filed alphabetically by name awaiting payment of travel voucher. Authorization becomes part of the voucher packet at time of payment.

Safeguards:

Files are maintained with safeguards meeting the requirements of 43 CFR 2.51 in the Division of Finance and are available only to Division of Finance personnel.

Retention and disposal:

Records are retained for 3 years, then destroyed. Disposition is in accordance with the National Archives General Records Schedule No. 9, Item 3a.

System manager(s) and address:

Chief, Division of Finance, Bureau of Mines, Building 20, Denver Federal Center, Denver CO 80225.

Notification procedure:

Inquiries regarding the existence of records should be addressed to the System Manager. A written, signed request stating that the requester seeks information concerning records pertaining to him/her is required. See 43 CFR 2.60.

Record access procedures:

A request for access may be addressed to the System Manager. The request must be in writing and be signed by the requester. The request must meet the content requirements of 43 CFR 2.63.

Contesting record procedures:

A petition for amendment should be addressed to the System Manager and must meet the content requirements of 43 CFR 2.71.

Record source categories:

Information for these files is based on an authorization signed by the traveler in the form of a request. A travel voucher is submitted by the traveler after incurring expenses for official travel and is a request for payment based on his/her record of official expenses.

INTERIOR/WBM-4

System name:

Property Control—Interior, Mines-4.

System location:

(1) Bureau of Mines, U.S. Department of the Interior, 2401 E Street, NW, Washington, DC 20241. (2) All field facilities of the Bureau of Mines.

Categories of individuals covered by the system:

Employees who have custody or responsibility for Bureau of Mines property.

Categories of records in the system:

Contains information indicating what property, including equipment, motor vehicle operator's license, keys, motor pool vehicles, transportation request books, and parking spaces, for which the employee has custody or responsibility. In addition, all other records directly related to the property control function, and records on debts owed the Federal government due to loss or misuse of property.

The system also includes information on employee inventions which is maintained by name of invention, name of employee, and case number.

Authority for maintenance of the system:

Federal Property and Administrative Services Act of 1949, as amended, 40 U.S.C. 483(b)(1).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary uses of the records are (a) identification, assignment, and control of Bureau property; (b) assistance in locating carpools.

Disclosures outside of the Department of the Interior may be made (1) to the U.S. Department of Justice or in a proceeding before a court or adjudicative body when (a) the United States, the Department of the Interior, a component of the Department, or, when represented by the government, an employee of the Department is a party to litigation or anticipated litigation or has an interest in such litigation, and (b) the Department of the Interior determines that the disclosure is relevant or necessary to the litigation and is compatible with the purpose for which the records were compiled; (2) of information indicating a violation or potential violation of a statute, regulation, rule, order or license, to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulations, order or license; (3) to other Federal agencies for the purpose of collecting debts owed to the Federal government by administrative or salary offset.

Disclosure to consumer reporting agencies:

Disclosures pursuant to 5 U.S.C. 552a(b)(12). Pursuant to 5 U.S.C. 552a(b)(12), disclosures may be made to a consumer reporting agency as defined in the Fair Credit Reporting Act. (15 U.S.C. 1681a(f) or the Federal Claims Collection Act of 1966 (31 U.S.C. 3701(a)(3)).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in manual form in file folders or card indexes, a limited quantity on computer tape.

Retrievability:

Indexed by employee name or control number.

Safeguards:

Security will be provided to meet the requirements of 43 CFR 2.51 for manual records.

Retention and disposal:

Property records are destroyed 3 years after files are closed. Disposition is in accordance with the Bureau Records Control Schedule, Appendix 10. Inventions files are destroyed 2 years after case is closed or patent awarded. Disposition is in accordance with the Bureau Records Control Schedule, Appendix 5.

System manager(s) and address:

Chief, Division of Property and General Services, Bureau of Mines, 2401 E Street, NW, Washington, DC 20241.

Notification procedure:

System Manager, or with respect to records maintained at field facilities, the administrative officer of the facility. A written and signed request stating that the requester seeks information concerning records pertaining to him/her is required. See 43 CFR 2.60.

Record access procedures:

A request for access may be addressed to the System Manager or, with respect to records maintained at field facilities, the administrative officer of the facility. The request must be in writing and signed by the requester. The request must meet the content requirements of 43 CFR 2.63.

Contesting record procedures:

A petition for amendment shall be addressed to the System Manager and must meet the content requirements of 43 CFR 2.71.

Record source categories:

Employees. Property control information required for accountability purposes.

INTERIOR/WBM-5

System name:

Personnel Identification—Interior, Mines-5.

System location:

(1) Bureau of Mines, U.S. Department of the Interior, 2401 E Street, NW, Washington, DC 20241. (2) All field facilities of the Bureau of Mines.

Categories of individuals covered by the system:

All employees of the Bureau of Mines and contractor employees requiring access to Bureau facilities.

Categories of records in the system:

Records concerning identification and location of employees.

Authority for maintenance of the system:

5 U.S.C. 301, 3101; 43 U.S.C. 1457.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary uses of the records are (a) to provide identification cards to employees; (b) locator information provided for use by management to contact employees. Disclosures outside the Department of the Interior may be made (1) to the U.S. Department of Justice or in a proceeding before a court or adjudicative body when (a) the United States, the Department of the Interior, a component of the Department, or, when represented by the government, an employee of the Department is a party to litigation or anticipated litigation or has an interest in such litigation, and (b) the Department of the Interior determines that the disclosure is relevant or necessary to the litigation and is compatible with the purpose for which the records were compiled; (2) of information indicating a violation or potential violation of a statute, regulation, rule, order or license, to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Card indexes, manually.

Retrievability:

Indexed by employee name and identification card number.

Safeguards:

Security will be provided to meet requirements of 43 CFR 2.51 for manual records.

Retention and disposal:

Destroyed 3 months after return of identification credential. Disposition is in accordance with the Bureau Records Control Schedule, Appendix 10.

System manager(s) and address:

Chief, Division of Property and General Services, Bureau of Mines, 2401 E Street, NW, Washington, DC 20241.

Notification procedure:

System Manager, or with respect to records maintained at field facilities, the administrative officer of the facility. A written and signed request stating that the requester seeks information concerning records pertaining to him/her is required. See 43 CFR 2.60.

Record access procedures:

A request for access may be addressed to the System Manager or, with respect to records maintained at field facilities, the administrative officer of the facility. The request must meet the content requirements of 43 CFR 2.63.

Contesting record procedures:

A petition for amendment shall be addressed to the System Manager and must meet the content requirements of 43 CFR 2.71.

Record source categories:

Employees. Information necessary to prepare the identification card and locator index.

INTERIOR/WBM-6

System name:

Safety Management Information System—Interior, Mines-6.

System location:

(1) Bureau of Mines, Department of the Interior, 2401 E Street, NW, Washington, D.C. 20241. (2) All field and headquarters organizations of the Bureau of Mines retain copies of source documents.

Categories of individuals covered by the system:

Employees, contractors, concessioners and public visitors to Bureau facilities who have been involved in an accident resulting in personal injury, illness, and/or property damage, or exposed to a health hazard.

Categories of records in the system:

Contains the name, social security number (employees only), occupation, date and location of accident; data elements about the accident for analytical purposes; and descriptive narrative concerning the reason for the loss producing event.

Authority for maintenance of the system:

(1) 5 U.S.C. 7901, (2) 28 U.S.C. 2671-2680, (3) 31 U.S.C. 3701, 3721, (4) Executive Order 12196, (5) 29 CFR Part 1960.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary uses of the automated and manual records are to (a) provide summary data of injury, illness, and property loss information to Bureau management in a number of formats for analytical purposes in establishing programs to reduce or eliminate loss producing problem areas, (b) provide listings of individual cases to Bureau management to ensure that accidents occuring are reported through the Bureau Safety Management Information System for forwarding to the Department of the Interior Safety Management Information System, and (c) adjudicate tort and employee claims. Disclosures outside the Bureau of Mines may be met: (1) To a Federal, State, or local government agency that has partial or complete jurisdiction over the claim or related claims; (2) to provide the Department of Labor through the Department of the Interior quarterly summary listings of fatalities and disabling injuries and illnesses in compliance with 29 CFR 1960.66-.74; (3) to the U.S. Department of Justice or in a proceeding before a court or adjudicative body when (a) the United States, the Department of the Interior, a component of the Department, or when represented by the government, an employee of the Department is a party to litigation or anticipated litigation or has an interest in such litigation, and (b) the Department of the Interior determines that the disclosure is relevant to the litigation and is compatible with the purpose for which the records were compiled; (4) of information indicating a violation or potential violation of statute, regulation, rule, order, or license, to appropriate Federal, State, local, or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order, or license, and (5) to a congressional office from the record of an individual in response to an inquiry the individual has made to the congressional office.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

(1) Automated records are maintained on flexible disks. (2) Source documents (manual records) are maintained at Bureau field and headquarters organizations from which the accident is reported. (3) Manual records are maintained in book format and/or file folders.

Retrievability:

(1) Automated records are retrievable by name or document control number. (2) Manual records are retrievable by name or document control number.

Safeguards:

(1) Automated records are maintained with safeguards meeting the FIPS PUB 41, "Computer Security Guidelines for Implementing the Privacy Act of 1974." (2) Security is provided to meet the requirements of 43 CFR 2.51 for manual records.

Retention and disposal:

(1) The retention and disposal determination for the automated records stored on flexible disks is pending approval of the Archivist of the United States. (2) Disposal determination for the manual records is suspended until further notice per GSA FPMR Bulletin G-136, March 21, 1984.

System manager(s) and address:

Chief, Safety Management Staff, Bureau of Mines, 2401 E Street, NW, Washington, D.C. 20241.

Notification procedure:

To determine whether automated and/or manual records are maintained on you in this system, write to the System Manager or field or headquarters organizations in which the source document pertaining to yourself would be filed. A written and signed request stating that the requestor seeks information concerning records pertaining to him/her is required. See 43 CFR 2.60.

Record access procedures:

A request for access should be addressed to the System Manager or the field or headquarters organization in which the source document for the individual would be filed. Describe as specifically as possible the records sought. If copies are desired indicate the maximum you are willing to pay. See 43 CFR 2.63.

Contesting record procedures:

To request correction or the removal of material from your file(s), write the System Manager. See 43 CFR 2.71.

Record source categories:

Supervisor of employees involved in accidents. Investigative reports by supervisors, safety and health professionals, other management officials, or any combination thereof.

INTERIOR/WkB-7

System name:

Personnel Security Files—Interior, Mines-7.

System location:

Bureau of Mines, Department of the Interior, 2401 E Street, NW, Washington, DC 20241.

Categories of individuals covered by the system:

Bureau of Mines employees and contractors, and former employees and contractors whose duties have been designated Special-Sensitive, Critical-Sensitive and Noncritical-Sensitive for national security purposes and/or whose duties have been designated ADP Special-Sensitive, ADP Critical Sensitive, ADP Noncritical-Sensitive or ADP Non-Sensitive. Employees traveling to foreign countries. Employees new to Federal employment whose duties have been designated Non-Sensitive. Executive Reservists whose duties have been designated one of the above three sensitive categories.

Categories of records in the system:

Manual records contain copies of records for processing personnel security investigations. The following are representative of system documentation but other manual records pertinent to employee position and level of clearance may be a part of the file. Manual records include copies of SF-85 or SF-86 and/or SF-171 supplied by the individual concerned as well as copies of letters of transmittal, etc., between the Bureau of Mines, the Office of Personnel Management, the FBI, etc., concerning the individual's security investigation. Further, contains a copy of certification of clearance status, SF-189, and a Termination of Clearance Statement signed by the individual as appropriate. For those designated Non-Sensitive, the file contains a record of an NACI or NACIC investigation, adjudication, and determination of suitability if appropriate. For employees traveling outside the country, forms DI-1911 and DI-1175 and a foreign travel briefing/debriefing statement are maintained. Automated records contain files regarding employees names, social security numbers, organizations, investigation and classification status and action dates, employee position description requiring clearance; suspense files of all periodic/regular requirements, such as employee investigations, reinvestigations, briefings, debriefings, foreign travel, and records disposal. The above are representative of system documentation but other automated records pertinent to employees position and level of clearance may be part of the automized file.

Authority for maintenance of the system:

Executive Order 10450, as amended, Executive Order 11179, as amended, and Federal Personnel Manual 732, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary use of the automated and manual records is to identify individuals who have national security clearance and/or ADP access authorizations and their level of clearance. Disclosure outside the Department of the Interior may be made (1) to a Federal agency which has requested information relevant or necessary to its hiring or retention of an employee, or issuance of a security clearance, license, contract, grant or other benefit; (2) to Federal, State or local agencies where necessary to obtain information relevant to the hiring or retention of an employee, or the issuance of a security clearance, contract, license, grant or other benefit; (3) to the U.S. Department of Justice or in a proceeding before a court or adjudicative body when (a) the United States, the Department of the Interior, a component of the Department, or, when represented by the Government, an employee of the Department if a party to litigation or anticipated litigation or has an interest in such litigation, and (b) the Department of the Interior determines that the disclosure is relevant or necessary to the litigation and is compatible with the purpose for which the records were compiled; (4) of information indicating a violation or potential violation of a statute, regulation, rule, order or license, to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violations or for enforcing or implementing the statute, rule, regulation, order or license; (5) to a congressional office from the record of an individual in response to an inquiry the individual has made to the congressional office; (6) to the Office of Personnel Management for matters concerned with oversight activities necessary for the Office to carry out its legally authorized Governmentwide personnel management programs and functions.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

(1) Automated records are maintained on flexible disks. (2) Source documents (manual records) are maintained in manual form in file folders.

Retrievability:

(1) Automated records are retrievable by name and/or social security number. (2) Manual records are retrievable by name.

Safeguards:

(1) Automated records are maintained with safeguards meeting the FIPS PUB 41, "Computer Security Guidelines for Implementing the Privacy Act of 1974."

(2) Manual records are maintained in the same manner as defense classified material.

(3) Both automated and manual records are maintained in a safe having a three-position dial-type, manipulation proof, combination lock.

Retention and disposal:

(1) The retention and disposal determination for the automated records stored on flexible disks is pending approval of the Archivist of the United States. Automated records will be destroyed by erasure. (2) Manual records are held in active status until the individual is debriefed or terminated. Manual records are destroyed by fire, shredder, disintegrator or pulverizer not later than 5 years after separation or transfer of the individual or upon notification of death. The records disposal schedules applicable to these records are: Bureau of Mines Schedule, 435 WBM 2.1, Appendix 1(18)(f) and GRS 18, item 7.

System manager(s) and address:

Bureau Security Manager, Bureau of Mines, 2401 E Street, NW, Washington, DC 20241.

Notification procedure:

To determine whether automated and/or manual records are maintained on you in this system, write to the System Manager. See 43 CFR 2.60.

Record access procedures:

A request for access should be addressed to the System Manager. A written and signed request stating that the requester seeks information concerning records pertaining to him/her is required. Describe as specifically as possible the record sought. If copies are desired, indicate the maximum you are willing to pay. See 43 CFR 2.63.

Contesting record procedures:

To request correction or the removal of material from your files, write the System Manager. See 43 CFR 2.71.

Record source categories:

Individual on whom the record is maintained as well as data furnished by other Federal agencies on the person concerned.

INTERIOR/EBM-9

System name: Distribution Center and Film Borrower Record Cards—Interior, Mines-9.

System location: Bureau of Mines, U.S. Department of the Interior, Branch of Production and Distribution, Room 359, 4800 Forbes Avenue, Pittsburgh, Pa. 15213.

Categories of individuals covered by the system: Officials of schools and other organizations borrowing Bureau of Mines motion pictures; officials of cooperating film distribution centers.

Categories of records in the system: Information pertaining to loan of films, shipment dates, number of showings, audience size, etc., used in connection with distribution of Bureau of Mines informational motion pictures.

Authority for maintenance of the system: 30 U.S.C. 1, 3, 5-7.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The primary uses of the records are for (a) reference by Bureau of Mines film distribution personnel in determining locations of films out on loan, (b) scheduling film shipments, and returns, and (c) checking borrower's treatment of films borrowed in the past. Disclosures outside the Department of the Interior may be made (1) to the U.S. Department of Justice when related to litigation or anticipated litigation; (2) of information indicating a violation or potential violation of a statute, regulation, rule, order or license, to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper cards kept in office files.

Retrievability: Indexed by name.

Safeguards: Stored and used in government office building protected by uniformed guards.

Retention and disposal: Cards used until all spaces filled, then destroyed after 12 months.

System manager(s) and address: Chief, Branch of Production and Distribution, Bureau of Mines, 4800 Forbes Avenue, Pittsburgh, Pa. 15213, (412) 621-4500.

Notification procedure: Inquiries regarding the existence of records should be addressed to the System Manager. A written, signed request stating that the requester seeks information pertaining to him/her is required. See 43 CFR 2.60.

Record access procedures: A request for access may be addressed to the System Manager. The request must be in writing and be signed by the requester. The request must meet the content requirements of 43 CFR 2.63.

Contesting record procedures: A petition for amendment should be addressed to the System Manager and must meet the content requirements of 43 CFR 2.71.

Record source categories: Borrowers' film loan requests; correspondence from film distribution centers.

INTERIOR/USGS-2

System name: Authorized Cashier, Alternate Cashier, Certifying Officer and Cashier and Collection Officers—Interior and GS-2.

System location: Geological Survey, National Center, Reston, Virginia 22092.

Categories of individuals covered by the system: Authorized Cashiers, Alternate Cashiers, Certifying Officers and Cashiers—Collection Officers' assigned to perform these functions in the conduct of Survey financial business.

Categories of records in the system: Up-to-date records including name and address showing authorizations for certain persons to perform the functions of cashier, alternate cashier, certifying officer, and cashier—collection officer.

Authority for maintenance of the system: 31 U.S.C. 66a.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The primary use of the records is to maintain records of authorizations for individuals to perform the functions of cashiers, alternate cashier, certifying officer and cashier-collection officers. Disclosurers outside the Department of the Interior may be made to: (1) The U.S. Treasury to maintain Treasury records on these functions; (2) to the U.S. Department of Justice when related to litigation or anticipated litigation; (3) of information indicating a violation or potential violation of a statute, regulation, rule, order or license, to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license; (4) from the record of an individual in response to an inquiry from a Congressional office made at the request of that individual; (5) to a Federal agency which has requested information relevant or necessary to its hiring or retention of an employee, or issuance of a security clearance, license, contract, grant or other benefit; (6) to Federal, State or local agencies where necessary to obtain information relevant to the hiring or retention of an employee, or the issuance of a security clearance, license, contract, grant or other benefit.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: maintained in manual form in file folders.

Retrievability: by name of individual.

Safeguards: Access limited to those personnel who have requirement for access.

Retention and disposal: Retained and disposed of according to GSA General Records Schedules.

System manager(s) and address: Chief, Branch of Financial Management, Geological Survey, National Center, Reston, Virginia 22092.

Notification procedure: A written and signed request from the requester seeking information about him or herself is required and is submitted to the System Manager.

Record access procedures: Requests for access should be addressed to the System Manager and meet the requirements of 43 CFR 2.63

Contesting record procedures: A petition for amendment should be addressed to the System Manager and must meet the content requirements of 43 CFR 2.71.

Record source categories: Individuals and supervisors.

INTERIOR/USGS-3

System name: Accounts Receivable-Interior, GS-3.

System location:

Geological Survey, National Center, Reston, Virginia 22092.

Categories of individuals covered by the system:

Debtors owing money to the Geological Survey, including employees, former employees, business firms, institutions and private individuals. (The records contained in this system which pertain to individuals contain principally proprietary information concerning sole proprietorships. Some of the records in the system which pertain to individuals may reflect personal information, however. Only the records reflecting personal information are subject to the Privacy Act. The system also contains records concerning corporations and other business entities. These records are not subject to the Privacy Act.)

Categories of records in the system:

Name, address, SSN, ID number, amount owed, invoice or bill number, reason for the debt, and any other information on debts owed to the Bureaus.

Authority for maintenance of the system:

5 U.S.C. 5701-09; FPMR 101-7; Treasury Fiscal Requirements Manual; Pub. L. 97-365.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary use of the records is to bill persons and firms owing money to the Geological Survey. Disclosures outside the Department of the Interior may be made to: (1) The Office of Personnel Management for reporting purposes; (2) to the U.S. Department of Justice or in a proceeding before a court or adjudicative body when (a) the United States, the Department of the Interior, a component of the Department, or, when represented by the government, an employee of the Department is a party is a party to litigation or anticipated litigation or has an interest in such litigation, and (b) the Department of the Interior determines that the disclosure is relevant or necessary to the litigation and is compatible with the purpose for which the records were compiled; (3) of information indicating a violation or potential violation of a statute, regulation, rule, order or license, to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license; (4) from the record of an individual in response to an inquiry from a Congressional office made at the request of that individual; (5) to a Federal agency which has requested information relevant or necessary to its hiring or retention of an employee, or the issuance of a security clearance, license, contract, grant or other benefit; (6) to Federal, State or local agencies where necessary to obtain information relevant to the hiring or retention of an employee, or the issuance of a security clearance, license, contract grant or other benefit; (7) to disclose debtor information to the IRS, or another Federal agency or its contractor solely to aggregate information for the IRS, to collect debts owed to the Federal government through the offset of tax refunds.

Disclosure to consumer reporting agencies:

Disclosures pursuant to 5 U.S.C. 552a(b)(12). Pursuant to 5 U.S.C. 552a(b)(12), disclosures may be made to a consumer reporting agency as defined in the Fair Credit Reporting Act (15 U.S.C. 1681a(f)) or the Federal Claims Collection Act of 1966 (31 U.S.C. 3701(a)(3)).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Manual form in file folders.

Retrievability:

By individual name and Social Security number.

Safeguards:

Handling by authorized personnel only.

Retention and disposal:

Retained until payment received and account audited, then disposed of in accordance with Records Control Schedule.

System manager(s) and address:

Chief, Branch of Financial Management, Geological Survey, National Center, Reston, Virginia 22092.

Notification procedure:

A written and signed request from the requester seeking information about him/her is required and is submitted to the System Manager. See 43 CFR 2.60.

Record access procedures:

Requests for access should be addressed to the System Manager and must meet the requirements of 43 CFR 2.63.

Contesting record procedures:

Petitions for amendment should be addressed to the System Manager and must meet the requirements of 43 CFR 2.71.

Record source categories:

Subject individual, contracting officer, accounting records.

INTERIOR/USGS-4

System name:

Employee Counseling Services Program Records—Interior, GS-4.

System location:

This system of records is located with the contractor providing counseling services.

Categories of individuals covered by the system:

U.S. Geological Survey employees and their families who seek, are referred, and/or receive assistance through the Employee Counseling Services Program (ECSP).

Categories of records in the system:

Records in this system include documentation of visits to employee counselors (Federal, State, local government, or private) and the problem assessment, recommended plan of action to correct the major issue, referral to community or private resource for assistance with personal problems, referral to community or private resource for rehabilitation or treatment, results of referral, and other notes or records of discussions held with the employee made by the ECSP counselor. Additionally, records in this system may include documentation of treatment by a therapist or at a Federal, State, local government, or private institution.

Authority for maintenance of the system:

42 U.S.C. 290dd-1; 42 U.S.C. 290ee-1.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records are used by the Employee Counseling Services Program Counselor to document the nature of an individual's work performance problem and progress made to correct the problem. The primary uses of these records are: (1) For the ECSP counselor to document the nature of an individual's work performance problem and progress made to correct the problem, and, (2) record an individual's participation in, and the results of, community or private referrals for solution of personal problems, rehabilitation, or treatment programs.

These records and information may be used:

(1) To disclose information to qualified personnel for the purpose of conducting scientific research, management audits, financial audits, or program evaluation, but such personnel may not identify, directly or indirectly, any individual patient in any report or otherwise disclose patient identities in any manner (when such records are provided to qualified researchers employed by DOL, all patient identifying information will be removed).

Note.—Disclosures of information pertaining to an individual with a history of alcohol or drug abuse must be limited in compliance with the restrictions of the confidentality of Alcohol and Drug Abuse Patient Records Regulations, 42 CFR Part 2. Disclosure of records pertaining to the physical and mental fitness of employees are, as a matter of Department policy, afforded the same degree of confidentiality.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

These records are maintained in file folders.

Retrievability:

These records are retrieved by the name of the individual on whom they are maintained.

Safeguards:

These records are maintained in locked file cabinets with access strictly limited to those persons employed by the contractor(s) who are directly involved in the Geological Survey's Employee Counseling Services Program alcohol and drug abuse prevention function as that term is defined in 42 CFR Part 2.

Retention and disposal:

Records are maintained for three to five years after the employee of family member's last contract with the ECSP prevention function or until the employee's separation or transfer, whichever comes first. Records are destroyed by shredding or burning.

System manager(s) and address:

Program Coordinator, Employee Counseling Services Program, Branch of Personnel, U.S. Geological Survey, 12201 Sunrise Valley Drive, Reston, Virginia 22092.

Notification procedure:

Geological Survey employees wishing to inquire whether this system of records contains information about them should contact the U.S. Geological Survey Employee Counseling Services Program Coordinator. Individuals must furnish their name and date of birth for their records to be located and identified.

Record access procedures:

Same as notification above. Any individual must also follow the Department Privacty Act Regulations regarding verification of identity and access to records (See 43 CFR 2.62).

Contesting record procedures:

Geological Survey employees wishing to request amendment to these records should contact the U.S. Geological Survey Employee Counseling Services Program Coordinator. An individual must follow the Department's Privacy Act Regulations regarding verification of identity and amendment of records (See 43 CFR 2.70).

Record source categories:

Information in this system of records comes from the individual to whom it applies, the supervisor of the individual if the individual was referred by a supervisor, the Employer Counseling Services Program staff who records the counseling session, and therapists or institutions used as referrals or providing treatment.

INTERIOR/USGS-5

System name:

Contract Files-Interior, GS-5.

System location:

The primary location of this system of records is in the Branch of Procurement and Contracts, Geological Survey, National Center, Reston, VA 22092. These records are also maintained in several Survey administrative field offices. A listing of these locations may be obtained from the System Manager.

Categories of individuals covered by the system:

Individuals who have contracts with the Geological Survey. The system also contains records concerning corporations and other business entities. These records are not subject to the Privacy Act.

Categories of records in the system:

Record of contract information, from inception of requirement, through contract award, contract administration and completion of the contract. Copies of contractor technical and cost proposals, documentation pertaining to the award, contract, miscellaneous correspondence, and information on debts owed by a contractor as a result of overpayment, default, disallowed costs or other contractual obligation.

Authority for maintenance of the system:

40 U.S.C. 481.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary use of the records is in awarding and administering contracts through their completion. Disclosure outside the Department of the Interior may be made: (1) To the U.S. Department of Justice or in a proceeding before a court or adjudicative body when (a) the United States, the Department of the Interior, a component of the Department or, when represented by the Government, an employee of the Department is a party to litigation or anticipated litigation or has an interest in such litigation, and (b) the Department of the Interior determines that the disclosure is relevant or necessary to the litigation and is compatible with the purpose for which the records were compiled; (2) of information indicating a violation or potential violation of a statute, regulation, rule, order or license, to appropriate Federal, State, local or foreign agencies responsible for investigation or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license; (3) to a congressional office from the record of an individual in response to an inquiry the individual has made to the congressional office; (4) to a Federal agency which has requested information relevant or necessary to its hiring or retention of an employee, or the issuance of a security clearance, license, contract, grant or other benefit; (5) to Federal, State or local agencies where necessary to obtain information relevant to the hiring or retention of an employee; or the issuance of a security clearance, license, contract, grant or other benefit; (6) to the General Services Administration for entry into the Federal Procurement Data System; (7) to the Department of Commerce for publication in the Commerce Business Daily.

Disclosure to consumer reporting agencies:

Pursuant to 5 U.S.C. 552a(b)(12), disclosures may be made to a consumer reporting agency as defined in the Fair Credit Reporting Act (15 U.S.C. 1681a(f)) or the Federal Claims Collection Act of 1966 (31 U.S.C. 3701(a)(3)).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in manual form in file folders, and in automated form through the Procurement Management Information System.

Retrievability:

By name of individual contractor and by contract number.

Safeguards:

Maintained with safeguards meeting the requirements of 43 CFR 2.51 for computer and manual records.

Retention and disposal:

Retained and disposed of according to Bureau Records Disposition Schedule, RCS/Item 802-01.

System manager(s) and address:

Chief, Procurement Policy Section, Branch of Procurement and Contracts, Geological Survey, Department of the Interior, National Center, Reston, Virginia 22092.

Notification procedure:

A written and signed request stating that the requester seeks information concerning records pertaining to him/her must be addressed to the System Manager. See 43 CFR 2.60.

Record access procedures:

Requests for access shall be addressed to the System Manager, signed by the requester and meet the content requirements of 43 CFR 2.63.

Contesting record procedures:

A petition for amendment shall be addressed to the System Manager and meet the requirements of 43 CFR 2.71.

Record source categories:

Information comes from the individual contractor.

INTERIOR/USGS-6

System name:

RELOS Records—Interior, GS-6.

System location:

Branch of Administrative Services, Geological Survey, National Center, Reston, Virginia 22092.

Categories of individuals covered by the system:

Survey employees in the Washington Metropolitan Area.

Categories of records in the system:

Names of individual employees, social security numbers, office telephones, location codes, room numbers, mail stop numbers, organization codes, parking permit numbers, names of individuals who qualify for preferential parking due to handicap or position.

Authority for maintenance of the system:

5 U.S.C. 3101, 40 U.S.C. 483(b).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary uses of these records are: (a) To prepare the bureau telephone directories; (b) to issue parking permits; (c) to prepare space occupancy reports. Disclosure outside the Department of the Interior may be made: (1) To the U.S. Department of Justice when related to litigation or anticipated litigation; (2) of information indicating a violation or potential violation of a statute, regulation, rule, order or license, to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license; (3) from the record of an individual in response to an inquiry from a Congressional office made at the request of that individual; (4) to a Federal agency which has requested information relevant or necessary to its hiring or retention of an employee, or issuance of a security clearance, license, contract, grant or other benefit; (5) to Federal, State or local agencies where necessary to obtain information relevant to the hiring or retention of an employee, or the issuance of security clearance, license, contract, grant or other benefit.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in manual and computerized form.

Retrievability:

By name or social security number.

Safeguards:

Records kept in locked cabinets for use of Branch of Administrative Services personnel only.

Retention and disposal:

Retained until obsolete, then destroyed.

System manager(s) and address:

Chief, Branch of Administrative Services, Geological Survey, National Center, Reston, Virginia 22092.

Notification procedure:

Inquiries regarding the existence of records should be addressed to the System Manager. A written, signed request stating that the individual seeks information concerning his/her records is required. See 43 CFR 2.60.

Record access procedures:

A request for access may be addressed to the System Manager. The request must be in writing, signed by the requester, and meet the content requirements of 43 CFR 2.63.

Contesting record procedures:

A petition for amendment should be addressed to the System Manager and meet the content requirements of 43 CFR 2.71.

Record source categories:

Individuals on whom the records are maintained.

INTERIOR/USGS-7

System name:

Personal Property Accountability Records—Interior, USGS-7.

System location:

(1) Property Management Branch, Office of Facilities and Management Services, Administrative Division, U.S. Geological Survey, National Center, Mail Stop 210, Reston, VA 22092.

(2) Administrative offices in all or substantially all field locations. (For a listing of specific locations, contact the System Manager.)

Categories of individuals covered by the system:

Geological Survey employees who are accountable for bureau-owned controlled property.

Categories of records in the system:

Records of assignment of an internal identification number and acknowledgement of receipt by employees. Records of transfers to other accountable employees. Inventory records containing employee social security numbers and duty stations.

Authority for maintenance of the system:

40 U.S.C. 483(b).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary uses of the records are to: (a) Maintain control over bureau-owned controlled property; (b) maintain up-to-date inventory of the property and to record accountability for the property. Disclosure outside the Department of the Interior may be made: (1) To the U.S. Department of Justice or in a proceeding before a court or adjudicative body when (a) the United States, the Department of the Interior, a component of the Department or, when represented by the Government, an employee of the Department is a party to litigation or anticipated litigation or has an interest in such litigation, and (b) the Department of the Interior determines that the disclosure is relevant or necessary to the litigation and is compatible with the purpose for which the records were compiled; (2) to disclose pertinent information to an appropriate Federal, State, local, or foreign agency responsible for investigating, prosecuting, enforcing, or implementing a statute, regulation, rule, or order, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation; (3) to a congressional office from the record of an individual in response to an inquiry the individual has made to the congressional office; (4) to a Federal agency which has requested information relevant or necessary to its hiring or retention of an employee, or issuance of a security clearance, license, contract, grant, or other benefit; (5) to Federal, State, or local agencies where necessary to obtain information relevant to the hiring or retention of an employee, or the issuance of a security clearance, license, contract, grant, or other benefit; (6) to a Federal agency for the purpose of collecting a debt owed the Federal government through administrative or salary offset and to other Federal agencies conducting computer matching programs to help eliminate fraud and abuse.

Disclosure to consumer reporting agencies:

Disclosures pursuant to 5 U.S.C. 552a(b)(12). Disclosures may be made from this system to consumer reporting agencies as defined in the Fair Credit Reporting Act (15 U.S.C. 1681a(f)) or the Federal Claims Collection Act of 1966 (31 U.S.C. 3701(a)(3)).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are both manual and computerized.

Retrievability:

By employee social security number.

Safeguards:

Access by authorized employees only.

Retention and disposal:

Retained and disposed of according to Bureau Records Disposition Schedule, RCS/Item 307-10.

System manager(s) and address:

Chief, Property Management Branch, Office of Facilities and Management Services, Administrative Division, U.S. Geological Survey, National Center, Mail Stop 210, Reston, VA 22092.

Notification procedure:

Inquiries should be addressed to the System Manager. See 43 CFR 2.60.

Record access procedures:

Same as above. See 43 CFR 2.63.

Contesting record procedures:

A petition for amendment should be addressed to the System Manager and must meet the content requirements of 43 CFR 2.71.

Record source categories:

Individual employees.

INTERIOR/USGS–9

System name:

National Research Council Grants Program—Interior, USGS-9.

System location:

Office of the Chief Geologist, Geologic Division, U.S. Geological Survey, National Center, Mail Stop 912, Reston, Virginia 22092

Categories of individuals covered by the system:

Individuals considered for grants made through the National Research Council, who perform research assignments on behalf of the Geological Survey.

Categories of records in the system:

Contains name, address, and office name where employed of person performing work on a research assignment for the Geological Survey. Records included are: The research proposal; internal memoranda; correspondence between the National Research Council and the applicant; travel requests, if appropriate; and includes documentation for renewal of assignment, if applicable.

Authority for maintenance of the system:

43 U.S.C. 31 et seq., 5 U.S.C. 3101

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary use of the records is to evaluate individuals being considered for grants made through the National Research Council. Disclosures outside the Department of the Interior may be made: (1) To the National Research Council for evaluation purposes; (2) to the U.S. Department of Justice or in a proceeding before a court or adjudicative body when (a) the United States, the Department of the Interior, a component of the Department, or, when represented by the government, an employee of the Department is a party to litigation or anticipated litigation or has an interest in suhc litigation, and (b) the Department of the Interior determines that the disclosure is relevant or necessary to the litigation and is compatible with the purpose for which the records were compiled; (3) disclose pertinent information to an appropriate Federal, State, local, or foreign agency responsible for investigating, prosecuting, enforcing, or implementing a statute, regulation, rule or order, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation; (4) to a congressional office from the record of an individual in response to an inquiry the individual has made to the congressional office; (5) to a Federal agency which has requested information relevant or necessary to its hiring or retention of an employee, or issuance of a security clearance, license, contract, grant or other benefit; (6) to Federal, State or local agencies where necessary to obtain information relevant to the hiring or retention of an employee or the issuance of a security clearance, license, contract, grant or other benefit.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Manual system maintained in files showing data on Research Associates who perform research assignments on behalf of the Geological Survey under this program.

Retrievability:

Indexed by name.

Safeguards:

Maintained with safeguards meeting the requirements of 43 CFR 2.51.

Retention and disposal:

Records are disposed of periodically as prescribed under Bureau Records Disposition Schedule RCS/Item 802-06b and 802-07.

System manager(s) and address:

Deputy Chief Geologist, Geologic Division, U.S. Geological Survey, National Center, Mail Stop 912, Reston, Virginia 22092.

Systems exempted from certain provisions of the act:

Under the specific exemption authority of 5 U.S.C. 552a(k)(5), the Department of the Interior has adopted a regulation (43 CFR 2.79(c)(2)) which exempts this system from the provisions of 5 U.S.C. 552a (c)(3), (d), (e)(1), (e)(4)(G), (H) and (I), and (f) to the extent that the system consists of investigatory material compiled solely for the purpose of determining suitability, eligibility or qualifications for federal civilian employment. The reasons for adoption of this regulation are set out at 40 FR 37217 (August 26, 1975).

INTERIOR/USGS–11

System name:

Security—Interior, USGS-11.

System location:

Office of the Chief Geologist, Geologic Division, U.S. Geological Survey, National Center, Mail Stop 912, Reston, VA 22092.

Categories of individuals covered by the system:

Geologic Division employees who have been granted security clearances.

Categories of records in the system:

Record of security clearance for Division personnel; contains name, title, organization, office location, social security number, place and date of birth, and type of security clearance of person being granted access.

Authority for maintenance of the system:

Executive Order 10501.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary use of the records is to keep current records on security clearances in the Geologic Division. Disclosure outside the Department of the Interior may be made (1) to the U.S. Department of Justice or in a proceeding before a court or adjudicative body when (a) the United States, the Department of the Interior, a component of the Department, or when represented by the government, an employee of the Department is a party to litigation or anticipated litigation or has an interest in such litigation, and (b) the Department of the Interior determines that the disclosure is relevant or necessary to the litigation and is compatible with the purpose for which the records were compiled; (2) to disclose pertinent information to an appropriate Federal, State, local, or foreign agency responsible for investigating, prosecuting, enforcing, or implementing a statute, regulation, rule, or order, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation; (3) to a congressional office from the record of an individual in response to an inquiry the individual has made to the congressional office; (4) to a Federal agency which has requested information relevant or necessary to its hiring or retention of an employee, or issuance of a security clearance, license, contract, grant, or other benefit; (5) to Federal, State, or local agencies where necessary to obtain information relevant to the hiring or retention of an employee, or the issuance of a security clearance, license, contract, grant, or other benefit.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Manual systems maintained in locked files. Automated system maintained in dBase III file.

Retrievability:

Indexed by individual name.

Safeguards:

Maintained with security meeting the requirements of 43 CFR 2.51.

Retention and disposal:

Retained and disposed of according to Bureau of Records Disposition Schedule, RCS/Item 306-16.

System manager(s) and address:

Administrative Officer, Geologic Division, U.S. Geological Survey, National Center, Mail Stop 912, Reston, VA 22092.

Notification procedure:

Inquiries should be addressed to the System Manager. See 43 CFR 2.60.

Record access procedures:

A request for access may be addressed to the System Manager. The request must be in writing and signed by the requester. The request must meet the content requirements of 43 CFR 2.63.

Contesting record procedures:

A petition for amendment should be addressed to the System Manager and must meet the content requirements of 43 CFR 2.71.

Record source categories:

Individual on whom the record is maintained.

INTERIOR/USGS-13

System name:

Manuscript Processing-Interior, GS-13.

System location:

(1) Office of Scientific Publications, Geologic Division, Reston, Virginia 22092. (2) Central and Western Regional offices of the Geologic Division. (Addresses may be obtained from the System Manager.)

Categories of individuals covered by the system:

Geologic Division authors of Geo-Science publications.

Categories of records in the system:

Contains record by author or title on publication plans, status and location of all manuscript maps and reports in preparation or published by Geologic Division employees.

Authority for maintenance of the system:

43 U.S.C. 31, et seq.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary use of the records is to maintain knowledge of and track publication plans, status of manuscript maps and reports in preparation being entered by Geologic Division employees. Disclosure outside the Department of the Interior may be made: (1) To the U.S. Department of Justice when related to litigation or anticipated litigation; (2) of information indicating a violation or potential violation of a statute, regulation, rule, order or license, to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license; (3) from the record of an individual in response to an inquiry from a Congressional office made at the request of that individual; (4) to a Federal agency which has requested information relevant or necessary for its hiring or retention of an employee, or issuance of a security clearance, license, contract, grant or other benefit; (5) to Federal, State or local agencies where necessary to obtain information relevant to the hiring or retention of an employee, or the issuance of a security clearance, license, contract, grant or other benefit.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in manual form on cards.

Retrievability:

Indexed by author and Geographic area.

Safeguards:

Maintained in accordance with 43 CFR 2.51.

Retention and disposal:

Indefinite retention.

System manager(s) and address:

Deputy Chief, Office of Scientific Publications, Geologic Division, Reston, Virginia 22092.

Notification procedure:

Inquiries should be addressed to the System Manager. See 43 CFR 2.60.

Record access procedures:

Same as above. See 43 CFR 2.63.

Contesting record procedures:

Same as above. See 43 CFR 2.71.

Record source categories:

Authors.

INTERIOR/USGS 14

System name:

Travel Files-Interior, GS-14.

System location:

Geological Survey, National Center, Reston, Virginia 22092.

Categories of individuals covered by the system:

Employees of the Geological Survey.

Categories of records in the system:

Names, addresses, social security numbers; destination; itineraries; modes and purposes of travel; dates; expenses including advances; amounts claimed and reimbursed, travel orders; vouchers; receipts and passport record cards and information pertaining to an amount owed on an outstanding or delinquent travel advance.

Authority for maintenance of the system:

5 U.S.C. 5701, 31 U.S.C. 3512.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary uses of the records are to: (a) Account for travel advances; (b) compute vouchers to determine amounts claimed and reimbursed; (c) account for travel orders; maintaining records of modes and purposes of travel and itineraries; (d) maintain records of passports. Disclosure outside the Department of the Interior may be made to: (1) The U.S. Treasury Department for payments; (2) the U.S. Department of State for passports; (3) to the U.S. Department of Justice when related to litigation or anticipated litigation; (4) of information indicating a violation or potential violation of a statute, regulation, rule, order or license, to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license; (5) from the record of an individual in response to an inquiry from a Congressional office made at the request of that individual; (6) to a Federal agency which has requested information relevant or necessary to its hiring or retention of an employee, or issuance of a security clearance, license, contract grant or other benefit; (7) to Federal, State or local agencies where necessary to obtain information relevant to the hiring or retention of an employee, or the issuance of a security clearance, license, contract, grant or other benefit.

Disclosure to consumer reporting agencies:

Disclosures pursuant to 5 U.S.C. 552a(b)(12). Pursuant to 5 U.S.C. 552a(b)(12), disclosures may be made to a consumer reporting agency as defined in the Fair Credit Reporting Act (15 U.S.C. 1681a(f)) or the Federal Claims Collection Act of 1966 (31 U.S.C. 3701(a)(3)).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Manual and machine readable.

Retrievability:

Filed by name, social security number or travel order number.

Safeguards:

Storage facilities are in secured premises with access limited to personnel whose official duties require access.

Retention and disposal:

Retained according to GSA Federal Travel Regulations, and disposed of according to Records Control Schedule and GSA General Records Schedules.

System manager(s) and address:

Chief, Branch of Financial Management, Geological Survey, National Center, Reston, Virginia 22092.

Notification procedure:

A written and signed request addressed to the System Manager is required from anyone seeking information concerning him or herself. See 43 CFR 2.60.

Record access procedures:

Requests for access should be addressed to the System Manager and meet the requirements of 43 CFR 2.63.

Contesting record procedures:

A petition for amendment should be addressed to the System Manager and must meet the content requirements of 43 CFR 2.71.

Record source categories:

Subject individuals, supervisors and standard finance office references.

INTERIOR/USGS-15

System name:

Cartographic Information Customer Records-Interior, GS-15.

System location:

(1) National Cartographic Information Center (NCIC), National Mapping Division, Geological Survey, Reston, VA 22092. (2) NCIC Field Offices (for specific locations contact the System Manager.)

Categories of individuals covered by the system:

Individuals who have requested Cartographic Information directly from, or whose requests have been forwarded to the National Cartographic Information Center or its sponsored field centers.

Categories of records in the system:

Contains name, address, customer's inquiry, response to inquiry, appropriate accounting entries, and information on debts owed the Bureau as a result of customer orders.

Authority for maintenance of the system:

(1) Executive Order 3206. (2) OMB Circular A-16. (3) 31 U.S.C. 3512.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary use of the records is for reference by Survey and Survey contract employees in processing customer inquiries, orders, and complaints. Disclosure outside the Department of the Interior may be made: (1) To the U.S. Department of Justice or in a proceeding before a court or adjudicative body when (a) the United States, the Department of the Interior, a component of the Department or, when represented by the Government, an employee of the Department is a party to litigation or anticipated litigation or has an interest in such litigation, and (b) the Department of Interior determines that the disclosure is relevant or necessary to the litigation and is compatible with the purpose for which the records were compiled; (2) of information indicating a violation or potential violation of a statute, regulation, rule, order or license; to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license; (3) to a congressional office from the record of an individual in response to an inquiry the individual has made to the congressional office.

Disclosure to consumer reporting agencies:

Disclosures pursuant to 5 U.S.C. 552a(b)(12). Pursuant to 5 U.S.C. 552a(b)(12), disclosures may be made to a consumer reporting agency as defined in the Fair Credit Reporting Act (15 U.S.C. 1681a(f)) or the Federal Claims Collection Act of 1966 (31 U.S.C. 3701(a)(3)).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in manual form in file folders, correspondence may be recorded on microfilm and key information recorded on magnetic disk or on magnetic tape in some instances.

Retrievability:

Stored by account number, indexed by name and zip code.

Safeguards:

Maintained in GS areas occupied by GS personnel during working hours with building locked and/or guarded during off hours.

Retention and disposal:

Retained and disposed of according to Bureau Records Disposition Schedule, RCS/Item 102-01.

System manager(s) and address:

Chief, National Cartographic Information Center (NCIC), National Mapping Division, GS, Reston, Virginia 22092.

Notification procedure:

Inquiries should be addressed to the System Manager. See 43 CFR 2.60.

Record access procedures:

Same as above. See 43 CFR 2.63.

Contesting record procedures:

A petition for amendment should be addressed to the System Manager and must meet the content requirements of 43 CFR 2.71.

Record source categories:

Customers on whom record is maintained and GS or GS contract information researchers.

INTERIOR/USGS-16

System name:

Office of Minerals Exploration (OME) Financial Assistance Applications—Interior, USGS-16.

System location:

Office of Minerals Exploration, Geologic Division, U.S. Geological Survey, Denver Federal Center, Mail Stop 922, Denver, CO 80225.

Categories of individuals covered by the system:

Applicants for financial assistance to explore mineral deposits.

Categories of records in the system:

Information furnished by the applicant in support of a loan application including financial eligibility, rights in land to be explored, operating experience and background to conduct the proposed exploration work.

Authority for maintenance of the system:

Pub. L. 85-701, 30 U.S.C. 642.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary use of these records is to evaluate applications for loans to conduct exploration projects. Disclosure outside the Department of the Interior may be made (1) to the U.S. Department of Justice or in a proceeding before a court or adjudicative body when (a) the United States, the Department of the Interior, a component of the Department, or when represented by the government, an employee of the Department is a party to litigation or anticipated litigation or has an interest in such litigation, and (b) the Department of the Interior determines that the disclosure is relevant or necessary to the litigation and is compatible with the purpose for which the records were compiled; (2) to disclose pertinent information to an appropriate Federal, State, local, or foreign agency responsible for investigating, prosecuting, enforcing, or implementing a statute, regulation, rule, or order, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation; (3) to a congressional office from the record of an individual in response to an inquiry the individual has made to the congressional office; (4) to a Federal agency which has requested information relevant or necessary to its hiring or retention of an employee, or issuance of a security clearance, license, contract, grant, or other benefit; (5) to Federal, State, or local agencies where necessary to obtain information relevant to the hiring or retention of an employee, or the issuance of a security clearance, license, contract, grant, or other benefit.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders in metal filing cabinets.

Retrievability:

Indexed by name of individual applicant and by docket number assigned to each applicant.

Safeguards:

Maintained in accordance with 43 CFR 2.51.

Retention and disposal:

Complete file is retained until decision is reached on denial or approval. If denied or after period of contract obligation for royalty payments to the Government has expired—a period of ten years or more—file should be stripped of non-technical material and placed in permanent storage. Discarded material is destroyed in accordance with the Bureau Records Disposition Schedule, RCS/Item 1900-01.

System manager(s) and address:

Chief, Office of Minerals Exploration, Geologic Division, U.S. Geological Survey, Denver Federal Center, Mail Stop 922, Denver, CO 80225.

Notification procedure:

Inquiries should be addressed to the System Manager. See 43 CFR 2.60.

Record access procedures:

Same as above. See 43 CFR 2.63.

Contesting record procedures:

Same as the above. See 43 CFR 2.71.

Record source categories:

Applicant on whom the file is maintained.

INTERIOR/USGS-18

System name:

Computer Registration System—Interior, USGS-18.

System location:

U.S. Geological Survey (USGS), Information Systems Division, National Center, Mail Stop 801, Reston, Virginia 22092; USGS, Denver Service Center, Box 25046, Mail Stop 801, Denver, Colorado 80225; USGS, Menlo Park Service Center, 345 Middlefield Road, Menlo Park, California 94025; USGS, Flagstaff Service Center, 2255 N. Gemini Drive, Flagstaff, Arizona 86001.

Categories of individuals covered by the system:

Users of Computer Services.

Categories of records in the system:

Name, computer user number, city/state telephone number, subsystem registration, account number.

Authority for maintenance of the system:

40 U.S.C. 486(c); 41 CFR Part 201-7.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary use of the records is: (a) To record registration information for computer users; and (b) to contact computer users. Disclosure outside the Department of the Interior may be made: (1) To the U.S. Department of Justice or in a proceeding before a court or adjudicative body when (a) the United States, the Department of the Interior, a component of the Department or, when represented by the Government, an employee of the Department is a party to litigation or anticipated litigation or has an interest in such litigation, and (b) the Department of the Interior determines that the disclosure is relevant or necessary to the litigation and is compatible with the purpose for which the records were compiled; (2) of information indicating a violation or potential violation of a statute, regulation, rule, order or license, to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license; (3) to a congressional office from the record of an individual in response to an inquiry the individual has made to the congressional office; (4) to a Federal agency which has requested information relevant or necessary to its hiring or retention of an employee, or issuance of a security clearance, license, contract, grant or other benefit; (5) to Federal, State, or local agencies where necessary to obtain information relevant to the hiring or retention of an employee, or the issuance of a security clearance, license, contract, grant or other benefit.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are maintained on magnetic disk.

Retrievability:

By user name, user number, city/state, telephone number, subsystem, account number.

Safeguards:

Maintained with safeguards meeting the requirements of 43 CFR 2.51.

Retention and disposal:

Retained and disposed of according to Bureau Records Disposition Schedule, RCS/Item 102-01.

System manager(s) and address:

Chief, Information Systems Division, U.S. Geological Survey, Mail Stop 801, National Center, Reston, Virginia 22092; Chief, Denver Federal Center, U.S. Geological Survey, Box 25046, Mail Stop 801, Denver, Colorado 80225; Chief, Menlo Park Service Center, U.S. Geological Survey, 345 Middlefield Road, Menlo Park, California 94025; Chief, Flagstaff Service Center, U.S. Geological Survey, 2255 N Gemini Drive, Flagstaff, Arizona 86001.

Notification procedure:

Inquiries regarding the existence of records should be addressed to the pertinent System Manager. A written, signed request stating that the requester seeks information concerning records pertaining to him/her is required. See 43 CFR 2.60.

Record access procedures:

A request for access should be addressed to the pertinent System Manager. The request must be in writing and be signed by the requester. The request must meet the content requirements of 43 CFR 2.63.

Contesting record procedures:

A petition for amendment should be addressed to the pertinent System Manager and must meet the content requirements of 43 CFR 2.71.

Record source categories:

Individual users of computer services.

INTERIOR/EGS-20

System name:

Photo File System—Interior, GS-20.

System location:

U.S. Geological Survey, Geologic Division, Office of Scientific Publications, National Center, Mail Stop 790, Reston, VA 22092.

Categories of individuals covered by the system:

U.S.G.S. employees.

Categories of records in the system:

Photographs.

Authority for maintenance of the system:

5 U.S.C. 301, 3101, 43 U.S.C. 1467.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary use of the records is to maintain photographs of USGS top level employees. Disclosure outside the Department of the Interior may be made: (1) To the public in presentations and publications; (2) to the U.S. Department of justice when related to litigation or anticipated litigation; (3) of information indicating a violation or potential violation of a statute, regulation, rule, order or license, to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or licensee; (4) from the record of an individual in response to an inquiry from a Congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

PIC cards 5 by 8.

Retrievability:

Indexed by name.

Safeguards:

Maintained in accordance with 43 CFR 2.51.

Retention and disposal:

Records maintained indefinitely.

System manager(s) and address:

Chief, Visual Information Services Group, Geologic Division, Office of Scientific Publications, MS 790, USGS National Center, Reston, VA 22092.

Notification procedure:

Inquiries regarding the existence of records shall be addressed to the System Manager. A written, signed request stating that the requester seeks information concerning records pertaining to him is required. See 43 CFR 2.60.

Record access procedures:

A request for access shall be addressed to the System Manager. The request must be in writing and be signed by the requester. The request must meet the content requirements of 43 CFR 2.63.

Contesting record procedures:

A petition for amendment should be addressed to the System Manager and must meet the content requirements of 43 CFR 2.71.

Record source categories:

Photographs of individuals employed by the U.S.G.S.

INTERIOR/USGS-23

System name:

Personnel Investigations Records—Interior, USGS-23.

System location:

Security Office, Office of Facilities and Management Services, Administrative Division, U.S. Geological Survey, National Center, Mail Stop 150, Reston, VA 22092.

Categories of individuals covered by the system:

1. Current Geological Survey employees who (a) are granted access to classified information; (b) are filling sensitive positions not requiring access to classified information; (c) are being considered either for access to classified information or for filling sensitive positions not requiring access to classified information; and (d) are found unsuitable for access to classified information or filling sensitive positions because unfavorable information was revealed during the conduct of their security investigations.

2. Former Geological Survey employees who (a) were granted access to classified information; (b) were filling sensitive positions not requiring access to classified information, and (c) were found unsuitable for access to classified information or filling sensitive positions because unfavorable information was revealed during the conduct of their security investigations.

Categories of records in the system:

These records contain investigative information regarding an individual's character, conduct, and behavior in the community where he or she lives or lived; arrests and convictions for any violations against the law; reports of interviews with present and former supervisors, co-workers, associates, educators, etc.; reports about the qualifications of an individual for a specific position; reports of inquiries with or from law enforcement agencies, employers, and educational institutions attended; foreign affiliations which may affect his or her loyalty to the United States; and other information developed from the above.

Authority for maintenance of the system:

Executive Order 10450, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The contents of these records and files may be disclosed and used as follows: (1) To designated officials, officers, and employees of the USGS, DOI, OPM, DOE, CIA, FBI, and all other agencies and departments of the Federal Government who in the performance of their duties have an interest in the individual for employment purposes, including a security clearance or access determination, and a need to evaluate qualifications, suitability, and loyalty to the United States Government; (2) to the U.S. Department of Justice or in a proceeding before a court or adjudicative body when (a) the United States, the Department of the Interior, a component of the Department, or, when represented by the government, an employee of the Department is a party to litigation or anticipated litigation or has an interest in such litigation, and (b) the Department of the Interior determines that the disclosure is relevant or necessary to the litigation and is compatible with the purpose for which the records were compiled; (3) to disclose pertinent information to an appropriate Federal, State, local, or foreign agency responsible for investigating, prosecuting, enforcing, or implementing a statute, regulation, rule, or order, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation; (4) to a congressional office from the record of an individual in response to an inquiry the individual has made to the congressional office.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

All investigative records are maintained in file folders stored in Class 5 security containers having manipulation resistant combination locks.

Retrievability:

All records are indexed by surname in alphabetical order.

Safeguards:

The card index for this system of records is contained in a metal cabinet with a secure key locking device; the key is secured in a Class 5 security container. All containers and cabinets are further secured in a windowless room having one doorway which is secured by a key locking device. Both the key locking devices and combinations to the Class 5 security containers are under stringent security controls.

Retention and disposal:

(a) OPM background investigative files supporting secret-sensitive decompartmented information and top secret-infrequent access to sensitive compartmented information are retained until the awarded security clearance or employment is terminated. All other OPM investigative files are routinely destroyed within 90 days after receipt or upon completion of the adjudication action, whichever occurs last. Disposition of files is made in accordance with the Bureau Records Disposition Schedule, RCS/Item 306-15b.

(b) All information, supplementing the above OPM investigative files, originated by the Geological Survey, is retained for two years following termination of awarded security clearance or employment, whichever occurs first, and is then destroyed. Disposition of files is made in accordance with the Bureau Records Disposition Schedule, RCS/Item 306-15a.

System manager(s) and address:

Security Officer/Alternate Security Officer, Office of Facilities and Management Services, Administrative Division, U.S. Geological Survey, National Center, Mail Stop 150, Reston, Virginia 22092.

Notification procedure:

Written inquiries to the System Manager are required and must include the following information in order to positively identify the individual whose records are requested: (1) Full name, (2) date of birth, (3) place of birth, (4) any available information regarding the type of record requested. See 43 CFR 2.60.

Record access procedures:

An individual can obtain information on the procedures for gaining access to and contesting the records from the above System Manager. See 43 CFR 2.63.

Contesting record procedures:

Same as above. See 43 CFR 2.71.

Record source categories:

Information contained in this system is obtained from the following categories of sources: (1) Applications and other personnel and security forms furnished by the individual, (2) Results of investigations and other material furnished by Federal agencies.

INTERIOR/USGS-24

System name:

Employee Work Report Edit and Individual Employee Production Rates—Interior, USGS-24.

System location:

1. Eastern Mapping Center, National Mapping Division, U.S. Geological Survey, National Center, Mail Stop 567, Reston, Virginia 22092.

2. Mid-Continent Mapping Center, National Mapping Division, U.S. Geological Survey, 1400 Independence Road, Rolla, Missouri 65401.

3. Rocky Mountain Mapping Center, National Mapping Division, U.S. Geological Survey, Box 25046, Mail Stop 510, Denver, Colorado 80225.

4. Western Mapping Center, National Mapping Division, U.S. Geological Survey, 345 Middlefield Road, Menlo Park, California 94025.

Categories of individuals covered by the system:

Production employees in Mapping Centers.

Categories of records in the system:

Contains name, social security number, cost and production rates, hours, and square miles mapped by individual production employee in each of the offices listed above, as well as Geological Survey professionals (geographers, cartographers, etc.) who conducted research and investigations for which results are published in Geological Survey reports.

Authority for maintenance of the system:

5 U.S.C. 301, 3010; 43 U.S.C. 31, 1467.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary use of the records is for analysis of cost and production rate for individual employees and for units of National Mapping

Division. Disclosure outside the Department of the Interior may be made: (1) To the U.S. Department of Justice or in a proceeding before a court or adjudicative body when (a) the United States, the Department of the Interior, a component of the Department or, when represented by the Government, an employee of the Department is party to litigation or anticipated litigation or has an interest in such litigation, and (b) the Department of the Interior determines that the disclosure is relevant or necessary to the litigation and is compatible with the purpose for which the records were compiled; (2) of information indicating a violating or potential violation of a statute, regulation, rule, order or license, to appropriate Federal, State, local or foreign agencies, responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license; (3) to a congressional office from the record of an individual in response to an inquiry the individual has made to the congressional office; (4) to a Federal agency which has requested information relevant or necessary to its hiring or retention of an employee, or issuance of a security clearance, license, contract, grant, or other benefits; (5) to Federal, State or local agencies where necessary to obtain information relevant to the hiring or retention of an employee, or issuance of a security clearance, license, contract, grant, or other benefit.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained on punched cards, magtape, and disc.

Retrievability:

By name.

Safeguards:

Access restricted to authorized persons only from locked storage.

Retention and disposal:

Retained and disposed of according to Bureau Records Disposition Schedule, RCS/Item 102-01.

System manager(s) and address:

1. Chief, Branch of Program Management, Eastern Mapping Center, National Mapping Division, U.S. Geological Survey, National Center, Mail Stop 567, Reston, Virginia 22092.
2. Chief, Branch of Program Management, Mid-Continent Mapping Center, National Mapping Division, U.S. Geological Survey, 1400 Independence Road, Rolla, Missouri 65401.
3. Chief, Branch of Program Management, Rocky Mountain Mapping Center, National Mapping Division, U.S. Geological Survey, Box 25046, Mail Stop 510, Denver, Colorado 80225.
4. Chief, Branch of Program Management, Western Mapping Center, National Mapping Division, U.S. Geological Survey, 345 Middlefield Road, Menlo Park, California 94025.

Notification procedure:

A request for notification shall be addressed to the appropriate System Manager. See 43 CFR 2.60 for submission requirements.

Record access procedures:

A request for access shall be addressed to the appropriate System Manager. See 43 CFR 21.63 for submission requirements.

Contesting record procedures:

A petition for amendment shall be addressed to the appropriate System Manager. See 43 CFR 2.71 for submission requirements.

Record source categories:

Data from work report prepared by individuals.

INTERIOR/EGS-25

System name:

Water Data Sources Directory—Interior, GS-25.

System location:

(1) National Water Data Exchange (NAWDEX), Water Resources Division, U.S. Geological Survey, Reston, VA 22092. (2) NAWDEX Assistance Centers (for addresses contact the System Manager).

Categories of individuals covered by the system:

Individuals who are sources of water or water-related data and services and to whom requesters can be referred to obtain water data held or services provided by them.

Categories of records in the system:

Contains, name, address and telephone number of individuals who are sources of water or water-related data or information and other water-related services.

Authority for maintenance of the system:

The Water Data Sources Directory is maintained under the authority of 43 U.S.C. 31 (28 Stat. 398), OMB Cir. A-67, and 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Referenced by (1) Geological Survey and Geological Survey contractor personnel in processing requests for water or water-related data, (2) Personnel of Local Assistance Centers listed in Appendix A of the National Water Data Exchange (NAWDEX) including Geological Survey personnel and personnel of state-governmental, local-governmental, other public, and private organizations serving as NAWDEX Local Assistance Centers in processing requests for water or water-related data, and (3) Users of NAWDEX including Federal, state-governmental, local-governmental, other public, and private organizations and private citizens in identifying sources of water and water-related data or services and transmitting requests for the acquisition of desired data or services. (4) Transfer to the U.S. Department of Justice in the event of litigation or potential litigation involving the records or the subject matter of the records. (5) Transfer, in the event there is indicated a violation or potential violation of a statute, regulation, rule, order or license, whether civil, criminal or regulatory in nature, to the appropriate agency or agencies, whether Federal, state, local or foreign, charged with the responsibility of investigation or prosecuting such violation or charged with enforcing or implementing the statute, rule, regulation, order or license violated or potentially violated.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in computerized form on punch cards, magnetic disks or magnetic tape, printed lists, and a published directory available for public dissemination.

Retrievability:

Retrievable by name, a unique identifier, geographical identifiers, and types of data or services available from the individual.

Safeguards:

Computer files are password protected to prevent unauthorized use, and all entry of information is made by Geological Survey personnel of the NAWDEX Program Office only.

Retention and disposal:

Records retained indefinitely unless cancelled by a reported individual.

System manager(s) and address:

Program Manager, National Water Data Exchange, U.S. Geological Survey, 421 National Center, Reston, Virginia 22092.

Notification procedure:

Any individual may inquire about information stored on themselves by submitting a written request to the System Manager. See 43 CFR 2.60.

Record access procedures:

Requests for access should be in writing addressed to the System Manager. See 43 CFR 2.63.

Contesting record procedures:

A petition for amendment must be addressed to the System Manager and must meet the content requirements of 43 CFR 2.71.

Record source categories:

Information stored may be obtained from the individual on whom the record is maintained, organizations, or other individuals, with whom the individual identified in the record is associated, NAWDEX personnel, and NAWDEX-contracted information researchers.

INTERIOR/EGS-26

System name:

National Water Data Exchange User Accounting System—Interior, GS-26.

System location:

(1) National Water Data Exchange (NAWDEX), Water Resources Division, U.S. Geological Survey, Reston, VA 22092. (2) NAWDEX Assistance Centers (for addresses contact the System Manager).

Categories of individuals covered by the system:

Individuals who have requested water data from or to whom information has been sent by the National Water Data Exchange and its Local Assistance Centers.

Categories of records in the system:

Contains name, address, and telephone number, types of data requested, type of response made, types and volumes of data provided and appropriate cost accounting procedures.

Authority for maintenance of the system:

The User Accounting System is maintained under authority of 43 U.S.C. 31 (Stat. 398), OMB Cir. A-67, and 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

(1) By Geological Survey and Geological Survey contractor personnel in processing user requests for data, (2) By personnel of Local Assistance Centers of the National Water Data Exchange (NAWDEX) including Geological Survey personnel and personnel of state-government, local-governmental, other public, and private organizations serving as NAWDEX Local Assistance Centers in processing user requests for data, (3) By the personnel in (1) and (2) above for verification of responses referred to other organizations for data acquisition, program planning and accounting, cost effectiveness computations, and follow-up on quality of service provided. (4) Transfer to the U.S. Department of Justice in the event of litigation or potential litigation involving the records or the subject matter of the records. (5) Transfer, in the event there is indicated a violation or potential violation of a statute, regulation, rule, order or license, whether civil, criminal or regulatory in nature, to the appropriate agency or agencies, whether Federal, State, local or foreign, charged with the responsibility of investigation or prosecuting such violation or charged with enforcing or implementing the statute, rule, regulation, order or license violated or potentially violated.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in manual form in file folders and on magnetic computer storage devices;

Retrievability:

Indexed by geographic location of requester and cross-indexed by name of requester, in chronological order, and by request record number;

Safeguards:

Maintained in areas occupied by NAWDEX personnel during working hours with building locked and/or guarded during off-duty hours. Computer files are password protected to restrict unauthorized use;

Retention and disposal:

Original hard copy destroyed after a period not to exceed five years. Computerized file copy destroyed after a period not to exceed five years. All records may be retained longer, with permission of subject individual requester transactions.

System manager(s) and address:

Program Manager, National Water Data Exchange (NAWDEX), U.S. Geological Survey, 421 National Center, Reston, Virginia 22092.

Notification procedure:

A written and signed request to the System Manager stating that the requester seeks information concerning records pertaining to himself or herself is required. See 43 CFR 2.60.

Record access procedures:

Same as above. See 43 CFR 2.63.

Contesting record procedures:

A petition for amendment must be addressed to the System Manager and must meet the content requirements of 43 CFR 2.71.

Record source categories:

Individual on whom the record is maintained or individuals or organization requesting data be sent to the individual on whom the record is maintained.

INTERIOR/MMS-2

System name:

Personal Property Accountability Records—Interior, MMS-2.

System location:

(1) Procurement and Property Management Division, Minerals Management Services, 12203 Sunrise Valley Drive, Reston, Virginia 22091; and (2) Administrative offices in substantially all field locations. A listing of field locations is available from the System Manager.

Categories of individuals covered by the system:

Employees of MMS who are accountable for Government owned controlled property.

Categories of records in the system:

Records of assignment of an internal identification number and acknowledgment of receipts by employees. Records of transfers to other accountable employees. Inventory records containing employee social security numbers and duty stations.

Authority for maintenance of the system:

40 U.S.C. 483(b).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary uses of the records are to: (1) Maintain control over MMS-owned and controlled property; and (2) maintain up-to-date inventory and to record accountability for the property. Disclosure outside the Department of the Interior may be made: (1) To the U.S. Department of Justice or in a proceeding before a court or adjudicative body when (a) the United States, the Department of the Interior, a component of the Department, or, when represented by the government, an employee of the Department is party to litigation or anticipated litigation or has an interest in such litigation, and (b) the Department of the Interior determines that the disclosure is relevant or necessary to the litigation and is compatible with the purpose for which the records were compiled; (2) of information indicating a violation or potential violation of a statute, regulation, rule, order, or license to appropriate Federal, State, local, or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order, or license; (3) to a congressional office from the record of an individual in response to an inquiry the individual has made to the congressional office; made at the request of that individual; (4) to a Federal Agency which has requested information relevant or necessary to its hiring or retention of an employee, or issuance of a security clearance, license, contract, grant, or other benefit; and (5) of Federal State, or local agencies where necessary to obtain information relevant to the hiring or retention of an employee or the issuance of a security clearance, license, contract, grant, or other benefit.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are both manual and computerized.

Retrievability:

By employee social security number.

Safeguards:

Access by authorized employees only.

Retention and disposal:

Retention and disposal is in accordance with General Records Schedule No. 23, Item No. 1.

System manager(s) and address:

Chief, Property Management Branch, Procurement and Property Management Division, Minerals Management Service, Mail Stop 635, 12203 Sunrise Valley Drive, Reston, Virginia 22091.

Notification procedure:

Contact the System Manager or the pertinent field installation. See 43 CFR 2.60.

Record access procedures:

Same as above or to the pertinent field installation for access. See 43 CFR 3.63.

Contesting record procedures:

A petition for amendment should be addressed to the System Manager and must meet the content requirements of 43 CFR 2.71.

Record source categories:

Individual employees and property management personnel.

INTERIOR/MMS-3

System name:

Accident Reports and Investigations—Interior. MMS-3.

System location:

Financial and Administrative Management Division, Minerals Management Services, Mail Stop 632, 12203 Sunrise Valley Drive, Reston, Virginia 22001.

Categories of individuals covered by the system:

All personnel of the Minerals Management Services (MMS) who have had on-the-job accidents.

Categories of records in the system:

Form D1-134, Accident Reports, correspondence, historical information, and corrective action reviews relating to accidents which have occurred on-the-job.

Authority for maintenance of the system:

5 U.S.C. 7902

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary uses of the records are: (1) To maintain records of accidents in which MMS employees have been involved; (2) to report statistics and trends to the Department; (3) to monitor and report progress of the safety program in the MMS, using historical data and records of actions taken. Disclosure outside of the Department may be made: (1) To the U.S. Department of Justice or in a proceeding before a court of adjudicative body when (a) the United States, the Department of the Interior, a component of the Department, or, when represented by the government, an employee of the Department is party to litigation or anticipated litigation or has an interest in such litigation, and (b) the Department of the Interior determines that the disclosure is relevant or necessary to the litigation and is compatible with the purpose for which the records were compiled; (2) of information indicating a violation or potential violation of a statute, regulation, rule, order, or license to appropriate Federal, State, local, or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the status, rule, regulation, order, or license; (3) to a congressional office from the record of an individual in response to an inquiry the individual has made to the congressional office; (4) to a Federal Agency which has requested information relevant or necessary to its hiring or retention of an employee, or issuance of a security clearance, license, contract, grant, or other benefit; and (5) of Federal, State, or local agencies where necessary to obtain information relevant to the hiring or retention of an employee or the issuance of a security clearance, license, contract, grant, or other benefit.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in manual form in file folders.

Retrievability:

By name of individual.

Safeguards:

Kept in locked cabinet. Access limited to authorized personnel.

Retention and disposal:

Retention and disposal is in accordance with General Records Schedule No., 18, Item No. 12.

System manager(s) and address:

Safety and Occupational Health Manager, Financial and Administrative Management Division, Minerals Management Service, Mail Stop 632, 12203 Sunrise Valley Drive, Reston, Virginia 22091.

Notification procedure:

A written and signed request stating that the requester seeks information concerning records pertaining to him or her must be addressed to the System Manager. See 43 CFR 2.60.

Record access procedures:

A request for access must be in writing, signed by the requester, submitted to the Systems Manager, and meet the requirements of 43 CFR 2.63.

Contesting record procedures:

A petition for amendment shall be addressed to the System Manager and meet the requirements of 43 CFR 2.71.

Record source categories:

Accident victims, witnesses, supervisors, and investigators.

INTERIOR/MMS-4

System name:

Minerals Management Service (MMS) Personnel Security System-Interior, MMS-4.

System location:

Department of Interior, Minerals Management Service (MMS), Office of Administrative, Security Office, Mail Stop 630, 381 Elden Street, Herndon, Virginia 22070.

Categories of individuals covered by the system:

Current and former Minerals Management Service (MMS) employees and contract employees working for the MMS who: (1) Have been subject to personnel security investigations to determine suitability for placement in sensitive positions, require access to national security information, and/or require ADP access authorization; and/or (2) require access to MMS buildings or individual offices.

Categories of records in the system:

Name, sensitivity type, date of birth, place of birth, social security number, organization code, position title, grade, duty station, Office of Personnel file folder location (OPF), clearance, clearance date, access, clearance termination date, ADP type, grant date, ADP termination date, briefing information, suitability date, investigation basis, Agency conducting investigation, investigation completion date, investigation update and upgrade information, MMS termination date, pending code, remarks. For building passes and keys the height, weight, hair and eye color and employment status information is required. The automated portion of this system is only a compilation of records manually maintained.

Authority for maintenance of the system:

Executive Order 10501; 40 U.S.C. 486(c); 41 CFR 101-20.103.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary use of the records is to: (1) Ensure that investigative requirements of Federal Personnel Manual 731 are satisfied and to provide a current record of MMS employees with clearance and ADP access authorizations; and (2) provide access cards and keys to MMS buildings and offices. Disclosure outside of the Department may be made: (1) To the U.S. Department of Justice or in a proceeding before a court or adjudicative body when (a) the United States, the Department of the Interior, a component of the Department, or, when represented by the Government, an employee of the Department is a party to litigation or anticipated litigation or has an interest in such litigation; and (b) the Department of the Interior determines that the disclosure is relevant or necessary to the litigation and is compatible with the purpose for which the records were compiled; (2) of information indicating a violation or potential violation of a statute, regulation, rule, order, or license to appropriate Federal, State, local, or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license; (3) to a Congressional office from the record of an individual in response to an inquiry the individual has made to the Congressional office; (4) to a Federal Agency which has requested information relevant or necessary to its hiring or retention of an employee or issuance of a security clearance, license, contract, grant or other benefit; (5) to Federal, State, or local agencies where necessary to obtain information relevant to the hiring or retention of an employee or the issuance of a security clearance, license, contract, grant or other benefit; and (6) to the Office of Personnel Management for matters concerned with oversight activities necessary for the Office to carry out its legally authorized Governmentwide personnel management programs and functions.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Manual systems are maintained in locked GSA approved security containers. Automated data base system maintained on hard disk with password entry required. Backup disks maintained and stored in locked GSA approved security containers.

Retrievability:

Indexed by individual name or social security number.

Safeguards:

Maintained within the Security Office meeting the requirements of 43 CFR 2.51.

Retention and disposal:

These records are maintained in accordance with the General Records Schedule Number 18, Item Number 23.

System manager(s) and address:

Security Officer, Office of Administration, Minerals Management Service, Mail Stop 630, 381 Elden Street, Herndon, Virginia 22070.

Notification procedure:

Inquiries regarding the existence of records should be addressed to the Security Officer. A signed request is required if an individual would like information concerning his/her records. See 43 CFR 2.60.

Record access procedures:

A request for access may be addressed to the Security Officer. The request must be in writing and be signed by the requester. The request must meet the content requirements of 43 CFR 2.63.

Contesting record procedures:

A petition for amendment should be addressed to the Security Officer and must meet the requirements of 43 CFR 2.71.

Record source categories:

Individual on whom record is maintained.

INTERIOR/MMS-5

System name:

Telephone/Employee Locator System (TELS)—Interior, MMS-5.

System location:

Procurement and General Services Division, Minerals Management Service, Mail Stop 635, 12203 Sunrise Valley Drive, Reston, Virginia 22091, and Administrative Service Centers.

Categories of individuals covered by the system:

Minerals Management Service (MMS) employees Service-wide, and contractor personnel.

Categories of records in the system:

Names of individual employees and contractor employees, social security numbers, grades, office telephone, building codes, room numbers, mail stop codes, tenures, work schedules, organization codes, and home zip codes.

Authority for maintenance of the system:

5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary uses of these records are: (1) To prepare MMS telephone directories; (2) ride sharing; (3) to prepare space occupancy reports; (4) to show change in employees position status and location; (5) to monitor telephone inventories. Disclosure outside of the Department may be made: (1) To the U.S. Department of Justice or in a proceeding before a court or adjudicative body when (a) the United States, the Department of the Interior, a component of the Department, or, when represented by the Government, an employee of the Department is a party to litigation or anticipated litigation or has an interest in such litigation, and (b) the Department of the Interior determines that the disclosure is relevant or necessary to the litigation and is compatible with the purposes for which the records were compiled; (2) of information indicating a violation or potential violation of a statute, regulation, rule, order, or license to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order, or license; (3) to a congressional office from the record of an individual in response to an inquiry the individual has made to the congressional office; (4) to a Federal Agency which has requested information relevant or necessary to its hiring or retention of an employee or issuance of a security clearance, license, contact, grant, or other benefit; and (5) to Federal, State, or local agencies where necessary to obtain information relevant to the hiring or retention of an employee, or the issuance of a security clearance, license, contract, grant, or other benefit.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in manual and computerized form.

Retrievability:

By name or social security number of telephone number.

Safeguards:

Maintained with safeguards meeting the requirements of 43 CFR 2.51 for computer and manual records.

Retention and disposal:

Retention and disposal is in accordance with Records Management Handbook, MMSM 380.2-H, 401-01.

System manager(s) and address:

Chief, Facilities Management Section, General Services Branch, Procurement and General Services Division, Minerals Management Service, Mail Stop 635, 12203 Sunrise Valley Dr., Reston, Virginia 22091.

Notification procedure:

A written and signed request stating that the expense seeks information concerning records pertaining to him or her must be addressed to the System Manager. See CFR 2.60.

Record access procedures:

A request for access should be addressed to the System Manager. See 43 CFR 2.63.

Contesting record procedures:

Contact the System Manager. See 43 CFR 2.71.

Record source categories:

Individuals on whom records are kept.

INTERIOR/MMS-8

System name:

Advanced Budget/Accounting Control and Information System (ABACIS)—Interior, MMS-8.

System location:

Department of the Interior, Minerals Management Service, Office of Administration, Financial and Administrative Management Division, Mail Stop 632, 381 Elden St., Herdon, Virginia 22070.

Categories of individuals covered by the system:

All debtors including employees, former employees, persons paying for goods or services, returning overpayments, or otherwise delivering cash, business firms, private citizens and institutions. Some of the records in the system pertain to individuals and may reflect personal information. Only the records reflecting personal information are subject to the Privacy Act.

Categories of records in the system:

Individual's name, Social Security Number, address, amount owed by or to, goods or services purchased, overpayment, check number, date and treasury deposit number, awards, advances, destination, itineraries, modes and purposes of travel, expenses, amount claimed and reimbursed, travel orders, vouchers, and information pertaining to an amount owed on an outstanding or delinquent travel advance.

Authority for maintenance of the system:

(1) 5 U.S.C. 5514 (2) 31 U.S.C. 3511(3) 5 U.S.C. 5701–09 (4) 31 U.S.C. 3701, 3711, 3717, 3718, (5) U.S.C. 3512.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary uses of the records are (a) to account for monies paid and collected by the Minerals Management Service, Financial and Administrative Management Division, and for billing and followup (b) to account for travel advances; (c) to compute vouchers to determine amounts claimed and reimbursed; (d) to account for travel orders, maintain records of modes and purposes of travel and itineraries. Disclosure outside the Department of the Interior may be made (1) to the U.S. Department of Justice or in a proceeding before a court of adjudicative body when (a) the United States, the Department of the Interior, a component of the Department, or, when represented by the Government an employee of the Department is a party to litigation or anticipated litigation or has an interest in such litigation, and (b) the Department of the Interior determines that the disclosure is relevant or necessary to the litigation and is compatible with the purpose for which the records were compiled; (2) to disclose pertinent information to an appropriate Federal, State, local, or foreign agency responsible for investigating, prosecuting, enforcing, or implementing a statute, rule, regulation, or order, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation; (3) to a Member of Congress from the record of an individual in response to an inquiry made at the request of that individual; (4) to the Department of the Treasury to effect payment of Federal, State, and local government agencies, nongovernmental organizations, and individuals; (5) to the Federal Agency for the purpose of collecting a debt owed the Federal Government through administrative or salary offset; (6) to other Federal Agencies conducting computer matching programs to help eliminate fraud and abuse and to detect unauthorized overpayments made to individuals; (7) to a Federal Agency which has requested information relevant or necessary to its hiring or retention of an employee, or issuance of a security clearance, license, contract, grant or other benefit; and (8) to Federal, State, or local agencies where necessary to obtain information relevant to the hiring or retenton of an employee, or the issuance of a security clearance, license, contract, grant or other benefit; (9) to disclose debtor information to the IRS, or another Federal agency or its contractor solely to aggregate information for the IRS, to collect debts owed to the Federal government through the offset of tax results.

Disclosure to consumer reporting agencies:

Disclosures may be made from this system to consumer reporting agencies as defined in the Fair Credit Reporting Act (15 U.S.C. 1681a(f)) or the Federal Claims Collection Act of 1966 (31 U.S.C. 3701(a)(3)).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained on computer media with input forms and printed output in manual form and on microfilm.

Retrievability:

Indexed by name, social security number, travel order number, data, appropriations, or fund to be audited.

Safeguards:

Maintained with safeguards meeting the requirements of 43 CFR 2.51 for computer and manual records.

Retention and disposal:

Retention and disposal is in accordance with General Records Schedule No. 7, Item Nos. 1-4 and in accordance with GSA Federal Travel Regulations.

System manager(s) and address:

Chief, Financial and Administrative Management Division, Minerals Management Service, Mail Stop 632, 381 Elden St., Herndon, Virginia 22070.

Notification procedure:

Inquiries regarding the existence of a record should be addressed to the System Manager. A written signed request stating that the individual seeks information concerning his/her records is required (43 CFR 2.60).

Record access procedures:

A request for access may be addressed to the System Manager. The request must be in writing, signed by the requester, and meet the content requirements of 43 CFR 2.63.

Contesting record procedures:

A petition for amendment should be addressed to the System Manager and must meet the content requirements of 43 CFR 2.71.

Record source categories:

Debtor, accounting records, individual remitters, supervisors and standard office references.

INTERIOR/MMS-9

System name:

Employee Counseling Services Program—Interior, MMS-9.

System location:

This system of records is located with the contractor providing counseling services.

Categories of individuals covered by the system:

All Minerals Management Service employees, former employees, and their family members who seek, are referred, and/or receive assistance through the Employee Counseling Services Programs. The records contained in this system which pertain to individuals contain principally personal and/or medical information. These records are subject to the Privacy Act.

Categories of records in the system:

Records in this system include documentation of visits to employee counselor (Employee Counseling Services Program Counselor) and the problem assessment, recommended plan of action to correct the major issue, referral to community or private resource for assistance with personal problems, referral to community or private resource for rehabilitation or treatment, results of referral, and other notes or records of discussions held with the employee made by the Employee Counseling Services Program Counselor. Additionally, records in this system may include documentation of treatment by a therapist or at a Federal, State, local government, or private institution.

Authority for maintenance of the system:

(1) 42 U.S.C. 290dd-1; (2) 42 U.S.C. 290ee-1.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary use of these records is to counsel and refer employees and/or their family members with personal or medical problems. These records and information may be used to disclose information to qualified personnel for the purpose of conducting scientific research, management audits, financial audits, or program evaluation, but such personnel may not identify, directly or indirectly, any individual patient in any report or otherwise disclose patient identities in any manner (when such records are provided to qualified researchers employed by the Department of the Interior, all patient identifying information will be removed).

Note.—Disclosure of information pertaining to an individual with a history of alcohol or drug abuse must be limited in compliance with the restrictions of the confidentiality of Alcohol and Drug Abuse Patient Records Regulations, 42 CFR Part 2. Disclosure of records pertaining to the physical and mental fitness of employees are, as a matter of Department policy, afforded the same degree of confidentiality.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in folders in file cabinets.

Retrievability:

Indexed by name of individual on whom they are maintained.

Safeguards:

Maintained with safeguards meeting the requirements of 43 CFR 2.51 for manual records.

Retention and disposal:

These records are retained and disposed of in accordance with General Records Schedule No. 1, Item No. 27.

System manager(s) and address:

Chief, Personnel Division, Minerals Management Service, 12203 Sunrise Valley Drive, Mail Stop 634, Reston, Virginia 22091.

Notification procedure:

Inquiries regarding the existence of a record should be addressed to the System Manager. A written signed request stating that the individual seeks information concerning his/her records is required (43 CFR 2.60).

Record access procedures:

A request for access may be addressed to the System Manager. The request must be in writing, signed by the requester, and meet the content requirements of 43 CFR 2.63.

Contesting record procedures:

A petition for amendment should be addressed to the System Manager and must meet the content requirements of 43 CFR 2.71.

Record source categories:

Information in this system of records comes from the individual to whom it applies, the supervisor of the individual if the individual was referred by a supervisor, the Employee Counseling Services Program staff who records the counseling session, and the therapists or institutions used as referrals or providing treatment.

INTERIOR/MMS-11

System name:

Travel Files—Interior, MMS-11.

System location:

Minerals Management Service, 12203 Sunrise Valley Drive, Reston, Virginia 22091.

Categories of individuals covered by the system:

Employees of the Minerals Management Service.

Categories of records in the system:

Names, addresses, social security numbers; destination; itineraries; modes and purposes of travel; dates; expenses including advances; amounts claimed and reimbursed; travel orders; vouchers; receipts and passport record cards, and information pertaining to an amount owed on an outstanding or delinquent travel advance.

Authority for maintenance of the system:

5 U.S.C. 5701, 31 U.S.C. 3512.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary uses of the records are (a) to account for travel advances; (b) to compute vouchers to determine amounts claimed and reimbursed; (c) to account for travel orders, maintain records of modes and purposes of travel and itineraries; and (d) to maintain records of passports. Disclosure outside the Department of the Interior may be made: (1) To the U.S. Treasury Department for payments; (2) the U.S. Department of State for passports; (3) to the U.S. Department of Justice when related to litigation or anticipated litigation; (4) of information indicating a violation or potential violation of a statute, regulation, rule, order or license, to appropriate Federal, State, local or foreign agencies for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license; (5) from the record of an individual in response to an inquiry from a Congressional office made at the request of that individual; (6) to a Federal agency which has requested information relevant or necessary to its hiring or retention of an employee, or issuance of a security clearance, license, contract, grant or other benefit; (7) to Federal, State or local agencies where necessary to obtain information relevant to the hiring or retention of an employee, or the issuance of a security clearance, license, contract, grant or other benefit.

Disclosure to consumer reporting agencies:

Disclosures pursuant to 5 U.S.C. 552a(b)(12): Disclosures may be made to consumer reporting agencies as defined in the Fair Credit Reporting Act (15 U.S.C. 1681a(f)) or the Federal Claims Collection Act of 1966 (31 U.S.C. 3701(a)(3)).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Manual and machine readable.

Retrievability:

Indexed by name, social security number or travel order number.

Safeguards:

Maintained with safeguards meeting the requirements of 43 CFR 2.51 for computerized and manual records.

Retention and disposal:

Retained in accordance with GSA Federal Travel Regulations, and disposed of in accordance with the Minerals Management Service Records Management Handbook and GSA General Records Schedules.

System manager(s) and address:

Chief, Financial Management Division, Minerals Management Service, 12203 Sunrise Valley Drive, Mail Stop 632, Reston, Virginia 22091.

Notification procedure:

A written and signed request addressed to the System Manager is required from anyone seeking information concerning themselves. See 43 CFR 2.60.

Record access procedures:

Requests for access should be addressed to the System Manager and meet the requirements of 43 CFR 2.63.

Contesting record procedures:

A petition for amendment should be addressed to the System Manager and meet the content requirement of 43 CFR 2.71.

Record source categories:

Subject individuals, supervisors and standard finance office references.

INTERIOR/MMS-12

System name:

Lessee/Operator Training Files—Interior, MMS-12.

System location:

Inspection and Training Branch, Offshore Inspection and Enforcement Division, Offshore Minerals Management, Minerals Management Service (MMS), 381 Elden Street, Herndon, Virginia 22070

Categories of individuals covered by the system:

Personnel who have participated in well control, safety device, workover and well completion training programs.

Categories of records in the system:

Records of student certification consist of the name, social security number, job certification, blowout preventor stack qualification, test score, course type, completion date, school name, school location, and instructor.

Authority for maintenance of the system:

43 U.S.C. 1332(6).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary uses of the records are for training and certification pertaining to the structure, management and operation of the drilling well control, safety device, and workover and well completion/well control training programs. Disclosure outside the Department of the Interior may be made: (1) To the U.S. Department of Justice or in a proceeding before a court or adjudicative body when (a) the United States, the Department of the Interior, a component of the Department, or, when represented by the Government, an employee of the Department is a party to litigation or anticipated litigation or has an interest in such litigation, and (b) the Department of the Interior determines that the disclosure is relevant or necessary to the litigation and is compatible with the purpose for which the records were compiled; (2) of information indicating a violation or potential violation of a statute, regulation, rule, order, or license to appropriate Federal, State, local, or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license; (3) to a Congressional office from the record of an individual in response to an inquiry the individual has made to the Congressional office.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in computerized form.

Retrievability:

Indexed by social security number or MMS identifier.

Safeguards:

Maintained with safeguards meeting the requirements of 43 CFR 2.51 for computerized records.

Retention and disposal:

Determination of the disposition is pending approval of the archivist.

System manager(s) and address:

Chief, Inspection and Training Branch, Offshore Inspection and Enforcement Division, Offshore Minerals Management, Minerals Management Service, Mail Stop 647, 381 Elden Street, Herndon, VA 22070

Notification procedure:

A written request addressed to the System Manager stating that the requester seeks information concerning records pertaining to him/her is required. See 43 CFR 2.60.

Record access procedures:

A request for access may be addressed to the System Manager. The request must be in writing, and be signed by the requester. The request must meet the content requirements of 43 CFR 2.63.

Contesting record procedures:

A petition for amendment should be addressed to the System Manager and must meet the content requirements of 43 CFR 2.71.

Record source categories:

Training organizations.

INTERIOR/OSMRE-2

System name:

Travel Advance File—Interior, OSMRE-2.

System location:

U.S. Department of the Interior, Office of Surface Mining Reclamation and Enforcement (OSMRE), Division of Financial Management, Building 20, Denver Federal Center, Denver, Colorado 80225.

Categories of individuals covered by the system:

All Office of Surface Mining Reclamation and Enforcement employees who have outstanding or repaid travel advances.

Categories of records in the system:

File consists of signed forms whereby employees request fund advances for the purpose of paying travel expenses incurred in the performance of official government business. An automated computer system lists all outstanding advances and records repayments whether by offset against travel vouchers or remittances by checks, money orders, etc.

Authority for maintenance of the system:

5 U.S.C. Secs. 4111(b), 5701-5709, 5721-5733, 5742(b).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary uses of the records are: (a) To provide an accounting record of obligations due to the U.S. Government from employees' authorized cash advances to defray expenses incurred in official travel. Payments to the traveler and repayments to the Government are reflected in this record; (b) to serve as a backup authority to the entries for travel expenses in the automated Finance system; (c) computer data are reported to each OSMRE office as part of the detailed composition of monthly expense reports applicable to charges made to cost accounts within the Finance system. Only data pertinent to individual OSMRE offices are available to that office. Disclosures outside the Department of the Interior may be made: (1) To the U.S. Department of Justice or in a proceeding before a court or adjudicative body when (a) the United States, the Department of the Interior, a component of the Department, or, when represented by the government, an employee of the Department is a party to litigation or anticipated litigation or has an interest in such litigation, and (b) the Department of the Interior determines that the disclosure is relevant or necessary to the litigation and is compatible with the purpose for which the records were compiled; (2) of information indicating a violation or potential violation of statute, regulation, rule, order or license, to appropriate Federal, State, local or foreign agencies responsible for investing or prosecuting the violation, or for enforcing or implementing the statute, rule, regulation, order or license; (3) to a congressional office from the record of an individual in response to an inquiry the individual has made to the congressional office; (4) to a Federal agency which has requested information relevant to its hiring or retention of an employee, or issuance of a security clearance, license, contract, grant, or other benefit; (5) to Federal, State, or local agencies where necessary to obtain information relevant to the hiring or retention of an employee, or the issuance of a security clearance, contract license, grant, or other benefit; (6) to a Federal agency for the purpose of collecting a debt owed the Federal government through administrative or salary offset and to other Federal agencies conducting computer matching programs to help eliminate fraud and abuse and to detect unauthorized overpayments made to individuals.

Disclosure to consumer reporting agencies:

Disclosures pursuant to 5 U.S.C. 552a(b)(12). Pursuant to 5 U.S.C. 552a(b)(12), disclosures may be made to a consumer reporting agency as defined in the Fair Credit Reporting Act (15 U.S.C. 1681a(f)) or the Federal Claims Collection Act of 1966 (31 U.S.C. 3701(a)(3).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Currently, active travel advance requests are maintained in file boxes by name of traveler; inactive records are maintained in travel folders by name of traveler; computer printouts are maintained in binders.

Retrievability:

Files are stored alphabetically by name of travelers.

Safeguards:

Files are maintained in a locked room during periods of non-work and are accessible during working hours only to personnel from the Division of Financial Management, Office of Surface Mining.

Retention and disposal:

Records retained for 3 years, then destroyed. Disposition is in accordance with General Records Schedule, FPMR 101-11.4.

System manager(s) and address:

Chief, Division of Financial Management, Office of Surface Mining, Building 20, Denver Federal Center, Denver, Colorado 80225. Mailing address: Office of Surface Mining, P.O. Box 25065, Denver Federal Center, Denver, Colorado 80225.

Notification procedure:

Inquiries regarding the existence of records should be addressed to the System Manager. A written, signed request stating that the requester seeks information concerning records pertaining to him is required (see 43 CFR 2.60).

Record access procedures:

A request for access may be addressed to the System Manager. The request must be in writing and be signed by the requester. The request must meet the content requirements of 43 CFR 2.63.

Contesting record procedures:

A petition for amendment should be addressed to the System Manager and must meet the content requirements of 43 CFR 2.71.

Record source categories:

Information for this system originates with the traveler who specifies the need of a travel advance. The request is concurred in by signature of a responsible supervisory official. All entries on the file are as a result of actions taken by the individual to liquidate his/her travel advance.

INTERIOR/OSMRE-3

System name:

Travel Vouchers and Authorizations—Interior, OSMRE-3.

System location:

U.S. Department of the Interior, Office of Surface Mining, Reclamation and Enforcement (OSMRE), Division of Financial Management, Building 20, Denver, Federal Center, Denver, Colorado 80225.

Categories of individuals covered by the system:

All persons traveling for or in behalf of OSMRE on official business.

Categories of records in the system:

Voucher file consists of paid travel vouchers which reimburse travelers for expenses incurred in connection with official travel. Travel authorization file consists of record copies of authorizations for travel for which no travel vouchers have been submitted for payment.

Authority for maintenance of the system:

5 U.S.C. Sec. 5701 et seq.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

(a) As backup entry data for obligations and disbursements in the automated Finance system of OSMRE; (b) computer data are reported to each OSMRE office as part of the detailed composition of monthly expense reports applicable to charges made to cost accounts within the Finance system. Only data pertinent to individual OSMRE offices are available to that office; (c) vouchers are used to determine allowability of expenses within the law, authorizing payment of travel expenses. The documents are used to determine which expenses incurred by the traveler can be paid and are sometimes used to report to other Federal agencies summarizations of those types of allowable expenses. Usually, the individual's name is not used in outside reporting but the data is. Disclosures outside the Department of the Interior may be made: (1) To the U.S. Department of Justice or in a proceeding before a court or adjudicative body when (a) the United States, the Department of the Interior, a component of the Department, or, when represented by the government, an employee of the Department is a party to litigation or anticipated litigation or has an interest in such litigation, and (b) the Department of the Interior determines that the disclosure is relevant or necessary to the litigation and is compatible with the purpose for which the records were compiled; (2) of information indicating a violation or potential violation of a statute. Regulation, rule, order or license, to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license; (3) to a congressional office from the record of an individual in response to an inquiry the individual has made to the congressional office; (4) to a Federal agency which has requested information relevant or necessary to its hiring or retention of an employee, or issuance of a security clearance, license, contract, grant, or other benefit; (5) to Federal, State or local agencies where necessary to obtain information relevant to the hiring or retention of an employee, or the issuance of a security clearance, contract, license, grant, or other benefit; (6) to a Federal agency for the purpose of collecting a debt owed the Federal government through administrative or salary offset and to other Federal agencies conducting computer matching programs to help eliminate fraud and abuse and to detect unauthorized overpayments made to individuals.

Disclosure to consumer reporting agencies:

Disclosures pursuant to 5 U.S.C. 552a(b)(12). Pursuant to 5 U.S.C. 552a(b)(12), disclosures may be made to a consumer reporting agency as defined in the Fair Credit Reporting Act (15 U.S.C. 1681a(f)) or the Federal Claims Collection Act of 1966 (31 U.S.C. 3701(a)(3)).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are maintained in steel filing cabinet in the Division of Financial Management, Office of Surface Mining.

Retrievability:

Vouchers are filed by travel authorization number. Authorizations are filed alphabetically by traveler awaiting payment of the travel voucher. Authorization becomes part of the voucher packet at the time of payment.

Safeguards:

Files are maintained with safeguards meeting the requirements of 43 CFR 2.51, and are available only to personnel of the Division of Financial Management, Office of Surface Mining.

Retention and disposal:

Records retained for 3 years, then destroyed. Disposition is in accordance with General Records Schedule, FPMR 101-11.4.

System manager(s) and address:

Chief, Division of Financial Management, Office of Surface Mining, Building 20, Denver Federal Center, Denver, Colorado 80225, Mailing address: Office of Surface Mining, P.O. Box 25065, Denver Federal Center, Denver, Colorado 80225.

Notification procedure:

Inquiries regarding the existence of records should be addressed to the System Manager. A written, signed request stating that the requester seeks information concerning records pertaining to him is required (see CFR 2.60).

Record access procedures:

A request for access may be addressed to the System Manager. The request must be in writing and be signed by the requester. The request must meet the content requirements of 43 CFR 2.63.

Contesting record procedures:

A petition for amendment should be addressed to the System Manager and must meet the content requirement of 43 CFR 2.71.

Record source categories:

Information for these files is based on an authorization signed by the traveler in the form of a request. Travel vouchers are submitted by the traveler after incurring expenses for official travel and are a request for payment based on his record of official expenses.

INTERIOR/OSMRE-4

System name:

Property Control—Interior, OSMRE-4.

System location:

U.S. Department of the Interior, Office of Surface Mining, Reclamation and Enforcement (OSMRE), 1100 L Street, NW., Washington, D.C. 20005, and its field facilities. Mailing address: Office of Surface Mining, South Interior Building, Room 10, 1951 Constitution Avenue, NW., Washington, D.C. 20240.

Categories of individuals covered by the system:

Employees who have custody or responsibility for OSMRE property.

Categories of records in the system:

Contains information indicating what property, including equipment, motor vehicle operator's license, keys, motor pool vehicles, transportation request books, and parking spaces, for which the employee has custody or responsibility. A list is maintained of inventory by name as a cross-reference to case numbers. In addition, all other records directly related to the property control function.

Authority for maintenance of the system:

Federal Property and Administrative Services Act of 1949, as amended, 40 U.S.C. Section 483(b)(1); 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary uses of the records are: (a) Identification, assignment, and control of OSMRE property; (b) assistance in locating carpools. Disclosures outside of the Department of the Interior may be made: (1) To the U.S. Department of Justice or in a proceeding before a court or adjudicative body when (a) the United States, the Department of the Interior, a component of the Department, or, when represented by the government, an employee of the Department is a party to litigation or anticipated litigation or has an interest in such litigation, and (b) the Department of the Interior determines that the disclosure is relevant or necessary to the litigation and is compatible with the purpose for which the records were compiled; (2) of information indicating a violation or potential violation of a statute, regulation, rule, order or license, to appropriate Federal, State, or local or foreign agencies responsible for investigating or prosecuting the violation, or for enforcing or implementing the statute, rule, regulation, order or license; (3) to a congressional office from the record of an individual in response to an inquiry the individual has made to the congressional office; (4) to a Federal agency for the purpose of collecting a debt owed the Federal government through administrative or salary offset and to other Federal agencies conducting computer matching programs to help eliminate fraud and abuse and to detect unauthorized overpayments made to individuals.

Disclosure to consumer reporting agencies:

Disclosures pursuant to 5 U.S.C. 552a(b)(12). Pursuant to 5 U.S.C. 552a(b)(12, disclosures may be made to a consumer reporting agency as defined in the Fair Credit Reporting Act (15 U.S.C. 1681a(f)) or the Federal Claims Collection Act of 1966 (31 U.S.C. 3701(a)(3)).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in manual form in file folders or card indexes, a limited quantity is stored on computer tape.

Retrievability:

Indexed by employee name or control number.

Safeguards:

Security is provided to meet the requirements of 43 CFR 2.51.

Retention and disposal:

Records maintained as long as property remains with the agency. Upon completion of the use period, vital records are transferred to the Official Personnel Folder or Federal Records Center, and all other records are destroyed.

System manager(s) and address:

Chief, Division of Management Services, Office of Surface Mining, 1100 L Street, NW., Washington, D.C. 20005. Mailing address: Office of Surface Mining, South Interior Building, Room 10, 1951 Constitution Ave., NW., Washington, D.C. 20240.

Notification procedure:

Contact the System Manager, or with respect to records maintained at field facilities, the administrative officer of the facility. A written and signed request stating that the requester seeks information concerning records pertaining to him is required. See 43 CFR 2.60.

Record access procedures:

A request for access may be addressed to the System Manager, or with respect to records maintained at field facilities, the administrative officer of the facility. The request must be in writing and signed by the requester. The request must meet the content requirements of 43 CFR 2.63.

Contesting record procedures:

A petition for amendment shall be addressed to the System Manager and must meet the content requirements of 43 CFR 2.71.

Record source categories:

Employees. Property control information required for accountability purposes.

INTERIOR/OSM-5

System name:

Personnel Identification—Interior, OSM-5.

System location:

(1) Office of Surface Mining, South Interior Building, Room 10, 1951 Constitution Ave., NW., Washington, D.C. 20240. (2) All field facilities of OSM.

Categories of individuals covered by the system:

All employees of OSM.

Categories of records in the system:

Records concerning identification and location of employees.

Authority for maintenance of the system:

5 U.S.C. Secs. 301, 3101; 43 U.S.C. Sec. 1457.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary uses of the records are: (a) To provide identification cards to employees; (b) locator information provided for use by management to contact employees in case of an emergency. Disclosures outside the Department of the Interior may be made: (1) To the U.S. Department of Justice when related to litigation or anticipated litigation; (2) of information indicating a violation or potential violation of a statute, regulation, rule, order or license, to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Card indexes, manually.

Retrievability:

Indexed by employee name and identification card number.

Safeguards:

Security is provided to meet the requirements of 43 CFR 2.51 for manual records.

Retention and disposal:

Records retained until employee leaves Agency rolls. After use period, appropriate records transferred to Federal Records Center; identification cards destroyed 3 months after return to issuing office.

System manager(s) and address:

Chief, Division of Personnel, Office of Surface Mining, South Interior Building, Room 122, 1951 Constitution Avenue, NW., Washington, D.C. 20240.

Notification procedure:

Contact the System Manager, or with respect to records maintained at field facilities, the administrative officer of the facility. A written and signed request stating that the requester seeks information concerning records pertaining to him is required. See 43 CFR 2.60.

Record access procedures:

A request for access may be addressed to the System Manager, or with respect to records maintained at the facilities, the administrative officer of the facility. The request must meet the content requirements of 43 CFR 2.63.

Contesting record procedures:

A petition for amendment shall be addressed to the System Manager and must meet the requirements of 43 CFR 2.71.

Record source categories:

Employees. Information necessary to prepare the identification card and locator index.

INTERIOR/OSM-6

System name: Safety Files—Interior, OSM-6.

System location: (1) Office of Surface Mining Reclamation and Enforcement (OSM), U.S. Department of the Interior, 18th and C Sts., NW., Washington, D.C. 20240. (2) All field facilities of OSM.

Categories of individuals covered by the system: Persons who have had an accident, injury, illness or fatality or are associated with a health hazard, radioactive materials, and radiation producing media in performance of job related duties or while a visitor.

Categories of records in the system: Contains records about accident, injury, illness, or fatality of an employee in a work related situation or a visitor. Also, records of initial, re-examination, annual, and terminal health physical of employees in potentially hazardous health and radiation situations. In addition, all other records directly related to employee health and safety.

Authority for maintenance of the system: (1) Occupational Safety and Health Act of 1970, as amended, 29 U.S.C. Sec. 668 and 5 U.S.C. Sec. 7902. (2) Executive Order 11807 (September 28, 1974). (3) Federal Employees Compensation Act, as amended, 5 U.S.C. Sec. 8101, et seq.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The primary uses of the records are (a) for managerial review of safety related work situations, and (b) for authenticating work related accident, injury, illness, or fatalities for employee compensation purposes. Disclosures outside the Department of the Interior may be made (1) to the U.S. Department of Justice when related to litigation or anticipated litigation; (2) of information indicating a violation or potential violation of a statute, regulation, rule, order or license, to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Maintenance in manual form in card index and file folders.

Retrievability: Indexed by name or control number of the individual.

Safeguards: Security will be provided to meet the requirements of 43 CFR 2.51 for manual records.

Retention and disposal: Upon completion of work project or employee separation, health records are transferred to the Official Personnel Folder. All other records are transferred to Federal Records Centers upon completion of case processing.

System manager(s) and address: Chief, Division Personnel, Office of Surface Mining Reclamation and Enforcement, U.S. Department of the Interior, 18th and C Sts., NW., Washington, D.C. 20240.

Notification procedure: System Manager, or with respect to records maintained at field facilities, the safety officer of the facility. A written and signed request stating that the requester seeks information concerning records pertaining to him is required. See 43 CFR 2.60.

Record access procedures: A request for access may be addressed to the System Manager or, with respect to records maintained at field facilities, the safety officer of the facility. The request must be in writing and signed by the requester. The request must meet the content requirements of 43 CFR 2.63.

Contesting record procedures: A petition for amendment shall be addressed to the System Manager and must meet the content requirements of 43 CFR 2.71.

Record source categories: Individuals involved and physicians.

INTERIOR/OSMRE-7

System name:

Personnel Security Files—Interior, OSMRE-7.

System location:

U.S. Department of the Interior, Office of Surface Mining Reclamation and Enforcement (OSMRE), 1100 L Street, NW., Room 5415L, Washington, DC 20005. Mailing address: 1951 Constitution Ave., NW., Room 5415L, Washington, DC 20240.

Categories of individuals covered by the system:

OSMRE personnel who have been investigated under E.O. 10450 for suitability and/or security considerations.

Categories of records in the system:

Contains records concerning employees, including personal data submitted by the individual, information developed by investigatory authorities, and records of the requirement, basis, degree and data of clearances. Contains a security briefing statement signed by the employee.

Authority for maintenance of the system:

Executive Order 10450, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary use of the records is to identify OSM personnel who have security clearances and their degree of clearance. Disclosures outside the Department of the Interior may be made (1) to a Federal agency which has requested information relevant or necessary to its hiring or retention of an employee, or issuance of a security clearance, license, contract, grant or other benefit; (2) to Federal, State or local agencies where necessary to obtain information relevant to the hiring or retention of an employee, or issuance of a security clearance, contract, license, grant or other benefit; (3) to the U.S. Department of Justice or in a proceeding before a court or adjudicative body when (a) the United States, the Department of the Interior, a component of the Department, or, when represented by the government, an employee of the Department is a party to litigation or anticipated litigation or has an interest in such litigation, and (b) the Department of the Interior determines that the disclosure is relevant or necessary to the litigation and is compatible with the purpose for which the records were compiled; (4) of information indicating a violation or potential violation of a statute, regulation, rule, order or license, to appropriate Federal, State, local or foreign agencies, responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in manual form in file folders.

Retrievability:

Indexed by name.

Safeguards:

Maintained in a safe having a three-position dial-type, manipulation proof, combination lock, in the same manner as defense classified material.

Retention and disposal:

Maintained in accordance with General Records Schedule 18, Item 23, Destroyed by fire, shredder, disintegrator or pulverizer.

System manager(s) and address:

Chief, Division of Personnel, Office of Surface Mining Reclamation and Enforcement, 1100 L Street NW., Room 5415L, Washington, DC 20005. Mailing address: 1951 Constitution Ave., Room 5415L, Washington, DC 20240.

Notification procedure:

A written and signed request to the System Manager stating that the requester seeks information concerning record pertaining to him. See 43 CFR 2.60.

Record access procedures:

A request for access shall be addressed to the System Manager. The request must be in writing and signed by the requester. See 43 CFR 2.63.

Contesting record procedures:

A petition for amendment shall be addressed to the System Manager. See 43 CFR 2.71.

Record source categories:

Individual on whom the record is maintained and investigations conducted by Federal, State or local agencies or other pertinent authorities.

INTERIOR/OSMRE-8

System name:

Employment and Financial Interests Statements-States and other Federal Agencies—Interior, OSMRE-8.

System location:

U.S. Department of the Interior, Office of Surface Mining Reclamation and Enforcement (OSMRE), 1100 L Street, NW., Room 5415L, Washington, DC 20005. Mailing address: 1951 Constitution Ave., NW., Room 5415L, Washington, DC 20240.

Categories of individuals covered by the system:

1. The head of each State regulatory authority who is required to file a financial statement with the Director of the Office of Surface Mining Reclamation and Enforcement by 30 CFR 705.12; 2. Federal employees, other than Interior Department employees, who are required to file a financial interest statement by 30 CFR 706.11(b) and who file with the Director of the Office of Surface Mining Reclamation and Enforcement in accordance with 30 CFR 706.15(c); and 3.

State employees, and Federal employees other than Interior Department employees, whose financial interest statements are referred to the Department of the Interior in accordance with 30 CFR 705.19(a)(3) or 30 CFR 706.19(c).

Categories of records in the system:

Contains Statements of Employment and Financial Interests forms for State employees (form OSMRE-23), and for Federal employees (form DI-212A) and similar forms used by Federal agencies other than the Department of the Interior. Also contains records of decisions, analysis of financial holdings, employee statements, pertinent comments from supervisors, heads of bureaus or offices, and the Solicitor's Office, and related records needed for processing.

Authority for maintenance of the system:

Sections 201(c) and (f) and 517(g) of Pub. L. 95-87.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary uses of the records are (a) to review employee financial interests and determine employee compliance or non-compliance with the applicable statute and regulations; (b) to record the fact that the employee has been made aware of specifically directed legislation or regulations covering his organization and duties and that he or she is in compliance with such specific legislation or regulations; and (c) to provide an adequate system of records for auditors performing compliance audits. Disclosures outside the Department of the Interior may be made: (1) To the U.S. Department of Justice or in a proceeding before a court or adjudicative body when (a) the United States, the Department of the Interior, a component of the Department, or, when represented by the government, an employee of the Department is a party to litigation or anticipated litigation or has an interest in such litigation, and (b) the Department of the Interior determines that the disclosure is relevant or necessary to the litigation and is compatible with the purpose for which the records were compiled; (2) of information indicating a violation or potential violation of a statute, regulation, rule, order or license, to appropriate Federal, State, or local agencies responsible for investigating or prosecuting the violation or, (3) to a Congressional office from the record of an individual in response to an inquiry made at the request of that individual, (4) to Federal, State or local agencies where necessary to obtain information relevant to resolving prohibited financial interest situations or to litigation which may affect the hiring or retention of an employee.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders;

Retrievability:

Filed alphabetically by employee name;

Safeguards:

Maintained in locked file cabinet in a locked office.

Retention and disposal:

Records filed with the Department by regulation will be destroyed six years after receipt unless needed in an ongoing investigation (General Records Schedule 1, Item 25). Records referred to the Department will be returned to the referring agency for disposal in accordance with that agency's disposal policy.

System manager(s) and address:

Chief, Division of Personnel, Office of Surface Mining Reclamation and Enforcement, 1100 L Street, NW., Room 5415L, Washington, DC 20005. Mailing address: 1951 Constitution Ave., NW., Room 5415L, Washington, DC 20240.

Notification procedure:

Inquiries may be addressed to the System Manager as indicated above. See 43 CFR 2.60.

Record access procedures:

A request for access may be addressed to the System Manager for information regarding the entire system or for specific information about a State or Federal office system. The request must be in writing and be signed by the requester. The request must meet the content requirements of 43 CFR 2.63.

Contesting record procedures:

A petition for amendment shall be addressed to the System Manager and must meet the requirements of 43 CFR 2.74.

Record source categories:

Present or past Federal or State employees required to file Employment and Financial Interests Statements.

INTERIOR/OSMRE-9

System name:

Applicant/Violator System (AVS)—Interior, OSMRE-9.

System location:

Office of Surface Mining Reclamation and Enforcement (OSMRE), Department of the Interior, Washington, D.C. 20240 and field locations. For specific addresses of field locations contact the System Manager at the address given below. Major system hardware is located at the National Center, Geological Survey, 12201 Sunrise Valley Drive, Reston, Virginia 22092.

Categories of individuals covered by the system:

The system contains names of coal mining permit holders and applicants: individuals and entities who own or control coal mining permit holders and applicants; operators for and agents of coal mining permit holders and applicants; individuals and entities responsible for unabated Federal or State cessation orders, unpaid Federal or State civil penalties. Federal or State air and water quality violations arising from surface mining operations, bond forfeitures, or violations of abandoned mine land reporting and payment requirements arising under the Surface Mining Control and Reclamation Act of 1977, 30 U.S.C. 1201 et seq. (SMCRA); and individuals or entities who own or control individuals or entities responsible for unabated Federal or State cessation orders, unpaid Federal or State civil penalties. Federal or State air and water quality violations arising from surface mining operations, bond forfeitures, or violations of abandoned mine land reporting and payment requirements arising under the SMCRA.

Categories of records in the system:

(1) Coal Mining Permit Application information and Permit information such as individuals listed in the application or permit (names, addresses, and social security numbers, if available), bond and acreage information; (2) violator information obtained from OSMRE enforcement records, state enforcement records, and abandoned mine land records; (3) ownership and control information on coal mining operations obtained from the aforementioned records the Mine Safety and Health Administration legal identity forms and other MSHA records, State Corporation Commission and Secretary of State records, clerk of court records, company or operator financial reports and investigative reports provided to OSMRE under contract.

Authority for maintenance of the system:

The Surface Mining Control and Reclamation Act of 1977, 30 U.S.C. 1201 et seq.; and the February 1, 1985, Revised Court Order in Save Our Cumberland Mountains, Inc., el al. v. William P. Clark, et al., Civil No. 81-2134 (D.D.C. 1985).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary uses of the records are to: (a) Serve as a tool for OSMRE and State regulatory authorities to determine if any individual or entity who owns or is in control of an operation covered by a coal mining permit or application for a permit was or is in control of any entity with an unabated Federal or State cessation order, unpaid Federal or State civil penalty. Federal or State air and water quality violation, bond forfeiture, or violation of abandoned mine land reporting and payment requirements arising under SMCRA; (b) enable OSMRE and State regulatory authorities to take appropriate to withhold or revoke permits of entities or individuals responsible for violations of SMCRA, the corresponding provisions of State law, or other laws or regulations referred to in section 510(c) of SMCRA; (c) develop data on coal mining activities on a nationwide basis; (d) provide statistics by company, region, judicial district, State and nationwide for management purposes; (e) enable OSMRE and State regulatory authorities to effectively monitor their program requirements; (f) enable OSMRE to collect civil penalties due it from violators or to collect delinquent abandoned mine land fees. Disclosures outside the Department of the Interior may be made: (1) To the appropriate Federal, State, local or foreign agency responsible for investigating, prosecuting, enforcing or implementing any statute, rule, regulation, or order when OSMRE becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation; (2) to the Internal Revenue Service when disclosure will enable OSMRE to collect civil penalties due it from violators or to collect delinquent abandoned mine lands fees; (3) to a congressional office from the record of an individual in response to an inquiry the individual has made to the congressional office; (4) to public interest groups as may be required under a February 1, 1985, Revised Court Order in Save Our Cumberland Mountains, Inc., et al. v. William P. Clark, et al., Civil No. 81-2134 (D.D.C. 1985); (5) to the U.S. Department of Justice or a court or other adjudicative body of competent jurisdiction when (a) the United States, the Department of the Interior, a component of the Department, or, when represented by the government, an employee of the Department is a party to litigation or anticipated litigation or has an interest in such litigation, and (b) the Department of the Interior determines that the disclosure is relevant or necessary to the litigation and is compatible with purpose for which the records were compiled; (6) to applicants and permittees pursuant to permit determinations; (7) to individuals or entities in response to their requests for permit-related information about themselves and related individuals or entities contained within the AVS system of records.

Disclosure to consumer reporting agencies:

Disclosures to consumer reporting agencies pursuant to 5 U.S.C. 552a(b)(12): Disclosures may be made to a consumer reporting agency as defined in the Fair Credit Reporting Act (15 U.S.C. 1681a(f)), or the Federal Claims Collection Act of 1966 (31 U.S.C. 3701(a)(3)).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in manual form in file cabinets and recorded on computer usable media.

Retrievability:

Data is retrievable by numerous combinations or data filed such as assigned index number, company name, individual name, State, permit number, violation numbers and amount(s) due.

Safeguards:

Maintained with safeguards meeting the requirements of 43 CFR 2.51 for computerized and manual records. Manual records are maintained in OSMRE areas occupied by OSMRE personnel during working hours with buildings locked and/or guarded during nonworking hours.

Retention and disposal:

Data stored on computer usable media will be retained until it is determined that the data is no longer needed or required. Manual records will be retained to serve as verification and back-up material. ADP printout records will be disposed of periodically when superseded. Records are retained and disposed of in accordance with OSMRE Records Disposition Authority NC1-433-80-1, Item No. 302-06.

System manager(s) and address:

Assistant Director, Finance and Accounting, Office of Surface Mining, 1951 Constitution Avenue, NW., Washington, D.C. 20240.

Notification procedure:

To determine whether information is maintained on you in this system, write to the Systems Manager. See 43 CFR 2.60 for form of request.

Record access procedures:

To see your records, write the system Manager. Describe as specifically as possible the records sought and mark the request "Privacy Act Request for Access." See 43 CFR 2.63 for required content of request.

Contesting record procedures:

A petition for amendment of AVS data shall be addressed to the Assistant Director, Information Systems Management and must meet the content requirement of 43 CFR 2.71. The petition for amendment must be submitted in writing.

Record source categories:

(1) Federal and State Coal Mining Permit files both manual and computerized. (2) Applicable OSMRE and State Title IV and V programs files both manual and computerized. (3) Mine Safety and Health Administration (MSHA) Legal Identity Forms and other records. (4) Individual, Operator and Company financial reports. (5) MSHA R-31 Comptroller information Data Base. (6) State Corporation Commission, Secretary of State, Taxation bureaus and Clerk of Court Records. (7) Individual or Company Net Worth Determination reports. (8) Department of the Interior Solicitor Files. (9) OSMRE contractors who prepare investigative reports.

INTERIOR/OSMRE-11

System name:

Collection Management Information System (CMIS)—Interior, OSMRE-11.

System location:

The Office of Surface Mining Reclamation and Enforcement (OSMRE), Department of the Interior, Washington, DC 20240, and various OSMRE Field Offices. For specific identification and addresses of Field Offices contact the System Manager at the address given below.

Categories of individuals covered by the system:

The system contains related information about individuals and business entities (companies, corporation, etc.) who are cited as violators of the Surface Mining Control and Reclamation Act (SMCRA) of 1977. This information relates to type of violation cited, financial assessments, and financial resolution.

Categories of records in the system:

(1) Violation information recorded against an entity;
(2) Appeal and abatement schedules; and,
(3) Financial assessment payments and resolution information.

The system contains both detail violation data and entity level summary data.

Authority for maintenance of the system:

The Surface Mining Control and Reclamation Act of 1977, 30 U.S.C. 1201 et seq.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary uses of the records are to: (a) Serve as a tool for OSMRE to track, maintain and resolve financial debt that has been imposed on individuals and companies due to acts of violations prescribed by SMCRA; (b) enable OSMRE to take appropriate action to resolve outstanding debt which may be uncollectible due to the financial status of such violators; (c) provide statistics by company, region, State, and nationwide for management purposes; (d) enable OSMRE and State Regulatory Authorities to maintain effective enforcement programs; (e) verify the status of abatement plans, payment plans, judicial appeals, financial compromises, and bankruptcy status; and, (f) forward the status and identity of outstanding violators data to the Applicant Violator System (AVS) which is matched to new permit requests.

Disclosure outside the Department of the Interior may be made to: (1) The appropriate State agency responsible for processing permit applications; (2) private business agencies for determination of net worth; (3) private collection agencies for collection of outstanding debt; (4) the U.S. Department of Justice or in a proceeding before a court or adjudicative body when: (a) The United States, the Department of the Interior, a component of the Department, or, when represented by the Government, an employee of the Department is a party to litigation or anticipated litigation or has an interest in such litigation, and (b) the Department of the Interior determines that the disclosure is relevant or necessary to the litigation and is compatible with the purpose for which the records were litigation and is compatible with the purpose for which the records were compiled; (5) a congressional office from the record of an individual in response to an inquiry the individual has made to the congressional office; and, (6) a State or applicable regulatory authority official to verify that an individual/company is or is not currently liable for debt imposed upon him.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in manual form in file cabinets and recorded on computer magnetic media.

Retrievability:

Data is retrievable by numerous combinations of data fields such as assigned company index number, company name, individual name, violation number, State, and amounts owed and paid.

Safeguards:

Maintained with safeguards meeting the requirements of 43 CFR 2.51 for computerized and manual records. Manual records are maintained in areas occupied by OSMRE and/or contractor personnel during working hours with buildings locked and/or guarded during nonworking hours.

Retention and disposal:

Data stored on computer usable media will be retained until it is determined that the data is no longer needed or required. Manual records will be retained to serve as verification and back-up material. Automated Data Processing printout records will be disposed of periodically when superseded. Records are retained and disposed of in accordance with OSMRE Records Disposition Authority NC1-433-80-1, Item No. 302-06.

System manager(s) and address:

Chief, Division of Debt Management, Office of Surface Mining Reclamation and Enforcement, 1951 Constitution Avenue, NW, Washington, DC 20240.

Notification procedure:

To determine whether information is maintained on you in this system, write to the System Manager. See 43 CFR 2.60 for form of request.

Record access procedures:

To see your records, write the System Manager. Describe as specifically as possible the records sought and mark the request "Privacy Act Request for Access." See 43 CFR 2.63 for required content of request.

Contesting record procedures:

A petition for amendment shall be addressed to the System Manager and must meet the content requirement of 43 CFR 2.71. The petition for amendment must be submitted in writing.

Record source categories:

(1) OSMRE Regulation Program inpsection files,
(2) Individual, operator, and company financial reports,
(3) Individual or company Net Worth Determination Reports,
(4) Department of the Interior Solicitor files,
(5) OSMRE contractors who prepare and document investigative reports; and
(6) OSMRE mine site inspection data reports.

INTERIOR/OSMRE-12

System name:

Application for Blaster Certification in Federal Program States and on Indian Lands-Computer Tracking System-Interior, Office of Surface Mining Reclamation and Enforcement-12.

System location:

Office of Surface Mining Reclamation and Enforcement (OSMRE), Department of the Interior, Washington, D.C. 20240 and Field Offices in Knoxville, Tennessee; Casper, Wyoming; and Albuquerque, New Mexico. For specific addresses of Field Offices contact the program coordinator at the address given below.

Categories of individuals covered by the system:

The system contains applicants for certification as blasters in Federal Program States and on Indian Lands. Each application will be for one type of blaster certificate or purpose, from the following categories; issuance, renewal, reissuance, reexamination, replacement, or reciprocity. The application form will contain information on; personal data, examination dates, employment history, blasting experience, education, blaster training, blaster certification history, law violation history, and personal affirmation of all of the above information.

Categories of records in the system:

(1) Complete application information submitted by candidate; (2) Application Status Reports listing; the number received, incomplete, complete and not scheduled for examination, list of rejected applications, and list of applicants scheduled for examination; (3) Report Generation menu, contains; summary report of receipt of applications, and alphabetic directory of Federal licensed blaster; (4) Certification Status reports contain; listing of certifications due to expire, expired certificates and a list of revoked or suspended certificates; (5) Query processing sub-systems to access information on candidates by social security number, last name, and print output of entire application information.

Authority for maintenance of the system:

The Surface Mining Control and Reclamation Act of 1977, 30 U.S.C. 1201 et seq., and sections 30 CFR 750.19, 816.61, 900, 910, 912, 921, 922, 933, 937, 939, 941, 942, and 955.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary uses of the records are to: (a) Review an applicant's background, status, employment history, blasting experience and violation status; (b) record the fact that the person is in compliance with specific State and Federal authority and regulations; (c) maintain adequate control and access of record information, (d) serve as a tool for OSMRE to grant as blaster certificate for issuance, renewal, reissuance and reciprocity status, administration and notification procedure (e) provide an adequate system of records for the Department, and for compliance within the Department for a Federal program, (f) enable OSMRE to track appropriate actions when a blasting violation occurs, or a discrepancy with application information and the affirmation by the applicant, (g) verify the status of a blaster when queried by a State or mining company official, and (h) enable OSMRE as the regulatory authority to effectively monitor its program requirements.

Disclosure outside the Department of the Interior may be made to: (1) The appropriate Federal, State, local or foreign agency responsible for obtaining information relevant to a Federal blaster for investigating, prosecuting, enforcing or implementing a statute, rule, regulation, or order when OSMRE becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation; (2) the U.S. Department of Justice or in a proceeding before a court or adjudicative body when; (a) the United States, the Department of the Interior, a component of the Department, or, when represented by the government, an employee of the Department is a party to litigation or anticipated litigation or has an interest in such litigation, and (b) the Department of the Interior determines that the disclosure is relevant or necessary to the litigation and is compatible with the purpose for which the records were compiled; (3) to a congressional office from the record of an individual in response to an inquiry the individual has made to the congressional office; (4) to a State or mining company officials to verify that an individual is or is not certified blaster under the Federal programs.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in manual form in secured file cabinets; and recorded on computer magnetic media.

Retrievability:

For each field Office, information is filed and retrievable by social security number and last name alphabetically, or date of entry. For each Field Office, information is filed alphabetically by applicant, candidate, or blasters, and consolidated in summary format at the Knoxville Field Office.

Safeguards:

Maintained in locked file cabinets for manual files, standard password files on computer and software, and accessible only by those authorized persons. Manual records are maintained in OSMRE areas occupied by OSMRE personnel during working hours with buildings locked off hours.

Retention and disposal:

Data stored on magnetic media will be retained until it is determined that the information is no longer needed or required. Manual records will be retained for a minimum of 6 years to serve as verification and backup material. ADP printout records will be updated and disposed of periodically, when superseded or recertification of a certified blaster occurs. Records are disposed of in accordance with items 25 through 30 of General Records Schedule 14.

System manager(s) and address:

Federal Blaster Certification Program Coordinator, Office of Surface Mining Reclamation and Enforcement, 1951 Constitution Avenue, NW, Washington, DC 20240.

Notification procedure:

A written request addressed to the appropriate State designated OSMRE Field Office Director stating that the requestor seeks information concerning records pertaining to him is required. See 43 CFR 2.60 for form of request.

Record access procedures:

To review your records, write the State designated OSMRE Field Office Director. Describe as specifically as possible the records sought and mark the request "Privacy Act Request for Access." See 43 CFR 2.63 for required content of request.

Contesting record procedures:

A petition for amendment shall be addressed to the designated OSMRE Field Office Director and meet the content requirement of 43 CFR 2.71. The petition for amendment must be submitted in writing.

Record source categories:

(1) Application for Blaster Certification in Federal Program States and on Indian Lands (2) Federal Blaster Examination Test Scores and Status. (3) State program approved certified blasters records. (4) State and Federal criminal or law violation records.

INTERIOR/NPS-1

System name:

Special Use Permits—Interior, NPS-1.

System location:

Substantially all Regional and Park Offices of the National Park Service (See Appendix for addresses).

Categories of individuals covered by the system:

Visitors to National Parks who receive special use permits.

Categories of records in the system:

Contains permittees' names, tracts numbers, addresses, terms, and conditions of permits.

Authority for maintenance of the system:

16 U.S.C. 1 and 44 U.S.C. 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary use of the record is for (1) Park management. Disclosures outside the Department of the Interior may be made: (1) To the United States Department of Justice when related to litigation or anticipated litigation, (2) of information indicating a violation or potential violation of a statute, regulation, rule, order, or license, to appropriate Federal, State, local, or foreign agencies responsible for investigating or prosecuting the violation of, or enforcing or implementing the statute, rule, regulation, order, or license; (3) from the record of an individual in response to an inquiry from a Congressional Office made at the request of that individual.

Disclosure to consumer reporting agencies:

Disclosures pursuant to 5 U.S.C. 552a(b)(12). Disclosures may be made from this system to consumer reporting agencies as defined in the Fair Credit Reporting Act (15 U.S.C. 1681a(f)) or the Federal Claims Collection Act of 1966 (31 U.S.C. 3701(a)(3)).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in manual form in file folders.

Retrievability:

Indexed by tract number or permittee's name.

Safeguards:

Stored in lockable metal file cabinets or unlocked cabinets in secured rooms or buildings on either United States Government-owned or leased facilities.

Retention and disposal:

Ordinarily disposed of one year after termination of special use permit.

System manager(s) and address:

Associate Director, Park Operations, National Park Service, United States Department of the Interior, Washington, D.C. 20240.

Notification procedure:

To determine whether the records are maintained on you in this system, write to the Systems Manager or to the offices cited under "Records Location." (See 43 CFR 2.60)

Record access procedures:

To see your records, write the Systems Manager or the offices cited under "Records Location." Describe as specifically as possible the records sought. If copies are desired, indicate the maximum you are willing to pay. (See 43 CFR 2.63)

Contesting record procedures:

To request corrections or the removal of material from your files. write the Systems Manager. (See 43 CFR 2.71).

Record source categories:

Individual on whom record is maintained.

INTERIOR/NPS-2

System name:

Land Acquisition and Relocation Files—Interior, NPS-2.

System location:

All project offices and Regional land offices of the National Park Service (See Appendix for addresses).

Categories of individuals covered by the system:

Owners and tenants of land within National Parks.

Categories of records in the system:

Contains property owners' and tenants' names, assigned tract numbers, addresses, title evidence, appraisals, negotiator's reports, property plats, all documents relative to acquisition of properties by direct purchase, donation, or condemnation proceedings, general correspondence, and relocation claims with supporting documents and payments.

Authority for maintenance of the system:

16 U.S.C. 1, 44 U.S.C. 3101, and 42 U.S.C. 4651.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary use of the record is for: (1) Land acquisition and relocation purposes. Disclosures outside the Department of the Interior may be made: (1) To authorized title companies and closing agents for title policies and closings, (2) to the United States Department of Justice for preliminary and final title opinions and condemnation proceedings, (3) to the United States Department of Justice when related to litigation or anticipated litigation, (4) of information indicating a violation or potential violation of a statute, regulation, rule, order, or license, to appropriate Federal, State, local, or foreign agencies responsible for investigating or prosecuting the violation, or for enforcing or implementing the statute, rule, regulation, order, or license, (5) from the record of an individual in response to an inquiry from a Congressional Office at the request of that individual.

Disclosure to consumer reporting agencies:

Disclosures pursuant to 5 U.S.C. 552a(b)(12). Disclosures may be made from this system to consumer reporting agencies as defined in the Fair Credit Reporting Act (15 U.S.C. 1681a(f)) or the Federal Claims Collection Act of 1966 (31 U.S.C. 3701(a)(3)).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in manual form in file folders.

Retrievability:

Indexed by tract and generally cross-indexed alphabetically by landowner's name.

Safeguards:

Stored in lockable metal file cabinets or unlocked cabinets in secured rooms or buildings on either United States Government-owned or leased facilities.

Retention and disposal:

Pertinent land acquisition documents retired to park superintendent's offices and Land Resources Division, Washington, when land acquisition matters complete and remainder of file disposed of. Reserved tract relocation files retained at Regional Lands Offices. Pertinent relocation documents filed with the National Park Service, Finance Office and remainder of files disposed of one year after all claims are processed for payment.

System manager(s) and address:

Chief, Land Resources Division, National Park Service, United States Department of the Interior, Washington, D.C. 20240.

Notification procedure:

To determine whether the records are maintained on you in this system, write to the Systems Manager or to the Regional Land Offices cited under "Records Location." (See 43 CFR 2.60)

Record access procedures:

To see your records, write the Systems Manager or the land acquisition offices cited under "Records Location." Describe as specifically as possible the records sought. If copies are desired, indicate the maximum you are willing to pay. (See 43 CFR 2.63).

Contesting record procedures:

To request corrections or the removal of materials from your files, write the Systems Manager. (See 43 CFR 2.71).

Record source categories:

Title companies, mapping contractors, contract appraisers, individuals on whom tract files are maintained.

Systems exempted from certain provisions of the act:

The Privacy Act does not entitle an individual to have access to any information compiled in reasonable anticipation of a civil action or proceeding.

INTERIOR/NPS-3

System name:

Land Acquisition Management Information System—Interior, NPS-3.

System location:

Division of Land Resources, National Park Service, United States Department of the Interior, Washington, D.C. 20240.

Categories of individuals covered by the system:

Owners of land within National Parks.

Categories of records in the system:

Management and monitoring of active land acquisition projects. Contains records for each tract acquired, scheduling, and progress data, landowners' names and addresses, and descriptive data on each tract.

Authority for maintenance of the system: 16 U.S.C. 1, 44 U.S.C. 3101, and 42 U.S.C. 4651.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary use of the records is for: (1) Land acquisition statistics for the National Park Service personnel, Congressional, or public information. Disclosure outside the United States Department of the Interior may be made:(1) To the United States Department of Justice when related to litigation or anticipated litigation, (2) of information indicating a violation or potential violation of a statute, regulation, rule, order, or license, to appropriate Federal, State, local, or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule regulation, order, or license, (3) Disclosures from the record of an individual may be made in response to an inquiry from a Congressional Office at the request of that individual.

Disclosure to consumer reporting agencies:

Disclosures pursuant to 5 U.S.C. 552a(b)(12). Disclosures may be made from this system to consumer reporting agencies as defined in the Fair Credit Reporting Act (15 U.S.C. 1681a(f)) or the Federal Claims Collection Act of 1966 (31 U.S.C. 3701(a)(3)).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Computerized.

Retrievability:

Indexed by tract number but retrievable by tract number or landowner's name.

Safeguards:

Maintained with safeguards meeting the requirements of 43 CFR 2.51.

Retention and disposal:

Maintained until superseded by updated or revised version.

System manager(s) and address:

Chief, Branch of Coordination and Control, Division of Land Resources, National Park Service, United States Department of the Interior, Washington, D.C. 20240.

Notification procedure:

To determine whether records are maintained on you in this system, write to the Systems Manager. (See 43 CFR 2.60).

Record access procedures:

To see your records, write the Systems Manager. Describe as specifically as possible the records sought. If copies are desired, indicate the maximum you are willing to pay. (See 43 CFR 2.63).

Contesting record procedures:

To request corrections or the removal of material from your files, write the Systems Manager. (See 43 CFR 2.71).

Record source categories:

Project and Regional Offices.

Systems exempted from certain provisions of the act:

The Privacy Act does not entitle an individual to have access to any information compiled in reasonable anticipation of a civil action or proceeding.

INTERIOR/NPS-4

System name:

Travel Records—Interior, NPS-4.

System location:

(1) Office of the Chief of Finance, National Park Service, United States Department of the Interior, Washington, D.C. 20240, (2) All Regional Offices of the National Park Service, (3) Input documents prepared in substantially all facilities of the National Park Service (See Appendix for Regional and other office addresses).

Categories of individuals covered by the system:

National Park Service employees who travel on official business.

Categories of records in the system:

Traveler's name, address, social security number, organization number, amounts of travel funds advanced, and/or vouchered, and itinerary.

Authority for maintenance of the system:

5 U.S.C. 5701, et seq., 16 U.S.C. 1, 44 U.S.C. 3101, FPM R 101-7, GAO Titles 5 and 7.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary use of the record is for: (1) Travel advance control, control of GTR's and preparation of travel authorization, and vouchers. Disclosures outside the Department of the Interior may be made: (1) To the U. S. Department of Justice or in a proceeding before a court or adjudicative body when (a) the United States, the Department of the Interior, a component of the Department, or, when represented by the government, an employee of the Departmentis a party to litigation or anticipated litigation or has an interest in such litigation, and (b) the Department of the Interior determines that the disclosure is relevant or necessary to the litigation and is compatible with the purpose for which the records were compiled; (2) of information indicating a violation or potential violation of a statute, regulation, rule, order, or license, to appropriate Federal, State, local, or foreign agencies responsible for investigation or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order, or license; (3) to disclose debtor information to the IRS, or another Federal agency or its contractor solely to aggregate information for the IRS, to collect debts owed to the Federal government through the offset of tax refunds.

Disclosure to consumer reporting agencies:

Disclosures pursuant to 5 U.S.C. 552a (b)(12). Disclosures may be made from this system to consumer reporting agencies as defined in the Fair Credit Reporting Act (15 U.S.C. 1681a(f)) or the Federal Claims Collection Act of 1966 (31 U.S.C. 3701(a)(3)).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained on prescribed standard forms.

Retrievability:

Travel advance cards, outstanding GTR's, and intineraries are filed alphabetically. Travel authorizations and vouchers are filed numerically, but cross-referenced on the preceding documents.

Safeguards:

Maintained with safeguards meeting the requirements of 43 CFR 2.51 for manual records.

Retention and disposal:

Travel records are retained in office of origin three years, then sent to Federal Records Center.

System manager(s) and address:

Chief of Finance, Washington Office et al. (See System Location).

Notification procedure:

To determine whether the records are maintained on you in this system, write to the Systems Manager. (See 43 CFR 2.60).

Record access procedures:

To see your records, write the Systems Manager. Describe as specifically as possible the records sought. If copies are desired, indicate the maximum you are willing to pay. (See 43 CFR 2.71).

Contesting record procedures:

To request corrections or the removal of material from your files, write the Systems Manager. (See 43 CFR 2.71).

Record source categories:

Individual on whom the record is maintained and respective travel office.

INTERIOR/NPS-5

System name:

Retirement Record—Interior, NPS-5.

System location:

Office of the Chief of Finance, National Park Service, United States Department of the Interior, Washington, D.C. 20240.

Categories of individuals covered by the system:

Employees and former employees of the National Park Service.

Categories of records in the system:

Name, Federal employment history, and retirement contribution of all National Park Service employees.

Authority for maintenance of the system:

5 U.S.C. 8301, et seq., 16 U.S.C. 1 and 44 U.S.C. 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary use of the record is: (1) To keep current the employee's Federal employment history and retirement contribution. Disclosures outside the Department of the Interior may be made: (1) To the Civil Service Retirement System, (2) to another Federal agency for the record of an employee who has transferred to that agency, (3) to the United States Department of Justice when related to litigation or anticipated litigation, (4) of information indicating a violation or potential violation of a statute, regulation, rule, order, or license, to appropriate Federal, State, local, or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order, or license.

Disclosure to consumer reporting agencies:

Disclosures pursuant to 5 U.S.C. 552a (b)(12). Disclosures may be made from this system to consumer reporting agencies as defined in the Fair Credit Reporting Act (15 U.S.C. 1681a(f)) or the Federal Claims Collection Act of 1966 (31 U.S.C. 3701(a)(3)).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained on SF-2806.

Retrievability:

Filed alphabetically.

Safeguards:

Maintained with safeguards meeting requirements of 43 CFR 2.51 for manual records.

Retention and disposal:

The original SR-2806 is retained until termination of the National Park Service employment. Upon retirement or upon transfer to a Federal agency outside Interior, the original SF-2806 is sent to OPM and a reference copy is kept for five years. Upon transfer within Interior, the original SF-2806 is sent to the receiving agency and a reference copy is kept for five years.

System manager(s) and address:

Chief of Finance, National Park Service, United States Department of the Interior, Washington, D.C. 20240.

Notification procedure:

To determine whether the records are maintained on you in the system, write to the Systems Manager. (See 43 CFR 2.60).

Record access procedures:

To see your records, write the Systems Manager. Describe as specifically as possible the records sought. If copies are desired, indicate the maximum you are willing to pay. (See 43 CFR 2.63).

Contesting record procedures:

To request corrections or the removal of material from your files, write the Systems Manager. (See 43 CFR 2.71).

Record source categories:

Individual on whom the record is maintained, and pay and personnel records.

INTERIOR/NPS-6

System name: Audiovisual Performances Selection Files—Interior, NPS-6.

System location: Division of Audiovisual Arts, Harpers Ferry Center, National Park Service, Harpers Ferry, West Virginia 25425.

Categories of individuals covered by the system: Actors, actresses, and narrators who have been used in NPS productions.

Categories of records in the system: Voice samples and photographs

Authority for maintenance of the system: 16 U.S.C. 1, 44 U.S.C. 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The primary use of the record is to evaluate voice and photographic quality and to select performers and narrators for NPS productions. Disclosures outside the Department of the Interior may be made (1) to the U.S. Department of Justice when related to litigation or anticipated litigation, (2) of information indicating a violation or potential violation of a statute, regulation, rule, order or license, to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Maintained on magnetic tape and in a manual photo index file.

Retrievability: Indexed by name of individual.

Safeguards: Maintained in accordance with the requirements of 43 CFR 2.51 for manual records.

Retention and disposal: Destroyed when replaced by more recent tape or photograph.

System manager(s) and address: Chief, Division of Audiovisual Arts, Harpers Ferry Center, National Park Service, Harpers Ferry, West Virginia 25425.

Notification procedure: To determine whether the records are maintained on you in this system, write to the Systems Manager.

Record access procedures: To see your records write the Systems Manager. Describe as specifically as possible the records sought. If copies are desired, indicate the maximum you are willing to pay.

Contesting record procedures: To request corrections or the removal of material from your files, write the Systems Manager.

Record source categories: Individual on whom record is maintained.

INTERIOR/NPS-7

System name:

National Park Service Historical Library—Interior, NPS-7.

System location:

Harpers Ferry Center, National Park Service, Harpers Ferry, West Virginia 25425.

Categories of individuals covered by the system:

Present and retired employees of the National Park Service and its Associates.

Categories of records in the system:

Interviews of historical recollections.

Authority for maintenance of the system:

16 U.S.C. 1, 44 U.S.C. 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary use of the record is: (1) Historical Research. Disclosures outside the Department of the Interior may be made: (1) To the United States Department of Justice when related to litigation or anticipated litigation, (2) of information indicating a violation or potential violation of a statute, regulation, rule, order, or license, to appropriate Federal, State, local, or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order, or license, (3) Disclosures from the record of an individual may be made in response to an inquiry from a Congressional Office at the request of that individual, and (4) Subject to restrictions imposed by the donor (i.e. the interviewee), disclosure of this material may be made to historical researchers.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained on magnetic tapes or paper documents.

Retrievability:

Indexed by name of person interviewed.

Safeguards:

Maintained in accordance with requirements of 43 CFR 2.51 for manual and automated records.

Retention and disposal:

Retained indefinitely.

System manager(s) and address:

Chief of Historical Library, Harpers Ferry Center, National Park Service, Harpers Ferry, West Virginia 25425.

Notification procedure:

To determine whether the records are maintained on you in this system, write to the Systems Manager. (See 43 CFR 2.60).

Record access procedures:

To see your records, write the Systems Manager. Describe as specifically as possible the records sought. If copies are desired, indicate the maximum you are willing to pay. (See 43 CFR 2.63).

Contesting record procedures:

To request corrections or the removal of material from your files, write the Systems Manager. (See 43 CFR 2.71).

Record source categories:

Individual on whom record is maintained and recollections of others.

INTERIOR/NPS-8

System name:

Property and Supplies Accountability—Interior, NPS-8.

System location:

All National Part Service facilities (See Appendix for addresses).

Categories of individuals covered by the system:

National Park Service employees, contractors, and contract employees.

Categories of records in the system:

Contains the user's name and description of the accountable property or supply.

Authority for maintenance of the system: 40 U.S.C. 483(b).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary use of the record is: (1) To identify the responsible individual for accountability of property and supplies. Disclosures outside the Department of the Interior may be made: (1) To the United States Department of Justice when related to litigation or anticipated litigation, (2) of information indicating a violation or potential violation or potential violation of a statute, regulation, rule, order, or license, to appropriate Federal, State, local, or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license.

Disclosure to consumer reporting agencies.

Disclosures pursuant to 5 U.S.C. 552a (b)(12). Disclosures may be made from this system to consumer reporting agencies as defined in the Fair Credit Reporting Act (15 U.S.C. 1681a(f)) or the Federal Claims Collection Act of 1966 (31 U.S.C. 3701(a)(3)).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Accountable capitalized property maintained on computer with subsequent inventory listings furnished to individuals. Inventory listings and hand receipts for other property and supplies maintained manually in file folders arranged by individual names.

Retrievability:

Indexed by name of individual.

Safeguards:

Maintained with safeguards meeting the requirements of 43 CFR 2.51 for computerized and manual records.

Retention and disposal:

Record destroyed when property is returned to stock or when individual is transferred.

System manager(s) and address:

Chief, Administrative Services Division, National Park Service, United States Department of the Interior, Washington, D.C. 20240.

Notification procedure:

To determine whether the records are maintained on you in this system, write to the offices cited under "Records Location." (See 43 CFR 2.60)

Record access procedures:

To see your records, write to the offices cited under "Records Location." Describe as specifically as possible the records sought. If copies are desired, indicate the maximum you are willing to pay. (See 43 CFR 2.63)

Contesting record procedures:

Write the Systems Manager. (See 43 CFR 2.71)

Record source categories:

Individual on whom record is maintained.

INTERIOR/NPS-10

System name: Central Files—Interior, NPS-10.

System location: Mail and Records, Office Services Branch, National Park Service, U.S. Department of the Interior, Washington, D.C.

Categories of individuals covered by the system: Members of Congress, NPS employees, and private citizens who have corresponded with the Park Service.

Categories of records in the system: Cross-reference copies of replies to correspondence received in the Washington Office from individuals on any given subject.

Authority for maintenance of the system: 16 U.S.C. 1 and 44 U.S.C. 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The primary use of the record is (1) to use a cross-reference in locating original correspondence, and to determine the action office that replied. Disclosures outside the Department of the Interior may be made (1) to the U.S. Department of Justice when related to litigation or anticipated litigation, (2) of information indicating a violation or potential violation of a statute, regulation, rule, order or license, to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, or license.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Maintained manually in the folders.

Retrievability: By name of individual.

Safeguards: Maintained with safeguards meeting the requirements of 43 CFR 2.51 for manual records. Branch employees service requesters during duty hours.

Retention and disposal: Records are retired to the Federal Records Center four years after the close of each two year filing period.

System manager(s) and address: Chief, Branch of Mail and Records (Same as Location).

Notification procedure: To determine whether the records are maintained on you in this system, write to the Systems Manager.

Record access procedures: To see your records write the Systems Manager. Describe as specifically as possible the records sought. If copies are desired, indicate the maximum you are willing to pay.

Contesting record procedures: To request corrections or the removal of material from your files, write the Systems Manager.

Record source categories: Individual on whom record is maintained.

INTERIOR/NPS-12

System name: U.S. Park Police Personnel Photograph File—Interior, NPS-12.

System location: Inspection Branch, United States Park Police Headquarters, 1100 Ohio Drive, SW, Washington, D.C. 20242.

Categories of individuals covered by the system: All U.S. Park Police Officers.

Categories of records in the system: Photograph, name and physical description of U.S. Park Police Officers.

Authority for maintenance of the system: Pub.L. 80-447, as amended by Pub.L. 91-383, Section 4.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The primary use of the record is (1) for management to aid in the investigation of personnel complaints. Disclosures outside the Department of the Interior may be made (1) to the U.S. Department of Justice when related to litigation or anticipated litigation, (2) of information indicating a violation or potential violation of a statute, regulation, rule, order or license, to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: In a 5 x 8 Cardex File.

Retrievability: By individual name.

Safeguards: maintained with safeguards meeting requirements of 43 CFR 2.51 for manual records.

Retention and disposal: after an Officer leaves the Park Police his photograph is properly disposed of.

System manager(s) and address: Chief of Police, United States Park Police (See Location).

Notification procedure: To determine whether the records are maintained on you in this system, write to the Systems Manager.

Record access procedures: To see your records, write the Systems Manager. Describe as specifically as possible the records sought. If copies are desired, indicate the maximum your are willing to pay.

Contesting record procedures: To request corrections or the removal of material from your files, write the Systems Manager.

Record source categories: Personnel files and ID photographs.

INTERIOR/NPS-13

System name:

Concessioners—Interior, NPS-13.

System location:

(1) Division of Concessions, National Park Service, United States Department of the Interior, Washington, D.C. 20240. (2) All Region-

al Offices and area offices with the above functions (See appendix for addresses).

Categories of individuals covered by the system:

Individuals who are the National Park Service concessioners (System also contains records on corporations and other business entities holding concession contracts which are not subject to the Privacy Act).

Categories of records in the system:

Concessioners' names, addresses, types of services provided.

Authority for maintenance of the system:

16 U.S.C. 20.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary use of the record is: (1) To maintain a mailing list of concessioners for management information.

Disclosures outside the Department of the Interior may be made: (1) To the United States Department of Justice when related to litigation or anticipated litigation, (2) of information indicating a violation or potential violation of a statute, regulation, rule, order, or license, to appropriate Federal, State, local, or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order, or license, (3) from the record of an individual in response to an inquiry from a Congressional Office made at the request of that individual, and (4) to the general public, upon request.

Disclosure to consumer reporting agencies:

Disclosures pursuant to 5 U.S.C. 552a(b)(12). Disclosures may be made from this system to consumer reporting agencies as defined in the Fair Credit Reporting Act (15 U.S.C. 1681a(f)) or the Federal Claims Collection Act of 1966 (31 U.S.C. 3701(a)(3)).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained on word processing system on floppy disks; printed listings maintained in booklet entitled "National Parks Visitor Facilities and Services," for distribution.

Retrievability:

Indexed by park and concessioners name.

Safeguards:

Maintained with safeguards meeting requirements of 43 CFR 2.51 for computerized records.

Retention and disposal:

Maintained on current basis; printed listings updated bi-annually.

System manager(s) and address:

Chief, Branch of Contracts, Division of Concessions, National Park Service, United States Department of the Interior, Washington, D.C. 20240.

Notification procedure:

To determine whether the records are maintained on you in this system, write the Systems Manager. (See 43 CFR 2.60)

Record access procedures:

To see your records, write the Systems Manager. Describe as specifically as possible the records sought. If copies are desired, indicate the maximum you are willing to pay. (See 43 CFR 2.53)

Contesting record procedures:

To request corrections or the removal of material from your files, write the Systems Manager. (See 43 CFR 2.71)

Record source categories:

Individual on whom record is maintained.

INTERIOR/NPS-14

System name:

Concessioner Financial Statement and Audit Report Files, Interior, NPS-14.

System location:

(1) Division of Concessions, National Bank Service, United States Department of the Interior, Washington, D.C. 20240. (2) All Regional Offices and area offices with the above functions (See appendix for addresses).

Categories of individuals covered by the system:

Individuals who are the National Park Service Concessioners (System also contains records, not subject to the Privacy Act, on corporations and other business entities holding concession contracts).

Categories of records in the system:

Concessioners names and address, annual financial reports, audit reports, and related financial data.

Authority for maintenance of the system:

16 U.S.C. 20.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary use of the record is: (1) To management for contract compliance and information. Disclosures outside the Department of the Interior may be made: (1) To the United States Department of Justice when related to litigation or anticipated litigation, (2) of information indicating a violation or potential violation of a statute, regulation, rule, order, or license, to appropriate Federal, State, local, or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order, or license, (3) from the record of an individual in response to an inquiry from a Congressional Office made at the request of that individual.

Disclosure to consumer reporting agencies:

Disclosures pursuant to 5 U.S.C. 552a (b)(12). Disclosures may be made from this system to consumer reporting agencies as defined in the Fair Credit Reporting Act (15 U.S.C. 1681a(f)) or the Federal Claims Collection Act of 1966 (31 U.S.C. 3701(a)(3)).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in manual form in file folders for most recent five years. Prior years are stored on microfiche.

Retrievability:

Indexed by park and concessioner's name.

Safeguards:

Maintained with safeguards meeting requirements of 43 CFR 2.51 for manual records.

Retention and disposal:

Paper records are destroyed after microfiching. Microfiche is retained until obsolete and than destroyed.

System manager(s) and address:

Chief, Branch of Financial Management, Division of Concessions, National Park Service, United States Department of the Interior, Washington, D.C. 20240.

Notification procedure:

To determine whether records are maintained on you in this system, write to the Systems Manager. (See 43 CFR 2.60).

Record access procedures:

To see your records, write the Systems Manager. Describe as specifically as possible the records sought. If copies are desired, indicate the maximum you are willing to pay. (See 43 CFR 2.63).

Contesting record procedures:

To request corrections or the removal of material from your files, write the Systems Manager. (See 43 CFR 2.71).

Record source categories:

The National Park Service Concessioners, Office of Inspector General.

INTERIOR/NPS-15

System name:

Concessions Management Files—Interior, NPS-15.

System location:

(1) Division of Concessions, National Park Service, United States Department of the Interior, Washington, D.C. 20240. (2) All Regional Offices and area offices with the above functions (See appendix for addresses).

Categories of individuals covered by the system:

The National Park Service concessioners and prospective concessioners (The records contained in this system which pertain to individuals contain principally proprietary information concerning sole proprietorships. Some of the records in the systems which pertain to individuals may reflect personal information, however, only the records reflecting personal information are subject to the Privacy Act. The system also contains records concerning corporations and other business entities. These records are not subject to the Privacy Act.).

Categories of records in the system:

Correspondence and related data concerning award of contracts, negotiation of contracts, and operations pursuant to contracts.

Authority for maintenance of the system:

16 U.S.C. 20.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary use of the record is: (1) To management for contract compliance and interpretation. Disclosures outside the Department of the Interior may be made: (1) To the United States Department of Justice when related to litigation or anticipated litigation, (2) of information indicating a violation or potential violation of a statute, regulation, rule, order, or license, to appropriate Federal, State, local, or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order, or license.

Disclosure to consumer reporting agencies:

Disclosures pursuant to 5 U.S.C. 552a(b)(12). Disclosures may be made from this system to consumer reporting agencies as defined in the Fair Credit Reporting Act (15 U.S.C. 1681a(f)) or the Federal Claims Collection Act of 1966 (31 U.S.C. 3701(a)(3)).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained on microfiche.

Retrievability:

Indexed by park and concessioner's name.

Retention and disposal:

Paper records are destroyed after microfiching. Microfiche are retained until obsolete and then destroyed.

Safeguards:

Maintained with safeguards meeting requirements of 43 CFR 2.51 for computerized records.

System manager(s) and address:

Chief, Branch of Contracts, Division of Concessions (See Location).

Notification procedure:

To determine whether records are maintained on you in this system, write to the Systems Manager. (See 43 CFR 2.60)

Record access procedures:

To see your records, write the Systems Manager. Describe as specifically as possible the records sought. If copies are desired, indicate the maximum you are willing to pay. (See 43 CFR 2.63)

Contesting record procedures:

To request corrections or the removal of material from your files, write the Systems Manager. (See 43 CFR 2.71)

Record source categories:

Individual on whom record is maintained, park and Regional Offices.

INTERIOR/NPS-17

System name:

Employee Financial Irregularities, Interior, NPS-17.

System location:

Office of the Chief of Finance, National Park Service, United States Department of the Interior, Washington, D.C. 20240.

Categories of individuals covered by the system:

Employees and former employees of the National Park Service.

Categories of records in the system:

National Park Service employees or former employees with actual or claimed employment related financial irregularities.

Authority for maintenance of the system:

16 U.S.C. 1 and 44 U.S.C. 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary use of the record is: (1) To aid management in seeking recovery of funds stolen or otherwise misappropriated. Disclosures outside the Department of the Interior may be made: (1) To the U.S. Department of Justice or in a proceeding before a court or adjudicative body when (a) the United States, the Department of the Interior, a component of the Department, or, when represented by the government, an employee of the Department is a party to litigation or anticipated litigation or has an interest in such litigation, and (b) the Department of the Interior determines that the disclosure is relevant or necessary to the litigation and is compatible with the purpose for which the records were compiled; (2) of information indicating a violation or potential violation of a statute, regulation, rule, order, or license, to appropriate Federal, State, local, or foreign agencies responsible for investigating or prosecuting the violation, or for enforcing or implementing the statute, rule, regulation, order, or license; and (3) to disclose debtor information to the IRS, or another Federal agency or its contractor, solely to aggregate informaiton for the IRS, to collect debts owed to the Federal government through the offset of tax refunds.

Disclosure to consumer reporting agencies:

Disclosures pursuant to 5 U.S.C. 552a (b)(12). Disclosures may be made from this system to consumer reporting agencies as defined in the Fair Credit Reporting Act (15 U.S.C. 1681a(f)) or the Federal Claims Collection Act of 1966 (31 U.S.C. 3701(a)(3)).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Maintained on letter memos, memos for record, and investigation reports conducted by Park Administration, Secretary's Office, U.S. Secret Service, or FBI.

Retrievability: Cases filed alphabetically.

Safeguards: Maintained with safeguards meeting requirements of 43 CFR 2.51 for manual records.

Retention and disposal:

Case file is maintained 10 years after final disposition.

System manager(s) and address:

Chief of Finance, National Park Service, United States Department of the Interior, Washington, D.C. 20240.

Record source categories:

Individual on whom the record is maintained and correspondence from financial organizations.

Systems exempted from certain provisions of the act:

Under the specific exemption authority provided by 5 U.S.C. 552a(k)(2), the Department of the Interior has adopted a regulation, 43 CFR 2.79(b), which exempts this system from the provisions of 5 U.S.C. 552 a(c)(3), (d), (e)(1), (e)(4)(G), (H), and (I), and (f), and the portions of 43 CFR, Part 2, Subpart D which implement these provisions. The reasons for adoption of this regulation are set out at 40 FR 37217 (August 26, 1975).

INTERIOR/NPS-18

System name:

Collection, Certifying and Disbursing Officers, and Imprest Fund Cashiers, Interior, NPS-18.

System location:

(1) Office of the Chief of Finance, National Park Service, United States Department of the Interior, Washington, D.C. 20240; (2) all Regional Offices and area offices with the above functions (see Appendix for addresses).

Categories of individuals covered by the system:

Employees of the National Park Service with the above funds handling titles.

Categories of records in the system:

Name, address, title, and dates of appointment and cancellation of same.

Authority for maintenance of the system:

16 U.S.C. 1 and 44 U.S.C. 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary use of the record is: (1) The control of funds handling appointments. Disclosures outside the Department of the Interior may be made: (1) To the United States Department of Justice when related to litigation or anticipated litigation, (2) of information indicating a violation or potential violation of a statute, regulation, rule, order or license, to apropriate Federal, State, local, or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order, or license.

Disclosure to consumer reporting agencies:

Disclosures pursuant to 5 U.S.C. 552a(b)(12). Disclosures may be made from this system to consumer reporting agencies as defined in the Fair Credit Reporting Act (15 U.S.C. 1681a(f)) or the Federal Claims Collection Act of 1966 (31 U.S.C. 3701(a)(3)).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained on letter memorandums or prescribed standard forms in OPF's and in responsible office files.

Retrievability:

OPF's are filed alphabetically, and respective office files are in title sequence.

Safeguards:

Maintained with safeguards meeting the requirements of 43 CFR 2.51 for manual records.

Retention and disposal:

Standard retention procedure is followed for OPF copies. Individual office files are maintained for active appointments only.

System manager(s) and address:

Chief of Finance (see System location).

Notification procedure:

To determine whether the records are maintained on you in the system, write to the Systems Manager. (See 43 CFR 2.60.)

Record access procedures:

To see your records, write the Systems Manager. Describe as specifically as possible the records sought. If copies are desired, indicate the maximum you are willing to pay. (See 43 CFR 2.63.)

Contesting record procedures:

To request corrections or the removal of material from your files, write the Systems Manager. (See 43 CFR 2.71.)

Record source categories:

Individual on whom the record is maintained.

INTERIOR/NPS-19

System name:

Law Enforcement Files: Statistical Reporting System, Incident Card Reference and Related Files—Interior, NPS-19.

System location:

(1) United States Park Police, 1100 Ohio Drive, SW., Washington, D.C. 20242. (2) New York Field Office, Bldg. No.275, Floyd Bennet Field, Brooklyn, N.Y. 11234. (3) San Francisco Field Office, Fort Mason, San Francisco, CA 94123. (4) National Park areas and Regional Offices (See Appendix for addresses).

Categories of individuals covered by the system:

Individual complainants in criminal cases, individuals investigated or arrested for criminal or traffic offenses, or involved in motor vehicle accidents, or certain types of non-criminal incidents.

Categories of records in the system:

Name of individual, date and case number of incident, report of incident, and fingerprint information.

Authority for maintenance of the system:

16 U.S.C. 1.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary uses of the records are: (1) To identify incidents in which individuals were involved, (2) to retrieve the report for information for the individual involved, such as accident reports and reports of found property, (3) to aid National Park Service Law enforcement officers on a need to know basis, (4) as the basis for criminal investigations conducted by the United States Park Police, and commissioned law enforcement employees, and (5) to assist local and Regional law enforcement agencies working in areas contiguous to areas under the jurisdiction of the NPS. Disclosures outside the Department of the Interior may be made: (1) To law enforcement officers from other agencies in their work on a need to know basis, (2) to the United States Department of Justice when related to litigation or anticipated litigation, (3) of information indicating a violation or potential violation a statute, regulation, rule, order or license, to appropriate Federal, State, local, or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order, or license, (4) to local and Regional law enforcement agencies for the purpose of inclusion in automated fingerprint data systems.

Disclosure to consumer reporting agencies:

Disclosures pursuant to 5 U.S.C. 552a(b)(12). Disclosures may be made from this system to consumer reporting agencies as defined in the Fair Credit Reporting Act (15 U.S.C. 1681 a(f)) or the Federal Claims Collection Act of 1966 (31 U.S.C. 3701(a)(3)).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Manual records, magnetic disk, diskette, and computer tapes.

Retrievability: (1) Manually, by name of individual and park, and (2) automated, by name and incident number.

Safeguards: Maintained with safeguards meeting the requirements of 43 CFR 2.51 for manual and automated records.

Retention and disposal: Records are maintained for various lengths of time, depending of the seriousness of the incident. Records are retired to the Federal Records Center or purged, depending on the nature of the document.

System manager(s) and address: (1) Commander, Information Management Section, U.S. Park Police, National Park Service, United States Department of the Interior, Washington, D.C. 20242. (2) Associate Director, Park Operations, National Park Service, United States Department of the Interior, Washington, D.C. 20240.

Record source categories: Incident information obtained from individual on whom information is maintained, witnesses, and investigating officials.

Systems exempted from certain provisions of the act: Under the general exemption authority provided by 5 U.S.C. 552a(j)(2), the Department of the Interior has adopted a regulation, 43 CFR 2.79(a), which exempts this system from all of the provisions of 5 U.S.C. 552a and the regulations in 43 CFR, Part 2, Subpart D, except subsections (b), (c), and (1), and (2), (e)(4)(A) through (F), (e)(6), (7), (9), (10), and (11), and (i) of 5 U.S.C. 552a and the portions of the regulations in 43 CFR Part 2, Subpart D implementing these subsections. The reasons for adoption of this regulation are set out at 40 FR 37217 (August 26, 1975).

INTERIOR/NPS-21

System name:

Visitor Statistical Survey Forms—Interior, NPS-21.

System location:

Various National Park Service areas within the National Park Service system (See Appendix for addresses).

Categories of individuals covered by the system:

Visitors to the National Park Service administered areas who have participated in surveys conducted during their visits to the areas or via mail, or telephone as a result of their visit.

Categories of records in the system:

Names, some addresses, some telephone numbers, and information obtained during the surveys on completed questionnaires or by in-person or telephone interviews, or both. The survey information includes experiences, ideas, and expressions collected voluntarily from the visitors on what they think of the area's resources, facilities, and area programs. The responses are treated confidentially and are used only to compile statistical information.

Authority for maintenance of the system:

Paperwork Reduction Act of 1980, 44 U.S.C. 3501 et seq. Federal Records Act of 1950, 44 U.S.C. 2904 and 3102, and 5 CFR Part 1320.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary use of the records are: (1) To evaluate existing management programs through statistical analysis of the replies furnished by the visitors, (2) to develop new thrusts that might be suggested by the visitors' comments. Disclosures outside the Department of the Interior may be made: (1) To the United States Department of Justice when related to litigation or anticipated litigation, (2) of information indicating a violation or potential violation of a statute, regulation, rule, order or license, to appropriate Federal, State, local, or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order, or license, and (3) from the record of an individual in response to an inquiry from a Congressional Office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Usually maintained in file folders.

Retrievability:

Sometimes filed alphabetically by name.

Safeguards:

Maintained with safeguards meeting the requirements of 43 CFR 2.51 for manual records.

Retention and disposal:

When personal data included, questionnaires and interview sheets are usually destroyed after aggregation of responses so that individual identification will no longer be possible. Others are retained until final completion of the survey and then destroyed.

System manager(s) and address:

Chief, Administrative Services Division, National Park Service, United States Department of the Interior, Washington, D.C. 20240.

Notification procedure:

To determine whether the records are maintained on you in the system, write to the offices cited under "Records Location." (See 43 CFR 2.60)

Record access procedures:

To see your records, write to the offices cited under "Records Location." Describe as specifically as possible the records sought. If copies are desired, indicate the maximum you are willing to pay. (See 43 CFR 2.63)

Contesting record procedures:

To request corrections or the removal of material from your files, write the Systems Manager. (See 43 CFR 2.71)

Record source categories:

Individual on whom the record is maintained.

INTERIOR/NPS-22

System name:

Motor Vehicle Operations Program—Interior, NPS-22.

System location:

National Park Service, Department of the Interior, Washington, D.C. 20240. All Regional Offices (See Appendix for addresses) of the National Park Service.

Categories of individuals covered by the system:

National Park Service employees who are assigned United States Government Motor Vehicle Operator Permits for temporary use.

Categories of records in the system:

Information identifying the employee such as: Name, sex, birth date, color of hair, color of eyes, height, weight, birthplace, social security number, accident summary, accident reports, driver's license number, date issued, date license expires, types of vehicles operated, corrective lenses, or any other impairments.

Authority for maintenance of the system:

Section 211j of the Federal Property and Administrative Services Act of 1949, as amended (68 Stat. 1128; 40 U.S.C. 491(j)) and the related Motor Vehicle Operator Regulations and Standards issued by the Office of Personnel Management.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary uses of the records are: (1) Authorize a person to operate a Government vehicle. Disclosures outside the Department of the Interior may be made: (1) To the United States Department of Justice when related to litigation or anticipated litigation, (2) of information indicting a violation or potential violation of a statute, regulation, rule, order, or license, to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license, (3) to a Federal agency where necessary to obtain information relevant to the issuance of an operator's permit, (4) from the record of an individual responding to an inquiry from a Congressional Office made at the request of that individual.

Disclosure to consumer reporting agencies:

Disclosures pursuant to 5 U.S.C. 552a(b)(12). Disclosures may be made from this system to consumer reporting agencies as defined in the Fair Credit Reporting Act (15 U.S.C. 1681a(f)) or the Federal Claims Collection Act of 1966 (31 U.S.C. 3701(a)(3)).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

A computer program is maintained with four printouts listing individual permit holders by card number, organization code, alphabetical list, and permit date of expiration. These printouts are accessible by the System Manager.

Retrievability:

Permit information can be retrieved by number of card issued, name, or organization code of agency.

Safeguards:

Completed forms maintained in official Personnel Folder in locked cabinets.

Retention and disposal:

Permits are issued for a period of three years, then destroyed.

System manager(s) and address:

Engineering and Safety Services Division, Chief, Branch of Safety, National Park Service, Washington, D.C. 20240, for Washington Office employees; and (2) Administrative Officer, appropriate Regional Office listed in the Appendix for Regional Office employees.

Notification procedure:

All inquiries should be addressed to System Manager for Washington Office employees and the appropriate Regional Office for Regional employees (See 43 CFR 2.60).

Record access procedures:

Requests for access should be addressed as follows: (1) Washington Office employees should contact the System Manager, (2) Regional employees should contact the appropriate Administrative Officer at the location listed in the Appendix (See 43 CFR 2.63).

Contesting record procedures:

Petitions for correction should be addressed as follows: (1) Washington Office employees should contact the System Manager; (2) Regional employees should contact the appropriate Administrative Officer at the location listed in the Appendix (See 43 CFR 2.71).

Record source categories:

Individual, Agency Officials, local, and State authorities.

INTERIOR/FWS-1

System name: Labor Cost Information Records—Interior, FWS-1.

System location: Denver Service Center, U.S. Fish and Wildlife Service, Department of the Interior, P.O. Box 25346, Denver Federal Center, Denver, Colorado 80225.

Categories of individuals covered by the system: All employees of the U.S. Fish and Wildlife Service.

Categories of records in the system: Contains time and cost data by organization, by employee.

Authority for maintenance of the system: Budget and Accounting Procedures Act of 1950, 64 Stat. 832.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The primary use of the records is to serve as a tool in the financial and manpower management of service programs. Disclosures outside the Department of the Interior may be made (1) to the U.S Department of Justice when related to litigation or anticipated litigation; (2) of information indicating a violation or potential violation of a statute, regulation, rule, order or license, to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license; (3) from the record of an individual in response to an inquiry from a Congressional office made at the request of that individual; (4) to a Federal agency which has requested information relevant or necessary to its hiring or retention of an employee, or issuance of a security clearance, license, contract, grant or other benefit; and (5) to Federal, State or local agencies where necessary to obtain information relevant to the hiring or retention of an employee, or the issuance of a security clearance, contract, license, grant or other benefit.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Maintained on microfilm (one microfilm for each biweekly pay period) with a computer printout produced quarterly and distributed to managers at field stations, area offices and Regional and Washington Office divisions and offices.

Retrievability: By organization, by employee.

Safeguards: Maintained in accordance with the provisions of 43 CFR 2.51.

Retention and disposal: Made in accordance with FPMR 101-11.4 dated August 1, 1974.

System manager(s) and address: Director, Denver Service Center, U.S. Fish and Wildlife Service, Department of the Interior, P.O. Box 25346, DFC, Denver, Colorado 80225.

Notification procedure: Inquiries regarding the existence of records should be addressed to the System Manager. A written, signed request stating that the requester seeks information concerning records pertaining to him is required. See 43 CFR 2.60.

Record access procedures: A request for access may be addressed to the System Manager. The request must be in writing and be signed by the requester. The request must meet the content requirements of 43 CFR 2.63.

Contesting record procedures: A petition for amendment should be addressed to the System Manager and must meet the content requirements of 43 CFR 2.71.

Record source categories: Time and Attendance Records maintained by Timekeepers.

INTERIOR/FWS-2

System name:

Travel Records—Interior, FWS-2.

System location:

Finance Center, U.S. Fish and Wildlife Service, Department of the Interior, P.O. Box 25346, Denver Federal Center, Denver, Colorado 80225. (2) Input documents supplied by all facilities of the U.S. Fish and Wildlife Service. (See Appendix for addresses.)

Categories of individuals covered by the system:

Individuals who have performed official travel for the U.S. Fish and Wildlife Service.

Categories of records in the system:

Contains authorizations to perform travel, travel advance records, and vouchers claiming reimbursement for expenses incurred in the performance of travel.

Authority for maintenance of the system:

5 U.S.C. 5701-5709; 5 U.S.C. 5721-5733 and 20 U.S.C. 905(a); 5 U.S.C. 5722 and 5 U.S.C. 5742(b); and 5 U.S.C. 4111(b).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary use of the records is to form the legal basis for the disbursement of federal funds. Disclosures outside the Department of the Interior may be made (1) to the U.S. Department of Justice when related to litigation or anticipated litigation; (2) of information indicating a violation or potential violation of a statute, regulation, rule, order or license, to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license; (3) from the record of an individual in response to an inquiry from a congressional office made at the request of that individual; (4) to a Federal agency which has requested information relevant or necessary to its hiring or retention of an employee, or issuance of a security clearance, license, contract, grant or other benefit; and (5) to Federal, state, or local agencies where necessary to obtain information relevant to the hiring or retention of an employee, or the issuance of a security clearance, contract, license, grant or other benefit, (6) to other Federal agencies to effect salary and administrative offsets; (7) to provide addresses obtained from the Internal Revenue Service to debt collection agencies for purposes of locating a debtor to collect or compromise a Federal claim against the debtor, or to consumer reporting agencies to prepare a commercial credit report for use by the Department.

Disclosure to consumer reporting agencies:

Disclosures pursuant to 5 U.S.C. 552a(b)(12): Disclosures may be made to consumer reporting agencies as defined in the Fair Credit Reporting Act 15 U.S.C. 1681a(f)) or the Federal Claims Collection Act of 1966 (31 U.S.C. 3701(a)(3)).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in manual form in file folders.

Retrievability:

Indexed by name of traveler.

Safeguards:

Maintained in accordance with the provisions of 43 CFR 2.51.

Retention and disposal:

Made in accordance with FPMR 101-11.4.

System manager(s) and address:

Manager, Finance Center U.S. Fish and Wildlife Service, Department of the Interior, P.O. Box 25346, DFC, Denver, Colorado 80225.

Notification procedure:

Inquiries regarding the existence of records should be addressed to the System Manager. A written, signed request stating that the requester seeks information concerning records pertaining to him is required. See 43 CFR 2.60.

Record access procedures:

A request for access may be addressed to the System Manager. The request must be in writing and be signed by the requester. The request must meet the content requirements of 43 CFR 2.63.

Contesting record procedures:

A petition for amendment should be addressed to the System Manager and must meet the content requirements of 43 CFR 2.71.

Record source categories:

Office initiating the travel authorization and individual on whom the record is maintained.

INTERIOR-FWS-3

System name: Security File—Interior, FWS-3.

System location: Office of Safety and Security, U.S. Fish and Wildlife Service, Department of the Interior, Washington, D.C. 20240.

Categories of individuals covered by the system: Occupants of critical-sensitive and non-critical sensitive positions.

Categories of records in the system: Contains notice of level of security clearance granted to the individual or notice of favorable full-field report as well as SF-86 supplied by individual, as appropriate.

Authority for maintenance of the system: Executive Order 10450.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The primary uses of the records are to (a) document security clearances granted to individuals, and (b) to document suitability determinations for federal employment. Disclosures outside the Department of the Interior may be made (1) to the U.S. Department of Justice when related to litigation or anticipated litigation; (2) of information indicating a violation or potential violation of a statute, regulation, rule, order or license, to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license; (3) from the record of an individual in response to an inquiry from a congressional office made at the request of that individual; (4) to a Federal agency which has requested information relevant or necessary to its hiring or retention of an employee, or issuance of a security clearance, license, contract, grant or other benefit; and (5) to Federal, State, or local agencies where necessary to obtain information relevant to the hiring or retention of an employee, or the issuance of a security clearance, contract, license, grant or other benefit.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File maintained in individual folders.

Retrievability: Folders identified by employee name.

Safeguards: Folders contained in locked cabinet.

Retention and disposal: Destroyed when clearance requirement no longer exists or when employee separates.

System manager(s) and address: Chief, Office of Safety and Security, U.S. Fish and Wildlife Service, Department of the Interior, Washington, D.C. 20240.

Notification procedure: Inquiries regarding the existence of records should be addressed to the System Manager. A written, signed request stating that the requester seeks information concerning records pertaining to him is required. See 43 CFR 2.60.

Record access procedures: A request for access may be addressed to the System Manager. The request must be in writing and be signed by the requester. The request must meet the content requirements of 43 CFR 2.63.

Contesting record procedures: A petition for amendment should be addressed to the System Manager and must meet the content requirements of 43 CFR 2.71.

Record source categories: Information supplied by individual and the Office of Personnel Management.

INTERIOR/FWS-4

System name:

Tort Claim Records—Interior, FWS-4.

System location:

(1) Division of Contracting and General Services, U.S. Department of the Interior, Fish and Wildlife Service Washington, D.C. 20240; (2) regional offices of Fish and Wildlife Service. (See Appendix for regional addresses).

Categories of individuals covered by the system:

Claimants for damages to personal property or personal injury.

Categories of records in the system:

Contains information regarding the individual who is required to evaluate a claim for damage to personal property or personal injury, i.e., name, address, insurance company, estimates of repair costs, accident reports by Government officials, law enforcement officials, attorneys, hospital and doctors' reports and bills for service, statements from witnesses.

Authority for maintenance of the system:

Federal Tort Claims Act (28 U.S.C. 2671–2680).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary use of the record is for evaluation by tort claims officers, attorneys in the Office of the Solicitor, Department of the Interior. Disclosures outside the Department of the Interior may be made (1) to the U.S. Department of Justice when related to litigation or anticipated litigation; (2) of information indicating a violation or potential violation of a statute, regulation, rule, order or license, to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license; (3) from the record of an individual in response to an inquiry from a Congressional office made at the request of that individual, (4) to other Federal agencies to effect salary and administrative offsets; (5) to provide addresses obtained from the Internal Revenue Service to debt collection agencies for purposes of locating a debtor to collect or compromise a Federal claim against the debtor, or to consumer reporting agencies to prepare a commercial credit report for use by the Department.

Disclosure to consumer reporting agencies:

Disclosures pursuant to 5 U.S.C. 552a(b)(12): Disclosures may be made to consumer reporting agencies as defined in the Fair Credit Reporting Act (15 U.S.C. 1681a(f)) or the Federal Claims Collection Act of 1966 (31 U.S.C. 3701(a)(3)).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in paper form, in "Tort Claim files."

Retrievability:

By name of claimant.

Safeguards:

Maintained in compliance with provisions of 43 CFR 2.51.

Retention and disposal:

Disposed four years after settlement of claim. Record copies held by Office of the Solicitor, Department of the Interior.

System manager(s) and address:

Chief, Division of Contracting and General Services, U.S. Fish and Wildife Service, Department of the Interior, Washington, D.C. 20240.

Notification procedure:

Inquiries regarding the existence of records should be addressed to the System Manager, with respect to records located in the Washington office, and to regional directors with respect to records located in the office for which each is responsible. A written, signed request stating that the requester seeks information concerning records pertaining to him is required. See 43 CFR 2.60.

Record access procedures:

A request for access shall be addressed to the System Manager, with respect to records located in the Washington office, and to regional directors, with respect to records located in the office for which each is responsible. the request must be in writing and be signed by the requester. The request must meet the content requirements of 43 CFR 2.63.

Contesting record procedures:

A petition for amendment shall be addressed to the System Manager and must meet the content requirements of 43 CFR 2.71.

Record source categories:

Individual submitting claim; investigative reports, including statements from witnesses; medical reports.

Systems exempted from certain provisions of the act:

The Privacy Act does not entitle an individual to access to information compiled in reasonable anticipation of a civil action or proceeding.

INTERIOR/FWS-5

System name:

National Wildlife Refuge Special Use Permits—Interior, FWS-5.

System location:

Regional offices of the Fish and Wildlife Service, and individual national wildlife refuges.

Categories of individuals covered by the system:

Applicants for special use permits and cooperative farm agreements on Service lands.

Categories of records in the system:

Contains the name, address of cooperative/permittees, types of special uses, period of use, and any special conditions.

Authority for maintenance of the system:

The National Wildlife Refuge System Administration Act of 1966 (16 U.S.C. 688dd-ee). See 50 CFR Parts 29 and 32.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary use of the records is identification of personnel having special use permits and cooperative farming agreements on National Wildlife Refuges. Disclosures outside the Department of the Interior may be made (1) to the U.S. Department of Justice when related to litigation or anticipated litigation; (2) of information indicating a violation or potential violation of a statute, regulation, rule, order or license, to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license; (3) from the record of an individual in response to an inquiry from a Congressional office made at the request of that individual, (4) to provide addresses obtained from the Internal Revenue Service to debt collection agencies for purposes of locating a debtor to collect or compromise a Federal claim against the debtor, or to consumer reporting agencies to prepare a commercial credit report for use by the Department.

Disclosure to consumer reporting agencies:

Disclosure pursuant to 5 U.S.C. 552a(b)(12): Disclosures may be made to consumer reporting agencies as defined in the Fair Credit Reporting Act 15 U.S.C. 1681a(f)) or the Federal Claims Collection Act of 1966 (31 U.S.C. 3701(a)(3)).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained on paper in files.

Retrievability:

Indexed by name.

Safeguards:

Records are maintained in accordance with the provisions of 43 CFR 2.51.

Retention and disposal:

Special use permits and cooperative farming agreements are usually maintained not more than one year following the period of use.

System manager(s) and address:

Chief, Division of Refuge Management, U.S. Fish and Wildlife Service, Department of the Interior, Washington, D.C. 20240.

Notification procedure:

Inquiries regarding the existence of records shall be addressed to the System Manager, with respect to records located in the Washington office, and to regional directors with respect to records located in regional or field offices. A written, signed request stating that the requester seeks information concerning records pertaining to him is required. See 43 CFR 2.60.

Record access procedures:

A request for access shall be addressed to the System Manager, with respect to records located in the Washington office, and to regional directors with respect to records located in regional or field offices. The request must be in writing and be signed by the requester. The request must meet the content requirements of 43 CFR 2.63.

Contesting record procedures:

A petition for amendment shall be addressed to the System Manager and must meet the content requirements of 43 CFR 2.71.

Record source categories:

Individual on whom the record is maintained..

INTERIOR/FWS-6

System name: Hunting and Fishing Survey Records—Interior, FWS-6.

System location: Division of Program Plans, Fish and Wildlife Service, U.S. Department of the Interior, Washington, D.C. 20240

Categories of individuals covered by the system: Individuals participating in hunting, fishing and nonconsumptive wildlife activities, and who voluntarily respond to fishing and hunting survey questionnaires.

Categories of records in the system: Survey forms and questionnaires containing information on attitudes, interests, participation in, expenditures, and statistics regarding the use of fish and wildlife resources.

Authority for maintenance of the system: Federal Property and Administrative Services Act of 1949, as amended; the Fish and Wildlife Act of 1956 (16 U.S.C. 741a-742l); the Federal Aid in Wildlife and Fish Restoration Acts of 1937 and 1950, as amended, 16 U.S.C. 777-777k, 669-669i.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The primary use of the records is the development of statistical analyses to assist State and Federal governments in managing wildlife resources. Disclosures outside the Department of the Interior may be made (1) to the U.S. Department of Justice when related to litigation or anticipated litigation; (2) of information indicating a violation or potential violation of a statute, regulation, rule, order, or license, to appropriate Federal, State, local or foreign agencies responsible for investigation or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license; (3) from the record of an individual in response to an inquiry from a Congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Magnetic tape.

Retrievability: Indexed by identification number.

Safeguards: Maintained in accordance with the provisions of 43 CFR 2.51.

Retention and disposal: For each survey that uses this system, the records will be maintained until summary analyses are completed, after which the names and address will be destroyed.

System manager(s) and address: Chief, Division of Program Plans, Fish and Wildlife Service, U.S. Department of the Interior, Washington, D.C. 20240.

Notification procedure: Inquiries regarding the existence of records should be addressed to the System Manager. A written, signed request stating that the requester seeks information concerning records pertaining to him is required. See 43 CFR 2.60.

Record access procedures: A request for access may be addressed to the System Manager. The request must be in writing and be signed by the requester. The request must meet the content requirementsof 43 CFR 2.63.

Contesting record procedures: A petition for amendment should be addressed to the System Manager and must meet the content requirements of 43 CFR 2.71.

Record source categories: Individual on whom the record is maintained.

INTERIOR/FWS-7

System name: Water Development Project and/or Effluent Discharge Permit Application Review—Interior, FWS-7.

System location: (1) Division of Ecological Services, Fish and Wildlife Service, U.S. Department of the Interior, Washington, D.C. 20240. (2) All regional, area, and field offices of the Division of Ecological Services. (See Appendix for addresses.)

Categories of individuals covered by the system: Individuals who apply for permits from other regulatory agencies including the Corps of Engineers, and the Environmental Protection Agency. (The records contained in this system which pertain to indviduals contain principally proprietary information concerning sole proprietorships. Some of the records in the system which pertain to individuals may reflect personal information, however. Only the records reflecting personal information are subject to the Privacy Act. The system also contains records concerning corporations and other business entities. These records are not subject to the Privacy Act.)

Categories of records in the system: Contains some public notices or permit applications from regulatory agencies which give name, address, and description of work that the applicant is requesting authorization to perform. In order to adequately evaluate the proposed project's effect on fish and wildlife resources, additional project information is at times requested and therefore on file. Environmental impact statements and environmental assessments on some proposed projects also are on file.

Authority for maintenance of the system: Fish and Wildlife Coordination Act, as amended (16 U.S.C. 661-666c; 48 Stat. 401).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The primary use of the records is to review and comment on permit applications. Disclosures outside the Department of the Interior may be made (1) to the U.S. Department of Justice when related to litigation or anticipated litigation; (2) of information indicating a violation or potential violation of a statute, regulation, rule, order or license, to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license, (3) from the record of an individual in response to an inquiry from a Congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Maintained on paper in file folders.

Retrievability: Indexed by State, name of applicant, and public notice number.

Safeguards: Maintain records in accordance with provisions of 43 CFR 2.51.

Retention and disposal: Varies in each location but generally held from two to five years and then either sent to Records Center or destroyed.

System manager(s) and address: Chief, Division of Ecological Services, Fish and Wildlife Service, U.S. Department of the Interior, Washington, D.C. 20240.

Notification procedure: Inquiries regarding the existence of records shall be addressed to the System Manager, with respect to records located in the Washington office, and to regional directors, with respect to records located in regional or field offices. A written, signed request stating that the requester seeks information concerning records pertaining to him is required. See 43 CFR 2.60.

Record access procedures: A request for access shall be addressed to the System Manager, with respect to records located in the Washington office, and to regional directors with respect to records located in regional or field offices. The request must be in writing and be signed by the requester. The request must meet the content requirements of 43 CFR 2.63.

Contesting record procedures: A petition for amendment shall be addressed to the System Manager and must meet the content requirements of 43 CFR 2.71.

Record source categories: Regulatory agency from which permit is requested, State, and the individual on whom the record is maintained.

INTERIOR/FWS-8

System name: Fish Disease Inspection Report—Interior, FWS-8.

System location: (1) Division of Fish Hatcheries, Fish and Wildlife Service, U.S. Department of the Interior, Washington, D.C. 20240. (2) Regional offices of Fish and Wildlife Services. (See Appendix for Regional addresses.)

Categories of individuals covered by the system: Commercial trout farmers who request that their fish be inspected for known fish diseases. The majority of the commercial trout farmers are business establishments, however, there may be some private individuals involved. (The records contained in this system which pertain to individuals contain principally proprietary information concerning sole proprietorships. Some of the records in the system which pertain to individuals may reflect personal information, however. Only the records reflecting personal information, however. Only the records reflecting personal information are subject to the Privacy Act. The system also contains records concerning corporations and other business entities. These records are not subject to the Privacy Act.)

Categories of records in the system: Name and address of requester and information concerning disease.

Authority for maintenance of the system: 18 U.S.C. 42-44, 3054, 3112, 62 Stat. 687, 83 Stat. 281, Fish and Wildlife Act of 1956. 16 U.S.C. 742a-742l; Fish and Wildlife Coordination Act, 16 U.S.C. 661-666c.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The primary use of fish disease inspection records maintained in the system is to certify the disease status of populations of fish in the case of transferring, marketing, or distribution control. Disclosures outside the Department of the Interior may be made (1) to do the appropriate agency or agencies, whether Federal, State, local or foreign, charged with the responsibility of investigating or prosecuting a violation or potential violation of a statute, regulation, rule, order or license, whether civil, criminal or regulatory; or charged with enforcing or implementating the statute, rule, regulation, order or license violated or potentially violated; (2) to the U.S. Department of Justice when related to litigation or anticipated litigation; (3) from the record of an individual in response to an inquiry from a Congressional office made at the request of that individual; (4) to Federal, State or local agencies where necessary to obtain information relevant to the hiring or retention of an employee, or the issuance of a security clearance, contract, license, grant or other benefit.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Maintained on Standard Form 3-226.

Retrievability: Indexed by name.

Safeguards: Records maintained in accordance with the provisions of 43 CFR 2.51.

Retention and disposal: Indefinite.

System manager(s) and address: Chief, Division of Fish Hatcheries, Fish and Wildlife Service, U.S. Department of the Interior, Washington, D.C. 20240

Notification procedure: Inquiries regarding the existence of records shall be addressed to the System Manager, with respect to records located in the Washington office, and to regional directors with respect to records located in the office for which each is responsible. A written, signed request stating that the requester seeks information concerning records pertaining to him is required. See 43 CFR 2.60.

Record access procedures: A request for access shall be addressed to the System Manager, with respect to records located in the Washington office, and to regional directors with respect to records located in the office for which each is responsible. The request must be in writing and be signed by the requester. The request must meet the content requirements of 43 CFR 2.63.

Contesting record procedures: A petition for amendment shall be addressed to the System Manager and must meet the content requirements of 43 CFR 2.71.

Record source categories: Individual or entity that requests the inspection.

INTERIOR/FWS-9

System name: Farm Pond Stocking Program—Interior, FWS-9.

System location: Regional offices of the Fish and Wildlife Service and National Fish Hatcheries.

Categories of individuals covered by the system: Applicants for stocking private farm ponds with fish.

Categories of records in the system: Name, address, size of pond, species of fish requested and other information needed to evaluate application.

Authority for maintenance of the system: Ponds are stocked in conjunction with the Agricultural Stabilization and Conservation Programs of the Department of Agriculture. Fish and Wildlife Coordination Act, 16 U.S.C. 661-666c.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The primary use of the records is to insure that the stocking policy is maintained and to keep track of where various species have been stocked. Disclosures outside the Department of the Interior may be made (1) to the U.S. Department of Justice when related to litigation or anticipated litigation; (2) of information indicating a violation or potential violation of a statute, regulation, rule, order or license, to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license; (3) from the record of an individual in response to an inquiry from a Congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: The records are maintained on 3½ x 9 inch cards.

Retrievability: Indexed by name.

Safeguards: Records are maintained in accordance with the provisions of 43 CFR 2.51.

Retention and disposal: Destroyed after ten years.

System manager(s) and address: Regional directors (See Appendix for addresses).

Notification procedure: Inquiries regarding the existence of records shall be addressed to the System Managers, with respect to records located in regional or field offices. A written, signed request stating that the requester seeks information concerning records pertaining to him is required. See 43 CFR 2.60.

Record access procedures: A request for access shall be addressed to the System Manager, with respect to records located in regional or field offices for which each is responsible. The request must be in writing and be signed by the requester. The request must meet the content requirements of 43 CFR 2.63.

Contesting record procedures: A petition for amendment shall be addressed to the System Manager and must meet the content requirements of 43 CFR 2.71.

Record source categories: Individual on whom the record is maintained.

INTERIOR/FWS-10

System name:

National Fish Hatchery Special Use Permits—Interior, FWS-10.

System location:

Regional offices of Fish and Wildlife Service and National Fish Hatcheries where records are maintained.

Categories of individuals covered by the system:

Individuals who have made application for special use permits on National Fish Hatcheries.

Categories of records in the system:

Contains the name and address of permittees, types of special uses, period of use, and any special conditions.

Authority for maintenance of the system:

16 U.S.C. 460k-3; 16 U.S.C. 664. See 50 CFR 70.71.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary use of the records is to limit and control the use of the property at the National Fish Hatcheries. Disclosures outside the Department of the Interior may be made (1) to the U.S. Department of Justice when related to litigation or anticipated litigation; (2) of information indicating a violation or potential violation of a statute, regulation, rule, order or license, to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license; (3) from the record of an individual in response to an inquiry from a Congressional office made at the request of that individual, (4) to provide addresses obtained from the Internal Revenue Service to debt collection agencies for purposes of locating a debtor to collect or compromise a Federal claim against the debtor, or to consumer reporting agencies to prepare a commercial credit report for use by the Department.

Disclosure to consumer reporting agencies:

Disclosures pursuant to 5 U.S.C 552a(b)(12): Disclosures may be made to consumer reporting agencies as defined in the Fair Credit Reporting Act (15 U.S.C. 1681a(f)) or the Federal Claims Collection Act of 1966 (31 U.S.C. 3701(a)(3)).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained on paper in files.

Retrievability:

Indexed by name.

Safeguards:

Records are maintained in accordance with the provisions of 43 CFR 2.51.

Retention and disposal:

Destroyed after one year following period of use.

System manager(s) and address:

Chief, Division of Hatcheries and Fishery Resource Management Fish and Wildlife Service, U.S. Department of the Interior, Washington, D.C. 20240.

Notification procedure:

Inquiries regarding the existence of records shall be addressed to the System Manager, with respect to records located in the Washington office, and to regional directors with respect to records located in the office or facility for which each is responsible. A written, signed request stating that the requester seeks information concerning records pertaining to him is required. See 43 CFR 2.60.

Record access procedures:

A request for access shall be addressed to the System Manager, with respect to records located in the Washington office, and to regional directors with respect to records located in the office or facility for which each is responsible. The request must be in writing and be signed by the requester. The request must meet the content requirements of 43 CFR 2.63.

Contesting record procedures:

A petition for amendment shall be addressed to the System Manager and must meet the content requirements of 43 CFR 2.71.

Record source categories:

Individual on whom the record is maintained.

INTERIOR/FWS-11

System name:

Real Property Records—Interior, FWS-11.

System location:

Regional Offices, U.S. Fish and Wildlife Service (see appendix for addresses).

Categories of individuals covered by the system:

Landowners, tenants and permittees.

Categories of records in the system:

Records consist of individual files, i.e., title file; case file; and correspondence file. Along with this material is the corresponding tract appraisal report. The title file contains title evidence, original instrument of conveyance, copy of acquisition contract, title curative and closing data, title opinions, survey description and plat, payment vouchers, and appraisal summary. The case file contains a copy of the acquisition contract, copy of instrument of conveyance, closing data, survey description and plat, payment vouchers and appraisal summary. The correspondence file contains all general correspondence, negotiator's contacts and all material in connection with relocation assistance permits or outgrants when appropriate. The appraisal report consists of the property description, local market data including comparable sales information, location maps and an analysis of value.

Authority for maintenance of the system:

Land acquisition and disposal authorities are as follows: Migratory Bird Conservation Act, as amended (16 U.S.C. 715 et seq.); Migratory Bird Hunting Stamp Act, as amended (16 U.S.C. 718 et seq.); Fish and Wildlife Act of 1956, as amended (16 U.S.C. 742a et seq.); Fish and Wildlife Coordination Act, as amended (16 U.S.C. 661–666c); Recreational Use of Conservation Areas Act, as amended (16 U.S.C. 460k-460k–4); Colorado River Storage Project Act, as amended (43 U.S.C. 620g); Endangered Species Act of 1973 (16 U.S.C. 1531–1543); National Wildlife Refuge System Administration Act, as amended (16 U.S.C. 668dd-668ee); Act of May 19, 1948 (Pub.L. 80–547), as amended (16 U.S.C. 667b–667d); Federal Property and Administrative Services Act of 1949, as amended (41 U.S.C. 471 et seq.); and the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (40 U.S.C. 4601 et seq.).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary uses of the records are (a) transfer of pertinent documents to authorized title companies or abstractors to obtain title evidence for closings; (b) transfer of pertinent documents to Regional Solicitors and the U.S. Department of Justice for title opinions and condemnation purposes; (c) for use of appraisal information in negotiations; (d) for permit and outgrant purposes; (e) reporting lands as excess to the General Services Administration for transfer or disposal. Disclosures outside the Department of the Interior may be made (1) to the Department of Justice when related to litigation or anticipated litigation; (2) of information indicating a violation or potential violation of a statute, regulation, rule, order or license, to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license; (3) to a Member of Congress from the record of an individual in response to an inquiry made at the request of that individual; (4) to title companies or abstractors; (5) to the General Services Administration; (6) to provide addresses obtained from the Internal Revenue Service to debt collection agencies for purposes of locating a debtor to collect or compromise a Federal claim against the debtor, or to consumer reporting agencies to prepare a commercial credit report for use by the Department.

Disclosure to consumer reporting agencies:

Disclosures pursuant to 5 U.S.C. 552a(b)(12): Disclosures may be made to consumer reporting agencies as defined in the Fair Credit Reporting Act (15 U.S.C. 1681a(f)) or the Federal Claims Collection Act of 1966 (31 U.S.C. 3701(a)(3)).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Title File-in legal size binders. Case and Correspondence Files-in letter size file folders.

Retrievability:

By name of individual.

Safeguards:

Maintained with safeguards in accordance with 43 CFR 2.51.

Retention and disposal:

Title File-stored as permanent records in GSA records center. Case and Correspondence Files-maintained until case is closed, then retired to GSA records center and destroyed after two years.

System manager(s) and address:

Chief, Division of Realty, Fish and Wildlife Service, U.S. Department of the Interior, Washington, D.C. 20240.

Notification procedure:

Inquiries regarding the existence of records shall be addressed to the System Manager, with respect to records located in the Washington office, and to regional directors, with respect to records located in the offices for which each is responsible. A written, signed request stating that the requester seeks information concerning records pertaining to him is required. See 43 CFR 2.60.

Record access procedures:

A request for access shall be addressed to the System Manager with respect to records located in the Washington office, and to regional directors, with respect to records located in the office for which each is responsible. The request must be in writing and be signed by the requester. The request must meet the content requirements of 43 CFR 2.63.

Contesting record procedures:

A petition for amendment shall be addressed to the System Manager and must meet the content requirements of 43 CFR 2.71.

Record source categories:

Public records, other governmental contracts, community contacts, and named individuals..

INTERIOR/FWS-13

System name: North American Breeding Bird Survey—Interior, FWS-13.

System location: Patuxent Wildlife Research Center, Laurel, Maryland.

Categories of individuals covered by the system: Volunteers from general public (about 1,500 people).

Categories of records in the system: Birds observed along roadsides at predetermined locations.

Authority for maintenance of the system: Fish and Wildlife Act of 1956 (16 U.S.C. 742a–7421; 70 Stat. 1119).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The primary use of the records is the annual monitoring of migratory bird populations to determine trends in their abundance. Disclosures outside the Department of the Interior may be made (1) to the U.S. Department of Justice when related to litigation or anticipated litigation; (2) of information indicating a violation or potential violation of a statute, regulation, rule, order or license, to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation order or license; (3) from the record of an individual in response to an inquiry from a Congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Magnetic tapes or disks and 8 x 10 1/2 inch original data sheets.

Retrievability: By computer or hand sort.

Safeguards: Records maintained in accordance with the provisions of 43 CFR 2.51.

Retention and disposal: None have been disposed of in the nine years of the survey. They are a historic record of bird abundance.

System manager(s) and address: Director, Migratory Bird and Habitat Research Laboratory, Patuxent Wildlife Research Center, Laurel Maryland.

Notification procedure: Inquiries regarding the existence of records should be addressed to the System Manager. A written, signed request stating that the requester seeks information concerning records pertaining to him is required. See 43 CFR 2.60.

Record access procedures: A request for access may be addressed to the System Manager. The request must be in writing and be signed by the requester. The request must meet the content requirements of 43 CFR 2.63.

Contesting record procedures: A petition for amendment should be addressed to the System Manager and must meet the content requirements of 43 CFR 2.71.

Record source categories: Individual on whom the record is maintained.

INTERIOR/FWS-14

System name: Great Lakes Commercial Fisheries Catch Records—Interior, FWS-14.

System location: Great Lakes Fishery Laboratory, Ann Arbor, Michigan.

Categories of individuals covered by the system: Commercial fishermen operating on any of the Great Lakes. (The records contained in this system which pertain to individuals contain principally proprietary information concerning sole proprietorships. Some of the records in the system which pertain to individuals may reflect personal information, however. Only the records reflecting personal information are subject to the Privacy Act. The system also contains records concerning corporations and other business entities. These records are not subject to the Privacy Act.)

Categories of records in the system: Complete record of daily fishing operations including time, location, vessel name, gear used names of fishermen, and weights and values by weight of fish of each species.

Authority for maintenance of the system: Fish and Wildlife Act of 1956 (16 U.S.C. 742a-7421; 70 Stat. 1119).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The primary uses of the records are (a) to determine population levels of species of fish of commercial, recreational and esthetic interest and (b) to determine effects of man's activities on these species. Disclosures outside the Department of the Interior may be made (1) to the National Marine Fisheries Service, U S. Department of Commerce, for economic evaluations of Great Lakes commercial fisheries and for publication in its Standard Statistical Digests and related media as provided in a cooperative agreement, (2) to the Departments of Natural Resources or Conservation of the States of Illinois, Indiana, Michigan, Minnesota, New York, Ohio, Pennsylvania and Wisconsin for resource assessment, effective fishery management, economic and social considerations, regulatory purposes, and for ongoing biological research, (3) to the U.S. Department of Justice when related to litigation or anticipated litigation, (4) of information indicating a violation or potential violation of a statute, regulation, rule, order or license, to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license, and (5) from the record of an individual in response to an inquiry from a Congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Manual and Computer: Records kept in storage cabinets, 11 x 17 inch questionnaires, 11 x 14 inch computer printouts, punched cards and magnetic tape.

Safeguards: Basic record kept as long as required to extract impersonal data; records are accessed at various times to obtain data for new analyses. A limited number may be retained (for up to five years) at a GSA Records Center.

System manager(s) and address: Director, Great Lakes Fisheries Laboratory.

Notification procedure: Inquiries regarding the existence of records should be addressed to the System Manager. A written, signed request stating that the requester seeks information concerning records pertaining to him is required. See 43 CFR 2.60.

Record access procedures: A request for access may be addressed to the System Manager. The request must be in writing and be signed by the requester. The request must meet the content requirements of 43 CFR 2.63.

Contesting record procedures: A petition for amendment should be addressed to the System Manager and must meet the content requirements of 43 CFR 2.71

Record source categories: Individual on whom the record is maintained.

INTERIOR/FWS-17

System name: Diagnostic-Extension Service Records—Interior, FWS-17

System location: (1) Eastern Fish Disease Laboratory, R.D. 1, Box 17, Kearneysville, West Virginia 25430. (2) Fish Farming Experimental Station, P.O Box 860, Stuttgart, Arkansas 72160. (3) National Fish and Wildlife Health Laboratory, University of Wisconsin, Department of Veterinary Science, 1655 Linden Drive, Madison, Wisconsin 56703. (4) Western Fish Disease Laboratory, Bldg. 204, Naval Support Activity, Seattle, Washington 98115.

Categories of individuals covered by the system: Federal, State employees involved in fish and wildlife production and fishery wildlife management, private fish farmers, fish hobbyists.

Categories of records in the system: Results of diagnostic examinations, related information and recommendations.

Authority for maintenance of the system: Fish and Wildlife Act of 1956 (16 U.S.C. 742a-7421; 70 Stat. 1119), Fish and Wildlife Coordination Act (16 U.S.C. 661-666c).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The primary uses of the records are (a) internal use for identifying regional and national fish and wildlife disease patterns, occurrence and importance (b) as an aid in developing research priorities and (c) for comparison of pathological agents, disease pathology. Disclosures outside the Department of the Interior may be made (1) to the U.S. Department of Justice when related to litigation or anticipated litigation; (2) of information indicating a violation or potential violation of a statute, regulation, rule, order or license, to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license; (3) from the record of an individual in response to an inquiry from a Congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Bound books, forms in file folders.

Retrievability: By accession number.

Safeguards: As prescribed in 43 CFR 2.51.

Retention and disposal: Indefinite.

System manager(s) and address: Appropriate laboratory Director.

Notification procedure: Inquiries regarding the existence of records should be addressed to the System Manager. A written, signed request stating that the requester seeks information concerning records pertaining to him is required. See 43 CFR 2.60.

Record access procedures: A request for access may be addressed to the System Manager. The request must be in writing and be signed by the requester. The request must meet the content requirements of 43 CFR 2.63.

Contesting record procedures: A petition for amendment should be addressed to the System Manager and must meet the content requirements of 43 CFR 2.71.

Record source categories: Individuals, companies, or their representatives on whom the records are maintained; Federal and State employees.

INTERIOR/FWS-19

System name:

Endangered Species Licensee System—Interior, FWS-19.

System location:

(1) Division of Law Enforcement, U.S. Fish and Wildlife Service, Washington, D.C. 20240;

(2) Regional Offices of the Fish and Wildlife Service (See Appendix for addresses).

Categories of individuals covered by the system:

Individuals who request a license to import or export fish and/or wildlife or products thereof. (The records contained in this system which pertain to individuals contain principally proprietary information concerning sole proprietorships. Some of the records in the system which pertain to individuals may reflect personal information, however. Only the records reflecting personal information are subject to the Privacy Act. The system also contains records concerning corporations and other business entities. These records are not subject to the Privacy Act.)

Categories of records in the system:

Contains name, address, date of birth, height, weight, color of hair and eyes, business phone number, occupation and social security number of individual requesting license. Businesses are identified by type, name and title and phone number of principal officer and State of incorporation, if applicable.

Authority for maintenance of the system:

Endangered Species Act of 1976 (16 U.S.C. 1538(d); 87 Stat. 884).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary use of the records is to identify licensees authorized to import or export fish and/or wildlife or products thereof. Disclosures outside the Department of the Interior may be made (1) to the U.S. Department of Justice when related to litigation or anticipated litigation; (2) of information indicating a violation or potential violation of a statute, regulation, rule, order or license, to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license; (3) publication in the Federal Register, as required by law. (4) to provide addresses obtained from the Internal Revenue Service to debt collection agencies for purposes of locating a debtor to collect or compromise a Federal claim against the debtor, or to consumer reporting agencies to prepare a commercial credit report for use by the Department.

Disclosure to consumer reporting agencies:

Disclosures pursuant to 5 U.S.C. 552a(b)(12): Disclosures may be made to consumer reporting agencies as defined in the Fair Credit Reporting Act (15 U.S.C. 1681a(f)) or the Federal Claims Collection Act of 1966 (31 U.S.C. 3701(a)(3)).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in folders, and on computer media or printouts.

Retrievability:

Indexed by name.

Safeguards:

Maintained in segregated area secured by a locking device in accordance with 43 CFR 2.51.

Retention and disposal:

Indefinite.

System manager(s) and address:

Chief, Division of Law Enforcement, U.S. Fish and Wildlife Service, Washington, D.C. 20240.

Systems exempted from certain provisions of the act:

Under the specific exemption authority provided by 5 U.S.C. 552a(k)(2), the Department of the Interior has adopted a regulation, 43 CFR 2.79(b) which exempts this System from the provisions of 5 U.S.C. 522a(c)(3) (d), (e)(1), (e)(4) (G), (H) and (I) and (f) and the portions of 43 CFR Part 2, Subpart D which implement these provisions. The reasons for adoption of this regulation are set out at 40 FR 50432 (October 29, 1975).

INTERIOR/FWS–20

System name:

Investigative Case File System-Interior, FWS–20.

System location:

(1) Division of Law Enforcement, U.S. Fish and Wildlife Service, Washington, D.C. 20240;

(2) Regional Offices of the Fish and Wildlife Service (See Appendix for addresses).

Categories of individuals covered by the system:

Subjects of investigation relative to violation of fish and wildlife laws.

Categories of records in the system:

Contains name and address, place and date of birth plus other available data identifying the subjects of investigation in violation of the fish and wildlife laws as well as other information incident to these investigations all of which carry criminal sanctions.

Authority for maintenance of the system:

Assault Act (18 U.S.C. 111), Bald Eagle Act (16 U.S.C. 668–668d), Black Bass Act (16 U.S.C. 851–856), Lacey Act (18 U.S.C. 42–44), National Wildlife Refuge System Administration Act (16 U.S.C. 668dd–668ee), Migratory Bird Hunting Stamp Act (16 U.S.C. 718–718h), Migratory Bird Treaty Act (16 U.S.C. 703–711), Endangered Species Act (16 U.S.C. 1531–1543), Marine Mammal Act (16 U.S.C. 1361–1407), Upper Mississippi Refuge Act (16 U.S.C. 721–731), Bear River Refuge Act (16 U.S.C. 690), Fish and Wildlife Recreation Act (16 U.S.C. 460k–460k–4), Airborne Hunting Act (16 U.S.C. 742j), and Tariff Classification Act (19 U.S.C. 1527).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary use of the records is to include all investigative and enforcement information reported to and investigated by the Division of Law Enforcement, U.S. Fish and Wildlife Service. Disclosures outside the Department of the Interior may be made:

(1) To the U.S. Department of Justice when related to litigation or anticipated litigation, (2) Of information indicating a violation or potential violation of a statute, regulation, rule, order or license to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulations, order or license, (3) to provide addresses obtained from the Internal Revenue Service to debt collection agencies for purposes of locating a debtor to collect or compromise a Federal claim against the debtor, or to consumer reporting agencies to prepare a commercial credit report for use by the Department.

Disclosure to consumer reporting agencies:

Disclosures pursuant to 5 U.S.C. 552a(b)(12): Disclosures may be made to consumer reporting agencies as defined in the Fair Credit Reporting Act (15 U.S.C. 1681a(f)) or the Federal Claims Collection Act of 1966 (31 U.S.C. 3701(a)(3))).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders and on computer media or printouts.

Retrievability:

Indexed by name.

Safeguards:

Maintained in segregated area secured by a locking device in accordance with 43 CFR 2.51.

Retention and disposal:

Indefinite.

System manager(s) and address:

Chief, Division of Law Enforcement, U.S. Fish and Wildlife Service, Washington, D.C. 20240.

Systems exempted from certain provisions of the act:

Under the general exemption authority provided by 5 U.S.C. 552a(j)(2), Department of the Interior has adopted a regulation, 43 CFR 2.79(a), which exempts the system from all of the provisions of 5 U.S.C. 552a and the regulations in 43 CFR, Part 2, Subpart D, except subsections (b), (c)(1) and (2), (e)(4)(A) through (F), (e)(6), (7), (9), (10), (11) and (i) of 5 U.S.C. 552a and the portions of the regulations in 43 CFR, Part 2, Subpart D implementing these subsections. The reasons for adoption of this regulation are set out at 40 FR 37217 (August 26, 1975). Under the specific exemption authority provided by 5 U.S.C. 552a(k), the Department of the Interior has adopted a regulation, 43 CFR 2.79(b), which exempts this system from the provisions of 5 U.S.C. 552a(c)(3), (d), (e)(1), (e)(4) (G), (H), and (I) and (f) and the portions of 43 CFR, Part 2, Subpart D which implement these provisions. The reason for adoption of this regulation are set out at 40 FR 50432 (October 29, 1975).

INTERIOR/FWS–21

System name:

Permits System—Interior, FWS–21.

System location:

(1) Division of Law Enforcement, U.S. Fish and Wildlife Service, Department of the Interior, Washington, D.C. 20240.

(2) Regional Offices of the Fish and Wildlife Service (See Appendix for addresses).

(3) Federal Wildlife Permit Office, U.S. Fish and Wildlife Service, Department of the Interior, Washington, D.C. 20240.

Categories of individuals covered by the system:

Applicants for permits to conduct certain activities in areas of fish and wildlife. (The records contained in this system which pertain to individuals contain principally proprietary information concerning sole proprietorships. Some of the records in the system which pertain to individuals may reflect personal information, however. Only the records reflecting personnal information are subject to the Privacy Act. The system contains records concerning corporations and other business entities. These records are not subject to the Privacy Act.)

Categories of records in the system:

Contains the name, address, date of birth, height, weight, color of hair and eyes, business phone number, occupation and social security number of persons applying for permit. Business agencies and institutions are identified by type, name, title and phone number of principal officer and State of incorporation, if applicable. Contains information on location of the activity and a briefing of the type of the proposed activity. May also include the qualifications, education background and experience of the applicant.

Authority for maintenance of the system:

16 U.S.C. 668a, 16 U.S.C. 1539, 16 U.S.C. 704–711, 16 U.S.C. 1371, 18 U.S.C. 42–44, and 19 U.S.C. 1527.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary use of the records is to identify holders of permits which authorize otherwise illegal activity having to do with fish and/or wildlife. Disclosures outside the Department of the Interior may be made (1) to the U.S. Department of Justice when related to litigation or anticipated litigation; (2) of information indicating a violation or potential violation of a statute, regulation, rule, order or license, to appropriate Federal, State, local or foreign agencies, responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license; (3) publication in the *Federal Register* , as required by law; (4) To provide addresses obtained from the Internal Revenue Service to debt collection agencies for purposes of locating a debtor to collect or compromise a Federal claim against the debtor, or to consumer reporting agencies to prepare a commercial credit report for use by the Department.

Disclosure to consumer reporting agencies:

Disclosures pursuant to 5 U.S.C. 552a(b)(12): Disclosures may be made to consumer reporting agencies as defined in the Fair Credit Reporting Act 15 U.S.C. 1681a(f)) or the Federal Claims Collection Act of 1966 (31 U.S.C. 3701(a)(3)).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders, and on computer media or printouts.

Retrievability:

Indexed by name.

Safeguards:

Maintained in segregated area secured by a locking device in accordance with 43 CFR 2.51.

Retention and disposal:

Indefinite.

System manager(s) and address:

Chief, Division of Law Enforcement, or Chief, Wildlife Permit Office, U.S. Fish and Wildlife Service, Washington, D.C. 20240.

Systems exempted from certain provisions of the act:

Under the specific exemption authority provided by 5 U.S.C. 552a(k)(2), the Department of the Interior has adopted a regulation, 43 CFR 2.79(b), which exempts the system from the provisions of 5 U.S.C. 552a(c)(3), (d), (e)(1), (e)(4)(G), (H), and (I) and (f) and the portions of 43 CFR, Part 2, Subpart D which implement these provisions. The reasons for adoption of this regulation are set out at 40 FR 37217 (August 26, 1975).

INTERIOR/FWS-22

System name: U.S. Deputy Game Warden—Interior, FWS-22.

System location: Regional offices of the Fish and Wildlife Service. (See Appendix for addresses).

Categories of individuals covered by the system: Applicants for U.S. Deputy Game Warden Commissions.

Categories of records in the system: Contains the name, address, date and place of birth, social security number, height, weight, color of hair and eyes of applicants for U.S. Deputy Game Warden Commissions.

Authority for maintenance of the system: Fish and Wildlife Act of 1956 (16 U.S.C. 742a–742l; 70 Stat. 1119).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The primary uses of the records are to indentify holders of and applicants for U.S. Deputy Game Warden commissions. Disclosures outside the Department of the Interior may be made (1) to the U.S. Department of Justice when related to litigation or anticipated litigation; (2) of information indicating a violation or potential violation of a statute, regulation, rule, order or license, to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license; (3) from the record of an individual in response to an inquiry from a Congressional office made at the request of that individual; (4) to a Federal agency which has requested information relevant or necessary to its hiring or retention of an employee, or issuance of a security clearance, license, contract, grant or other benefit; and, (5) to Federal, State or local agencies where necessary to obtain information relevant to the hiring or retention of an employee, or the issuance of a security clearance, contract, license, grant or other benefit.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Maintained in file folders.

Retrievability: Indexed by name.

Safeguards: Maintained in segregated area secured by a locking device in accordance with 43 CFR 2.51.

Retention and disposal: Destroyed after commission expires.

System manager(s) and address: Chief, Division of Personnel Management and Organization, U.S. Fish and Wildlife Service, Room 3455, Main Interior Building, 18th and C Streets, NW, Washington, D.C. 20240.

Notification procedure: Inquiries regarding the existence of records shall be addressed to the System Manager, with respect to records located in the Washington office, and to regional directors, with respect to records located in the office for which each is responsible. A written signed request stating that the requester seeks information concerning records pertaining to him is required. See 43 CFR 2.60.

Record access procedures: A request for access shall be addresed to the System Manager, with respect to records located in the Washington office, and to regional directors, with respect to records located in the office for which each is responsible. The request must be in writing and be signed by the requester. The request must meet the content requirements of 43 CFR 2.63.

Contesting record procedures: A petition for amendment shall be addressed to the System Manager and must meet the content requirements of 43 CFR 2.71.

Record source categories: Individuals on whom the file is being maintained.

INTERIOR/FWS-23

System name: Motor Vehicle Permit Log—Interior, FWS-23.

System location: (1) Division of Personnel Management and Organization, U.S. Fish and Wildlife Service, Washington, D.C. 20240. (2) Regional offices (See Appendix for Regional addresses).

Categories of individuals covered by the system: Employees who require Government Vehicle Operator Permit.

Categories of records in the system: Log reflecting employee name, driver's license number, duty station location, date of issue of permit and date permit expires.

Authority for maintenance of the system: Federal Property and Administrative Service Act of 1949, (40 U.S.C. 471), as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The primary use of the records is a ready reference of names of holders of motor vehicle permits and date when permit must be renewed. Disclosures outside the Department of the Interior may be made (1) to the U.S. Department of Justice when related to litigation or anticipated litigation; (2) of information indicating a violation or potential violation of a statute, regulation, rule, order or license, to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license; (3) from the record of an individual in response to an inquiry from a Congressional office made at the request of that individual; (4) to a Federal agency which has requested information relevant or necessary to its hiring or retention of an employee, or issuance of a security clearance, license, contract, grant or other benefit; and, (5) to Federal, State or local agencies where necessary to obtain information relevant to the hiring or retention of an employee, or the issuance of a security clearance, contract, license, grant or other benefit.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Maintained as simple log in loose-leaf binder.

Retrievability: Maintained by date and in alphabetical order.

Safeguards: Log maintained as information system for personnel staff with normal non-security confidential procedures meeting requirements of 43 CFR 2.51.

Retention and disposal: Maintenance of a log on a continuing basis consistent with need of the individual to have a current permit.

System manager(s) and address: Chief, Division of Personnel Management and Organization, U.S. Fish and Wildlife Service, Room 3455, Main Interior Building, 18th and C Streets, NW., Washington, D.C., 20240.

Notification procedure: Inquiries regarding the existence of records shall be addressed to the System Manager, with respect to records located in the Washington office, and to regional directors, with respect to records located in the office for which each is responsible. A written, signed request stating that the requester seeks information concerning records pertaining to him is required See 43 CFR 2.60.

Record access procedures: A request for access shall be addressed to the System Manager, with respect to records located in the Washington office, and to Regional directors, with respect to records located in the office for which each is responsible. The request must be in writing and be signed by the requester. The request must meet the content requirements of 43 CFR 2.63.

Contesting record procedures: A petition for amendment shall be addressed to the System Manager and must meet the content requirements of 43 CFR 2.71.

Record source categories: Individual on whom record is maintained.

INTERIOR/FWS-25

System name:

Contract and Procurement Records—Interior, FWS-25.

System location:

(1) Division of Contracting and General Services, Fish and Wildlife Service, U.S. Department of the Interior, Washington, D.C. 20240. (2) Regional offices of Fish and Wildlife Service. (See Appendix for regional addresses).

Categories of individuals covered by the system:

Individuals submitting unsolicited proposals or replying to solicitations for bids. (The records contained in this system which pertain to individuals contain principally proprietary information concerning sole proprietorships. Some of the records in the system which pertain to individuals may reflect personal information, however. Only the records reflecting personal information are subject to the Privacy Act. The system also contains records concerning corporations and other business entities. These records are not subject to the Privacy Act.)

Categories of records in the system:

Contains information regarding the individual which would be required to evaluate contract proposals, i.e., name, age, education, experience, references, and possible other pertinent information.

Authority for maintenance of the system:

Federal Property and Administrative Act of 1949, as amended 40 U.S.C. 741-745; Fish and Wildlife Act of 1956, 16 U.S.C. 742a-7421; 70 Stat. 1119.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary use of the records is evaluation by contracting officers and technical representatives of operating (requesting) Division or Office placing name and address on bidders list for use in sending out future solicitations. Disclosures outside the Department of the Interior may be made (1) to the U.S. Department of Justice when related to litigation or anticipated litigation; (2) of information indicating a violation or potential violation of a statute, regulation, rule, order or license, to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license; (3) from the record of an individual in response to an inquiry from a Congressional Office made at the request of that individual, (4) to provide addresses obtained from the Internal Revenue Service to debt collection agencies for purposes of locating a debtor to collect or compromise a Federal claim against the debtor, or to consumer reporting agencies to prepare a commercial credit report for use by the Department.

Disclosure to consumer reporting agencies:

Disclosures pursuant to 5 U.S.C. 552a(b)(12): Disclosures may be made to consumer reporting agencies as defined in the Fair Credit Reporting Act (15 U.S.C. 1681a(f)) or the Federal Claims Collection Act of 1966 (31 U.S.C. 3701(a)(3)).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained on paper form, in either the "Bidders Mailing List" file or a "Contract Folder".

Retrievability:

By name and contract number.

Safeguards:

Records maintained in compliance with provisions of 43 CFR 2.51.

Retention and disposal:

Bidders Mailing List—until individual requests withdrawal or solicitation returned unanswered. Destroyed immediately. Contract Files: Four years after closing of file.

System manager(s) and address:

Chief, Division of Contracting and General Services, Fish and Wildlife Service, U.S. Department of the Interior, Washington, D.C. 20240, and regional directors (See Appendix for regional addresses).

Notification procedure:

Inquiries regarding the existence of records should be addressed to the System Manager, with respect to records located in the Washington Office, and to regional directors, with respect to records located in the office for which each is responsible. A written, signed request stating that the requester seeks information concerning records pertaining to him is required. See 43 CFR 2.60.

Record access procedures:

A request for access may be addressed to the System Manager, with respect to records located in the Washington, Office and to regional directors, with respect to records located in the office for which each is responsible. The request must be in writing and be signed by the requester. The request must meet the content requirements of 43 CFR 2.63.

Contesting record procedures:

A petition for amendment should be addressed to the System Manager and must meet the content requirements of 43 CFR 2.71.

Record source categories:

Individual submitting proposals for consideration.

INTERIOR/FWS-26

System name: Migratory Bird Population and Harvest Systems—Interior, FWS-26.

System location: (1) Office of Migratory Bird Management, U.S. Fish and Wildlife Service, U.S. Department of the Interior, Patuxent Wildlife Research Center, Laurel, Maryland 20811. (2) Minor portions of the files comprising the system are found in the Washington Office, Regional Offices, and field offices of the U.S. Fish and Wildlife Service; offices of State conservation agencies, and other Federal and State agencies; universities; national, regional and local conservation organizations; and individuals who contribute to the collection of population and harvest information which is eventually transferred to the Office of Migratory Bird Management, Laurel, Maryland, for storage.

Categories of individuals covered by the system: The system contains information on: (1) Persons applying for bird banding permits. (2) Persons issued bird banding permits. (3) Persons reporting upon banded birds encountered in the wild. (4) Persons participating in migratory bird population surveys. (5) Persons submitting harvest data for migratory game birds taken under hunting regulations. (6) Unidentified persons observed in the field hunting migratory game birds.

Categories of records in the system: Application forms for bird banding permits, including name, address, and related information to evaluate the application, records and reports on the harvest of migratory birds, including types of birds, location, related data.

Authority for maintenance of the system: Migratory Bird Treaty Act of July 3, 1918 (16 U.S.C. 703-711; 40 Stat. 755).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The primary uses of the records maintained in the system are (a) data are routinely used by biologists and/or law enforcement offices of the U.S. Fish and Wildlife Service, Canadian Wildlife Service, Mexican Department Fauna Silvestre, and State and Provincial Conservation Agencies to further understanding, protection, management and utilization of the North American migratory bird resource; (b) portions of the data files including name and address listings are used for research purposes and for guidance, planning and coordination of research on migratory birds; (c) reports of summarized and analyzed data originating from banding and surveys are analyzed and published by the U.S. Fish and Wildlife Service and other cooperating agencies: Studies containing analyzed migratory bird population and harvest data also appear in the technical literature involving the records or the subject matter of the records. Disclosures outside the Department of the Interior may be made (1) to the U.S. Department of Justice when related to litigation or anticipated litigation; (2) of information that may aid investigations or indicating a violation or potential violation of a statute, regulation, rule, order or license, to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license; (3) from the record of an individual in response to an inquiry from a Congressional office made at the request of that individual; (4) to a Federal agency which has requested information relevant or necessary to its hiring or retention of an employee, or issuance of a security clearance, license, contract, grant or other benefit; (5) to Federal, State or local agencies where necessary to obtain information relevant to the hiring or retention of an employee, or the issuance of a security clearance, contract, license, grant or other benefit; (6) to the Canadian Wildlife Service, Environmental Management Service, Department of the Environment, Ottawa, Ontario, Canada K1A OH3 and Mexican Direccion General Fauna Silvestre, Aquiles Serdan 28-70, Pisa, Mexico 3, DF, Mexico, as part of cooperative agreements; (7) routinely or upon request all or portions of the files, including name and address listings, are supplied to cooperators and researchers in other Federal, State, and local agencies; members of national, regional or local conservation organizations, university researchers and private individuals who establish a bona fide need for the information; (8) to contributors of band recovery information related to the bander and banding of the banded bird they reported, likewise, contributors of survey and harvest information are sometimes supplied with reports of populations and harvest surveys to which they had contributed. (Routine uses (1) and (2) apply only to those individuals in nos. (1) and (2) of the above paragraph 'Categories of individuals covered by the system,' and not to individuals who supply voluntary information to aid the Service in migratory bird management and research.)

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records comprising the various files of the system are maintained on paper forms and correspondence, punched and/or interpreted cards, magnetic computer tape, computer printouts or listings, magnetic disc packs, microfilm and microfiche cards. Summarized information is found in unpublished and published reports.

Retrievability: The files comprising the system are indexed in various way depending upon the nature and use of the record. Files may be arranged by type of survey, species of migratory birds, cooperators, time periods, geographical areas, and biological characteristics of the banded, observed, or harvested bird. Most of the files are oriented to the migratory bird resource and its utilization; the identity of the individual person is retained only for edit, banding authority compliance; response, and acknowledgment purposes. In the banding files the identity of the bander is permanently obtainable through interpretation of the permit number. Inasmuch as banding and other surveys of migratory birds and their harvest are based upon statistical sampling of a larger universe, the identity of individuals is usually deleted early in the analysis.

Safeguards: Records comprising the system are stored within the fenced and locked premises of the Patuxent Wildlife Research Center, Laurel, Maryland. The records themselves are stored within a locked building and the master computer files are retained in a locked vault. Only authorized individuals have access to these records. Magnetic tape files containing records of banded birds are stored for computer processing at the Washington Computer Center of the Department of the Interior. Current versions of banding tape files are stored in a locked, fire and explosion proof vault. Backup versions are stored in a library that must be entered through two locked doors. All requests for data, beyond those routinely supplied to cooperators, are reviewed by the Assistant Chief, Office of Migratory Bird Management, Laurel, Maryland. Care is taken to insure that the requesting individual has a legitimate need for the information and that the information which is supplied is limited to his specific needs. Furthermore, care is taken to protect the proprietary rights of researchers to first use of data arising from their personal banding efforts; persons requesting data generated by other researchers are instructed to secure clearance for use of the data with the original bander. Policies regarding the release and use of bird banding data are developed in consultation with the Canadian Wildlife Service and other cooperators. Means for developing improved safeguards for the computer record files at Laurel, and policies regarding release of data from the files maintained there is presently under study.

Retention and disposal: Some records are maintained only for a few days until the data can be transferred to other media, such as computer tapes or microfilm, for permanent storage. Because of the great scientific value attached to some of the files, such as those comprising the North American Bird Banding Program, source documents of banding are retained indefinitely; this is done to facilitate the possible correction and edit of those records. In contrast, source documents for other files are periodically destroyed by recycling. Computer tabulations are retained for five years or until such time as they have been updated. A system to catalog computer files is being developed; this system will insure that obsolete files are destoryed while insuring the retention of those required for current or future use.

System manager(s) and address: Chief, Office of Migratory Bird Management, U.S. Fish and Wildlife Service, Washington, D.C. 20240.

Notification procedure: An individual desiring to know whether the system contains information relating to himself may address his inquiry to the System Manager. An individual seeking information about the system should provide his complete name and address, and if possible, indicate the nature of the data file (banding, population surveys, migratory game bird harvests, etc.) in which he is most interested.

Record access procedures: Inquiries concerning access to and correction of records in the system may be directed to the System Manager. The request must be in writing and be signed by the requester. The request must meet the content requirements of 42 CFR 2.63.

Contesting record procedures: A petition for amendment shall be addressed to the System Manager and meet the requirements of 43 CFR 2.71.

Record source categories: The files comprising the Migratory Bird Populations and Harvest System evolve from several diverse groups of people. These may be generally categorized as (1) persons applying for authority to band birds, (2) persons granted authority to band birds, (3) persons reporting encounters with banded birds, (4) persons supervising or participating in various population surveys of migratory birds, (5) persons purchasing migratory bird hunting stamps, and (6) persons who hunt migratory game birds or otherwise utilize the migratory game bird resource.

INTERIOR/FWS-27

System name: Correspondence Control System—Interior, FWS-27.

System location: Office of the Director, U.S. Fish and Wildlife Service, Department of the Interior, 18th and C Streets, NW, Washington, D.C. 20240.

Categories of individuals covered by the system: U.S. Senators and Representatives, Governors of States, members of the public.

Categories of records in the system: Correspondence.

Authority for maintenance of the system: 5 U.S.C. 301, 43 U.S.C. 1467, 44 U.S.C. 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The primary use of the records is to provide control for prompt handling of priority correspondence by the U.S Fish and Wildlife Service. Disclosures outside the Department of the Interior may be made (1) to the U.S. Department of Justice when related to litigation or anticipated litigation; (2) of information indicating a violation or potential violation of a statute, regulation, rule, order or license, to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license; (3) from the record of an individual in response to an inquiry from a Congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Maintained in manual form in file folders.

Retrievability: Indexed alphabetically by name of congressman or letter writer and number assigned to correspondence.

Safeguards: Maintained with safeguards meeting the requirements of 43 CFR 2.51 for manual records.

Retention and disposal: Copies are destroyed after one year.

System manager(s) and address: Chief, Correspondence Services Office, U.S. Fish and Wildlife Service, Department of the Interior, 18th and C Streets, NW, Washington, D.C. 20240.

Notification procedure: Same as above. See 43 CFR 2.60.

Record access procedures: A request for access may be addressed to the System Manager. The request must be in writing and be signed by the requester and must meet the content requirements of 43 CFR 2.63.

Contesting record procedures: A petition for amendment may be addressed to the System Manager and must meet the requirements of 43 CFR 2.71.

Record source categories: Individual from whom incoming letter was received.

INTERIOR/FWS-28

System name: Avitrol Authorization Records—Interior, FWS-28.

System location: Wildlife Services Office, U.S. Fish and Wildlife Service, 11 North Pearl Street, P.O. Box 150, Albany, New York 12201.

Categories of individuals covered by the system: Aerial applicators of Avitrol for treating corn to prevent blackbird damage in cornfields.

Categories of records in the system: Contains name, address, home and business telephone number, type of aircraft, New York State applicator's registration number and signature of applicant affirming that he or she has read and understands the Environmental Protection Agency registration label. The applicant also agrees to submit to the State Supervisor, Division of Wildlife Services, prior to treatment, a list of the number and location of fields to be treated.

Authority for maintenance of the system: Act of March 2, 1931 (46 Stat. 1468, 7 U.S.C. 426–426b; Federal Insecticide, Fungicide and Rodenticide Act as amended (7 U.S.C. 135–135k); and Migratory Bird Treaty Act of 1918, as amended (16 U.S.C.) 703–711; 40 Stat. 755.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The primary use of the records is for documentation of the qualifications for aerial applicators of Avitrol-treated grain to prevent blackbird damages while minimizing the hazard to non-target species of birds. Disclosures outside the Department of the Interior may be made, (1) to the U.S. Department of Justice when related to litigation or anticipated litigation, (2) of information indicating a violation or potential violation of a statute, regulation, rule, order or license, to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license, and (3) from the record of an individual in response to an inquiry from a Congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Maintained on a letter size form.

Retrievability: Indexed by name.

Safeguards: Records are maintained in a standard office filing cabinet and office is locked when personnel are not present.

Retention and disposal: Made in accordance with FPMR 101–11.4, dated August 1, 1974.

System manager(s) and address: State Supervisor, U.S. Fish and Wildlife Service, 11 North Pearl Street, P.O. Box 150, Albany, New York 12201.

Notification procedure: Inquiries regarding the existence of records shall be addressed to the System Manager. A written, signed request stating that the requestor seeks information concerning records pertaining to him is required. See 43 CFR 2.60.

Record access procedures: A request for access shall be addressed to the System Manager. The request must be in writing and be signed by the requester. The request must meet the content requirements of 43 CFR 2.63.

Contesting record procedures: A petition for amendment shall be addressed to the Systems Manager and must meet the content requirements of 43 CFR 2.71.

Record source categories: Individual on whom the record is maintained.

INTERIOR/FWS–29

System name:

Animal Damage Control Non-Federal Personnel Records—Interior, FWS–29.

System location:

(1) Division of Wildlife Management, U.S. Fish and Wildlife Service, Department of the Interior, Washington, D.C. 20240; (2) regional offices.

Categories of individuals covered by the system:

State employees, cooperative employees paid by a cooperator, and private corporation employees (in Idaho). The number of individuals covered are: State-159, Cooperative-221, Corporation-6 (in Idaho).

Categories of records in the system:

(1) Supervisor's Record or Employees (Non-Federal)—Recruitment forms, medical forms, security records, life and health insurance forms, military service records, motor vehicle exam records, education and skills records, training records, disciplinary and suspension records, letters of commendation; (2) Payroll Records—Time and attendance records, State retirement records, social security records, workman's compensation insurance records, leave records, salary and expense cost records; (3) Travel Expense and Mileage Report; (4) Animal Damage Control Records—Hunter and trapper (district field assistant) records on animals taken, weekly itinerary and report of activity of trappers and hunters.

Authority for maintenance of the system:

Act of March 2, 1931 (46 Stat. 1468; 7 U.S.C. 426–426(b); Federal Insecticide, Fungicide and Rodenticide Act as amended (7 U.S.C. 135–135); and Migratory Bird Treaty Act of 1981, as amended (16 U.S.C. 703–711; 40 Stat. 755).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary uses of the records are to (a) serve as a tool for the State supervisors in the financial and manpower management of Animal Damage Control programs (b) form the legal basis for the disbursement of funds and (c) forms basis for preparation of statistical reports. Disclosures outside the Department of the Interior may be made, (1) for administrative uses by cooperating Federal, State, county, and local governmental units, and cooperating private organizations and associations, (2) to the U.S. Department of Justice when related to litigation or anticipated litigation, (3) of information indicating a violation or potential violation of a statute, regulation rule, order or license, to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license, and (4) from the record of an individual in response to an inquiry from a Congressional office made at the request of that individual, (5) to other Federal agencies to effect salary and administrative offsets; (6) to provide addresses obtained from the Internal Revenue Service to debt collection agencies for purposes of locating a debtor to collect or compromise a Federal claim against the debtor, or to a consumer reporting agencies to prepare a commercial credit report for use by the Department.

Disclosure to consumer reporting agencies:

Disclosures pursuant to 5 U.S.C. 552a(b)(12): Disclosures may be made to consumer reporting agencies as defined in the Fair Credit Reporting Act (15 U.S.C. 1681a(f)) or the Federal Claims Collection Act of 1966 (31 U.S.C. 3701(a)(3)).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in folders in files.

Retrievability:

By employee name.

Safeguards:

Records and forms are maintained in a standard office filing cabinet and office is locked when authorized personnel are not present.

Retention and disposal:

Non-record administrative material disposed 30 days after employment terminates or in compliance with State regulations on disposal of payroll records subject to audit.

System manager(s) and address:

Chief, Division of Wildlife Management, U.S. Fish and Wildlife Service, Department of the Interior, Washington, D.C. 20240.

Notification procedure:

Inquiries regarding existence of records shall be addressed to the Chief, Division of Wildlife Management, with respect to records located in the Washington Office, or to regional directors with respect to records located in the office for which each is responsible. A written signed request stating that the requester seeks information concerning records pertaining to him is required. See 43 CFR 2.60.

Record access procedures:

A written request for access signed by the requester shall be addressed to the appropriate State Supervisor. The request must meet the content requirement of 43 CFR 2.63.

Contesting record procedures:

A petition for amendment shall be addressed to the Systems Manager and must meet the content requirements of 43 CFR 2.71.

Record source categories:

Individual on whom record is maintained.

INTERIOR/RECLAMATION–1

System name:

Occupational Illness, Accidents, and Related Property Damage—Interior, Reclamation-1.

System location:

Bureau of Reclamation Headquarters Offices, Engineering and Research Center, Regional Offices: Pacific Northwest, Mid-Pacific, Lower Colorado, Upper Colorado, Southwest, Upper Missouri, Lower Missouri. See appendix for addresses.

Categories of individuals covered by the system:

Reclamation employees, contractors, concessionaires, and public visitors to Reclamation facilities who have had incidents resulting in occupational illness or accident and related property damage.

Categories of records in the system:

Reports of occupational illness or accident and related property damage containing essential details and descriptive narrative of same.

Authority for maintenance of the system:

Executive Order 12196, 3 CFR 145 (1981 Compilation); Occupational Safety and Health Act of 1970, 29 U.S.C. 651 et seq.; 29 CFR Part 1960; 5 U.S.C. 7902; Federal Tort Claims Act, Pub. L. 89-506; Federal Property and Administrative Services Act of 1949, as amended, 40 U.S.C. 491(j).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary uses of the records are to analyze the facts and circumstances surrounding each incident of occupational illness, accident, and related property damage for compilation of statistical data and adjudication of tort and employee claims. Disclosures outside the Department of the Interior may be made: (1) To the Office of Workers' Compensation Programs when a Reclamation employee suffers from an accident or occupational illness; (2) to the Department of Justice when related to litigation or anticipated litigation; (3) of information indicating a violation or potential violation of a statute, regulation, rule, order or license to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license; (4) from the record of an individual in response to an inquiry from a congressional office made at the request of that individual; (5) where relevant or necessary to the hiring or retention of an employee, or the issuance of a security clearance, license, contract, grant, or other benefit, information may be disclosed: (a) To a Federal agency that has requested the information, or (b) to a Federal, State, or local agency to enable the Department of the Interior to obtain information from such agency.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained on computer and in file folders.

Retrievability:

By individual name or social security number (employees only).

Safeguards:

In accordance with requirements of 43 CFR 2.51 for computer and manual records.

Retention and disposal:

In accordance with approved retention and disposal schedules.

System manager(s) and address:

Safety Managers. Bureau of Reclamation Headquarters Offices, Engineering and Research Center, Regional Offices: Pacific Northwest, Mid-Pacific, Lower Colorado, Upper Colorado, Southwest, Upper Missouri, Lower Missouri. See appendix for addresses.

Notification procedure:

Written inquiries regarding the existence of a record(s) should be sent to the System Manager at the appropriate address listed in the appendix. See 43 CFR 2.60.

Record access procedures:

Same as Notification above. See 43 CFR 2.63.

Contesting record procedures:

Written petitions for amendment should be sent to the System Manager at the appropriate address listed in the appendix. See 43 CFR 2.71.

Record source categories:

Individuals on whom records are maintained, supervisors, witnesses, investigators.

INTERIOR/RECLAMATION-2

System name:

Accounts Receivable—Interior, Reclamation-2.

System location:

Bureau of Reclamation Headquarters Offices, Engineering and Research Center, Regional Offices: Pacific Northwest, Mid-Pacific, Lower Colorado, Upper Colorado, Southwest, Upper Missouri, Lower Missouri. See appendix for addresses.

Categories of individuals covered by the system:

Individuals owing monies to the Bureau. Records in this system pertaining to individuals contain principally proprietary information concerning sole proprietorships, but may also reflect personal information. System also maintains records concerning corporations and other business entities, which may contain personal information. Only those records reflecting personal information are subject to the Privacy Act.

Categories of records in the system:

Statements of account, bills for collection, and records related to amounts owed to the Bureau.

Authority for maintenance of the system:

31 U.S.C. 3701, et. seq.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary use of the records is to document Bureau accounts receivable. Disclosures outside the Department of the Interior may be made: (1)To the U.S. Department of Justice or in a proceeding before a court or adjudicative body when (a) the United States, the Department of the Interior, a component of the Department, or, when represented by the government, an employee of the Department is a party to litigation or anticipated litigation or has an interest in such litigation, and (b) the Department of the Interior determines that the disclosure is relevant or necessary to the litigation and is compatible with the purpose for which the records were compiled; (2) of information indicating a violation or potential violation of a statute, regulation, rule, order or license to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license; (3) from the record of an individual in response to an inquiry from a congressional office made at the request of that individual; (4) to non-Federal auditors under contract with the Department of Interior or Energy or water user and other organizations with which the Bureau of Reclamation has written agreements permitting access to financial records to perform financial audits; (5) where relevant or necessary to the hiring or retention of an employee, or the issuance of a security clearance, license, contract, grant, or other benefit, information may be disclosed: (a) To a Federal agency that has requested the information, or (b) to a Federal, State, or local agency to enable the Department of the Interior to obtain information from such agency; (6) to a Federal agency for the purpose of collecting a debt owed the Federal Government through administrative or salary offset; (7) to disclose debtor information to the IRS, or another Federal agency or its contractor solely to aggregate information for the IRS, to collect debts owed to the Federal government through the offset of tax refunds.

Disclosure to consumer reporting agencies:

Disclosures pursuant to 5 U.S.C. 552a(b)(12). Disclosures may be made from this system to consumer reporting agencies as defined in the Fair Credit Reporting Act (15 U.S.C. 1681a(f)) or the Federal Claims Collection Act of 1966 (31 U.S.C. 3701(a)(3)).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

By individual name.

Safeguards:

In accordance with requirements of 43 CFR 2.51 for manual records.

Retention and disposal:

The records are maintained for 6 years and 3 months after close of the fiscal year, unless involved in litigation. Disposal is in accordance with approved retention and disposal schedules.

System manager(s) and address:

Finance Officers, Bureau of Reclamation Headquarters Offices, Engineering and Research Center, Regional Offices: Pacific Northwest, Mid-Pacific, Lower Colorado, Upper Colorado, Southwest, Upper Missouri, Lower Missouri. See appendix for addresses.

Notification procedure:

Written inquiries regarding the existence of a record(s) should be sent to the System Manager at the appropriate address listed in the appendix. See 43 CFR 2.60.

Record access procedures:

Same as Notification above. See 43 CFR 2.63.

Contesting record procedures:

Written petitions for amendment should be addressed to the System Manager at the appropriate office listed in the appendix. See 43 CFR 2.71.

Record source categories:

Individuals having contracts or agreements with the Bureau to repay monies owed the Bureau.

INTERIOR/RECLAMATION-3

System name:

Attendance at Meetings—Interior, Reclamation-3.

System location:

Bureau of Reclamation Headquarters Offices, Engineering and Research Center, Regional Offices: Pacific Northwest, Mid-Pacific, Lower Colorado, Upper Colorado, Southwest, Upper Missouri, Lower Missouri. See appendix for addresses.

Categories of individuals covered by the system:

Reclamation employees who have attended professional society meetings.

Categories of records in the system:

Requests for approval of attendance at meeting (Form 7-1695) and related correspondence.

Authority for maintenance of the system:

43 U.S.C. 373, 373a, 1457; 44 U.S.C. 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary uses of the records are to document employee attendance at professional society meetings and provide administrative overview. Disclosures outside the Department of the Interior may be made: (1) To the Department of Justice when related to litigation or anticipated litigation; (2) of information indicating a violation or potential violation of a statute, regulation, rule, order or license to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license; (3) from the record of an individual in response to an inquiry from a congressional office made at the request of that individual; (4) where relevant or necessary to the hiring or retention of an employee, or the issuance of a security clearance, license, contract, grant, or other benefit, information may be disclosed: (a) To a Federal agency that has requested the information, or (b) to a Federal, State, or local agency to enable the Department of the Interior to obtain information from such agency.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

By individual name or subject of meeting.

Safeguards:

In accordance with requirements of 43 CFR 2.51 for computer and manual records.

Retention and disposal:

In accordance with approved retention and disposal schedules.

System manager(s) and address:

Personnel Officers. Bureau of Reclamation Headquarters Offices, Engineering and Research Center, Regional Offices: Pacific Northwest, Mid-Pacific, Lower Colorado, Upper Colorado, Southwest, Upper Missouri, Lower Missouri. See appendix for addresses.

Notification procedure:

Written inquiries regarding the existence of a record(s) should be sent to the System Manager at the appropriate address listed in the appendix. See 43 CFR 2.60.

Record access procedures:

Same as Notification above. See 43 CFR 2.63

Contesting record procedures:

Written petitions for amendment should be sent to the System Manager at the appropriate address listed in the appendix. See 43 CFR 2.71.

Record source categories:

Employees and meeting reports.

INTERIOR/RECLAMATION-4

System name:

Audiograms (Hearing Test Records)—Interior, Reclamation-4.

System location:

Bureau of Reclamation Headquarters Offices, Engineering and Research Center, Regional Offices: Pacific Northwest, Mid-Pacific, Lower Colorado, Upper Colorado, Southwest, Upper Missouri, Lower Missouri. See appendix for addresses.

Categories of individuals covered by the system:

Reclamation employees who work regularly in areas where noise levels exceed 85dBA and employees requiring baseline exams due to potential exposure to high noise levels.

Categories of records in the system:

Audiograms prepared and reviewed by trained audiometric technicians and audiologists.

Authority for maintenance of the system:

Executive Order 12196, Occupational Safety and Health Programs for Federal Employees, February 26, 1980.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary uses of the records are to take appropriate action to abate noise hazard to employees and to recommend medical referrals for employees who have acquired hearing impairments as a result of on-the-job noise exposure. Disclosures outside the Department of the Interior may be made: (1) To the Department of Justice when related to litigation or anticipated litigation; (2) of information indicating a violation or potential violation of a statute, regulation, rule, order or license to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license; (3) from the record of an individual in response to an inquiry from a congressional office made at the request of that individual; (4) where relevant or necessary to the hiring or retention of an employee, or the issuance of a security clearance, license, contract, grant, or other benefit, information may be disclosed: (a) To a Federal agency that has requested the information, or (b) to a Federal, State, or local agency to enable the Department of the Interior to obtain information from such agency; (5) to the Office of Workers' Compensation Programs to support or dispute employee claims for compensation due to hearing loss.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

By individual name.

Safeguards:

In accordance with requirements of 43 CFR 2.51 for computer and manual records.

Retention and disposal:

In accordance with approved retention and disposal schedules.

System manager(s) and address:

Safety Managers. Bureau of Reclamation Headquarters Offices, Engineering and Research Center, Regional Offices: Pacific Northwest, Mid-Pacific, Lower Colorado, Upper Colorado, Southwest, Upper Missouri, Lower Missouri. See appendix for addresses.

Notification procedure:

Written inquiries regarding the existence of a record(s) should be sent to the System Manager at the appropriate address listed in the appendix. See 43 CFR 2.60.

Record access procedures:

Same as Notification above. See 43 CFR 2.63.

Contesting record procedures:

Written petitions for amendment should be sent to the System Manager at the appropriate address listed in the appendix. See 43 CFR 2.71.

Record source categories:

Bureau employees. Audiograms prepared by audiometric technicians.

INTERIOR/RECLAMATION-5

System name:

Claims—Interior, Reclamation-5.

System location:

Bureau of Reclamation Headquarters Offices, Engineering and Research Center, Regional Offices: Pacific Northwest, Mid-Pacific, Lower Colorado, Upper Colorado, Southwest, Upper Missouri, Lower Missouri. See appendix for addresses.

Categories of individuals covered by the system:

Individuals who have filed tort, employee, or appropriation act claims,and claims under the Teton Dam Disaster Assistance Act.

Categories of records in the system:

Records include claims and supporting documents submitted, information developed during investigations of claims, and final disposition.

Authority for maintenance of the system:

Federal Tort Claims Act, 28 U.S.C. 2671-2680; Military Personnel and Civilian Employees' Claims Act, 31 U.S.C. 3701, 3721; Public Works for Water and Power Development and Energy Research Appropriation Act, 1977, Pub. L. 94-355, 90 Stat. 889; Teton Dam Disaster Assistance Act, Pub. L. 94-400, 90 Stat. 1211; Supplemental Appropriation Act, 1977, Pub. L. 94-438, 90 Stat. 1415; and annual Energy and Water Development Appropriation Acts.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary uses of the records are to establish the facts and circumstances of each claim, compile statistical data, and evaluate claims. Disclosures outside the Department of the Interior may be made: (1) To Department of Justice when related to litigation or anticipated litigation; (2) of information indicating a violation or potential violation of a statute, regulation, rule, order or license to appropriate Federal, State, local, or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license; (3) from the record of an individual in response to an inquiry from a congressional office made at the request of that individual; (4) where relevant or necessary to the hiring or retention of an employee, or the issuance of a security clearance, license, contract, grant, or other benefit, information may be disclosed: (a) To a Federal agency that has requested the information, or (b) to a Federal, State, or local agency to enable the Department of the Interior to obtain information from such agency; (5) to the Soil Conservation Service, Farmers Home Administration, and Agricultural Stabilization and Conservation Service of the Department of Agriculture; Federal Emergency Management Agency, Army Corps of Engineers, and Department of Housing and Urban Development to assure that benefits to claimants have not been duplicated by the several agencies involved in disaster programs; (6) to the Department of Treasury (IRS) and State revenue and taxation departments relative to compensation for loss of salary or income; (7) to the Small Business Administration, Farmers Home Administration (USDA), and Department of Housing and Urban Development regarding loans secured through those agencies; (8) to GSA to document problems with GSA contract movers which result in claims against Reclamation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

By claimant's name.

Safeguards:

In accordance with requirements of 43 CFR 2.51 for manual records.

Retention and disposal:

In accordance with approved retention and disposal schedules.

System manager(s) and address:

Claims Officers. Bureau of Reclamation Headquarters Offices, Engineering and Research Center, Regional Offices: Pacific Northwest, Mid-Pacific, Lower Colorado, Upper Colorado, Southwest, Upper Missouri, Lower Missouri. See appendix for addresses.

Notification procedure:

Inquiries regarding the existence of a record(s) should be written to the System Manager at the appropriate address listed in the appendix. See 43 CFR 2.60.

Record access procedures:

Same as Notification above. See 43 CFR 2.63.

Contesting record procedures:

Written petitions for amendment should be sent to the System Manager at the appropriate address listed in the appendix. See 43 CFR 2.71.

Record source categories:

Claimants. Investigations conducted by Reclamation officials and contractors, officials of the Department of the Interior, and State and local governments.

INTERIOR/RECLAMATION-6

System name:

Collection Contracts—Interior, Reclamation-6.

System location:

Bureau of Reclamation Headquarters Offices, Engineering and Research Center, Regional Offices: Pacific Northwest, Mid-Pacific, Lower Colorado, Upper Colorado, Southwest, Upper Missouri, Lower Missouri. See appendix for addresses.

Categories of individuals covered by the system:

Individuals who lease, rent, or buy from the Bureau of Reclamation under a collection contract or agreement.

Categories of records in the system:

Individual collection documents with copies of related bills and correspondence.

Authority for maintenance of the system:

31 U.S.C. 3701, et seq.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary uses of the records are for the negotiation and administration of contracts to collect monies due the Bureau of Reclamation. Disclosures outside the Department of the Interior may be made: (1) To the Department of Justice when related to litigation or anticipated litigation; (2) of information indicating a violation or potential violation of a statute, regulation, rule, order or license to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license; (3) from the record of an individual in response to an inquiry from a congressional office made at the request of that individual; (4) to non-Federal auditors under contract with the Departments of Interior or Energy or water user and other organizations with which the Bureau of Reclamation has written agreements permitting access to financial records to perform financial audits; (5) where relevant or necessary to the hiring or retention of an employee, or the issuance of a security clearance, license, contract, grant, or other benefit, information may be disclosed: (a) To a Federal agency that has requested the information, or (b) to a Federal, State, or local agency to enable the Department of the Interior to obtain information from such agency; (6) to a Federal agency for the purpose of collecting a debt owed the Federal Government through administrative or salary offset.

Disclosure to consumer reporting agencies:

Disclosures pursuant to 5 U.S.C. 552a(b)(12). Disclosures may be made from this system to consumer reporting agencies as defined in the Fair Credit Reporting Act (15 U.S.C. 1681a(f)) or the Federal Claims Collection Act of 1966 (31 U.S.C. 3701(a)(3)).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

By individual name.

Safeguards:

In accordance with requirements of 43 CFR 2.51 for manual records.

Retention and disposal:

The records are maintained for 6 years and 3 months after close of fiscal year, unless involved in litigation. Disposal is in accordance with approved retention and disposal schedules.

System manager(s) and address:

Finance Officers. Bureau of Reclamation Headquarters Offices, Engineering and Research Center, Regional Offices: Pacific Northwest, Mid-Pacific, Lower Colorado, Upper Colorado, Southwest, Upper Missouri, Lower Missouri. See appendix for addresses.

Notification procedure:

Written inquiries regarding the existence of a record(s) should be sent to the System Manager at the appropriate address listed in the appendix. See 43 CFR 2.60.

Record access procedures:

Same as Notification above. See 43 CFR 2.63.

Contesting record procedures:

Written petitions for amendment should be sent to the System Manager at the appropriate address listed in the appendix. See 43 CFR 2.71.

Record source categories:

Individuals contracting with the Bureau and related contracts and agreements.

INTERIOR/RECLAMATION-7

System name:

Concessions—Interior, Reclamation-7.

System location:

Bureau of Reclamation Headquarters Offices, Engineering and Research Center, Regional Offices: Pacific Northwest, Mid-Pacific, Lower Colorado, Upper Colorado, Southwest, Upper Missouri, Lower Missouri. See appendix for addresses.

Categories of individuals covered by the system:

Individual concessionaires. Records in this system pertaining to individuals contain principally proprietary information concerning sole proprietorships, but may also reflect personal information. In addition, the system maintains records concerning corporations and other business entities. some of which may contain personal information. Only the records reflecting personal information are subject to the Privacy Act.

Categories of records in the system:

Rental or lease agreements with individuals providing services or concessions at Bureau facilities.

Authority for maintenance of the system:

Reclamation Law of 1902, as amended, 43 U.S.C. 371, et seq.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary use of the records is administrative control over concessions operating at Reclamation facilities. Disclosures outside the Department of the Interior may be made: (1) To State or local government agencies for taxation purposes; (2) to the Department of Justice when related to litigation or anticipated litigation; (3) of information indicating a violation or potential violation of a statute, regulation, rule, order or license to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license; (4) from the record of an individual in response to an inquiry from a congressional office made at the request of that individual; (5) to non-Federal auditors under contract with the Departments of Interior or Energy or water user and other organizations with which the Bureau of Reclamation has written agreements permitting access to financial records to perform financial audits.

Disclosure to consumer reporting agencies:

Disclosures pursuant to 5 U.S.C. 552a(b)(12). Disclosures may be made from this system to consumer reporting agencies as defined in the Fair Credit Reporting Act (15 U.S.C. 1681a(f) or the Federal Claims Collection Act of 1966 (31 U.S.C. 3701(a)(3)).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

By individual name.

Safeguards:

In accordance with requirements of 43 CFR 2.51 for manual records.

Retention and disposal:

The records are maintained for 6 years and 3 months after close of fiscal year, unless involved in litigation. Disposal is in accordance with approved retention and disposal schedules.

System manager(s) and address:

Finance Officers. Bureau of Reclamation Headquarters Offices, Engineering and Research Center, Regional Offices: Pacific Northwest, Mid-Pacific, Lower Colorado, Upper Colorado, Southwest, Upper Missouri, Lower Missouri. See appendix for addresses.

Notification procedure:

Written inquiries regarding the existence of a record(s) should be sent to the System Manager at the appropriate address listed in the appendix. See 43 CFR 2.60.

Record access procedures:

Same as Notification above. See 43 CFR 2.63.

Contesting record procedures:

Written petitions for amendment should be sent to the System Manager at the appropriate address listed in the appendix. See 43 CFR 2.71.

Record source categories:

Individuals on whom records are maintained.

INTERIOR/RECLAMATION-9

System name: Foreign Visitors and Observers—Interior, Reclamation-9.

System location: General Services Branch, Engineering and Research Center, Bureau of Reclamation, P.O Box 25007, Bldg. 67, Denver Federal Center, Denver, Colorado 80225.

Categories of individuals covered by the system: Citizens who may accompany foreigners on domestic trips.

Categories of records in the system: Contains name and rank of traveler.

Authority for maintenance of the system: 43 U.S.C. 373, 373a, 1457, 44 U.S.C. 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The primary use of the record is internal administration. Disclosures outside the Department of the Interior may be made (1) to news media as a contact; (2) to request or who may need to contact foreign visitors in case of emergency; (3) to the U.S. Department of Justice when related to litigation or anticipated litigation; (4) of information indicating a violation or potential violation of a statute, regulation, rule, order or license, to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license; (5) from the record of an individual in response to an inquiry from a Congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: On correspondence.

Retrievability: By name.

Safeguards: Stored with safeguards meeting the requirements of 43 CFR 2.51.

Retention and disposal: Records Management Handbook No. 2. In accordance with approved retention and disposal schedules.

System manager(s) and address: Chief, Division of General Services, U.S. Department of the Interior, Bureau of Reclamation, Washington, D.C. 20240.

Notification procedure: Inquiries regarding the existence of records should be addressed to the office listed under Location above. A written, signed request stating that the requester seeks information concerning records pertaining to him is required. See 43 CFR 2.60.

Record access procedures: Same as Notification above. The request must meet the content requirements of 43 CFR 2.63.

Contesting record procedures: A petition for amendment should be addressed to the System Manager and must meet the content requirements of 43 CFR 2.71.

Record source categories: Individual on whom the record is maintained.

INTERIOR/WBR-11

System name:

Individual Records of Issue—Interior, Reclamation-11.

System location:

Bureau of Reclamation Headquarters Office, Engineering and Research Center, Regional Offices: Pacific Northwest, Mid-Pacific, Lower Colorado, Upper Colorado, Southwest, Upper Missouri, Lower Missouri. See appendix for addresses.

Categories of individuals covered by the system:

Reclamation and contract employees.

Categories of records in the system:

Registers and records of Reclamation and contract employees having assigned Government parking spaces; I.D. cards, and passes; keys issued; drivers' licenses and driving records.

Authority for maintenance of the system:

40 U.S.C. 471, 486, 491, and 44 U.S.C. 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary uses of these records include: Assignment and control of Government parking spaces, keys issues, and official identification cards and passes; recording I.D. numbers, drivers license numbers

best copy available

and expiration dates; facilitating collection of I.D. cards, passes, parking permits, drivers' licenses, and keys when employees terminated employment; recommending safe driving awards, administration of the Bureau's driver license program; and for reporting purposes. Disclosures outside the Department of the Interior may be made: (1) To the Department of Justice when related to litigation or anticipated litigation; (2) of information indicating a violation or potential violation of a statute, regulation, rule, order, or license to appropriate Federal, State, local, or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order, or license; (3) from the record of an individual in response to an inquiry from a congressional office made at the request of that individual; (4) to the National Safety Council for issuance of safe driving awards; (5) where relevant or necessary to the hiring or retention of an employee, or the issuance of a security clearance, license, contract, grant, or other benefit, information may be disclosed: (a) To a Federal agency that has requested the information, or (b) to a Federal, State, or local agency to enable the Department of the Interior to obtain information from such agency; and (6) to a Federal agency for the purpose of collecting a debt owed the Federal Government through administrative or salary offset.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Manual and computer.

Retrievability:

By employee name or number.

Safeguards:

In accordance with requirements of 43 CFR 2.51 for computer and manual records.

Retention and disposal:

In accordance with approved retention and disposal schedules.

System manager(s) and address:

Issuing Officers. Bureau of Reclamation Headquarters Offices, Engineering and Research Center, Regional Offices: Pacific Northwest, Mid-Pacific, Lower Colorado, Upper Colorado, Southwest, Upper Missouri, Lower Missouri. See appendix for addresses.

Notification procedure:

Written inquiries regarding the existence of a record(s) should be sent to the System Manager at the appropriate address listed in the appendix. See 43 CFR 2.60.

Record access procedures:

Same as Notification above. See 43 CFR 2.63.

Contesting record procedures:

Written petitions for amendment should be sent to the System Manager at the appropriate address listed in the appendix. See 43 CFR 2.71.

Record source categories:

Individuals on whom records are maintained, responsible Reclamation employees, and applicable Reclamation and State Department of Motor Vehicle records.

INTERIOR/RECLAMATION-12

System name: Inventions and Patents—Interior, Reclamation-12.

System location: (1) Division of General Services, Bureau of Reclamation, U.S. Department of the Interior, Washington, D.C. 20240. (2) General Services Branch, Bureau of Reclamation, Engineering and Research Center, P.O. Box 25007, Bldg. 67, Denver Federal Center, Denver, Colorado.

Categories of individuals covered by the system: Reclamation employees who have been granted patents or who are seeking patents.

Categories of records in the system: Contains name, organizational segment of inventor. Contains brief description of invention.

Authority for maintenance of the system: 5 U.S.C. 3101, 43 U.S.C. 373, 373a, 1457, 44 U.S.C. 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The primary uses of the records are (a) to administer internal program for determining rights of employee to invention and status of securing patent for invention. Disclosures outside the Department of the Interior may be made (1) to the U.S. Department of Justice when related to litigation or anticipated litigation; (2) of information indicating a violation or potential violation of a statute, regulation, rule, order or license, to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license; (3) from the record of an individual in response to an inquiry from a Congressional office made at the request of that individual; (4) to a Federal agency which has requested information relevant or necessary to its hiring or retention of an employee, or issuance of a security clearance, contract, grant or other benefit; (5) to Federal, State or local agencies where necessary to obtain information relevant to the hiring or retention of an employee, or the issuance of a security clearance, contract, license, grant or other benefit.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Correspondence.

Retrievability: By name.

Safeguards: Maintained with security meeting requirements of 43 CFR 2.51.

Retention and disposal: Records Management Handbook No. 2. In accordance with approved retention and disposal schedules.

System manager(s) and address: Chief, Division of General Services, U.S. Department of the Interior, Bureau of Reclamation, Washington, D.C. 20240.

Notification procedure: An individual may inquire whether or not the system contains a record pertaining to him by addressing a written request to the head of the office listed under Location (above) which services the facility at which he is (or was) employed. See 43 CFR 2.60.

Record access procedures: Same as Notification above. See 43 CFR 2.63.

Contesting record procedures: A petition for amendment should be addressed to the System Manager and must meet the content requirements of 43 CFR 2.71.

Record source categories: Individual on whom the record is maintained.

INTERIOR/RECLAMATION-13

System name: Irrigation Management Service—Interior, Reclamation-13.

System location: (1) Division of General Services, Bureau of Reclamation, U.S. Department of the Interior, Washington, D.C. 20240. (2) Reclamation offices numbered 3(a, b, g, i) in Appendix.

Categories of individuals covered by the system: Individuals receiving irrigation waters from Reclamation constructed facilities.

Categories of records in the system: Computer input, storage, and output concerning water usage.

Authority for maintenance of the system: 43 U.S.C. 371. et seq.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The primary use of the record is to assist farmers on Federal Projects in the selection of the proper amounts and timing of irrigation deliveries. Disclosures outside the Department of the Interior may be made (1) to the U.S. Department of Justice when related to litigation or anticipated litigation; (2) of information indicating a violation or potential violation of a statute, regulation, rule, order or license, to appropriate Federal, State, local foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license; (3) from the record of an individual in response to an inquiry from a Congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: On computer media.

Retrievability: By individual's name.

Safeguards: Maintained with safeguards meeting the requirements of 43 CFR 2.51 for computer and manual records.

Retention and disposal: In accordance with approved Retention and Disposal Schedules.

System manager(s) and address: Chief, Division of General Services, U.S. Department of the Interior, Bureau of Reclamation, Washington, D.C. 20240.

Notification procedure: An individual may inquire whether or not the system contains a record pertaining to him by addressing a written request to the head of the appropriate office listed under Location above. See 43 CFR 2.60.

Record access procedures: Same as Notification above. See 43 CFR 2.63.

Contesting record procedures: A petition for amendment should be addressed to the System Manager and must meet the content requirements of 43 CFR 2.71.

Record source categories: Individual on whom the record is maintained.

INTERIOR/RECLAMATION-14

System name: Land Exchange—Interior, Reclamation-14.

System location: (1) Division of General Services, Bureau of Reclamation, U.S. Department of the Interior, Washington, D.C. 20240. (2) Reclamation offices numbered 3(a,c,g,j), 5(d), 7(a thru k), 8(a thru h) in Appendix.

Categories of individuals covered by the system: Individual exchange for Bureau of Reclamation purposes.

Categories of records in the system: General subject of exchange of certain unpatented or private land by certain qualified applicant's whose lands have been determined to be insufficient to support a family. Exchange of land by the Bureau of project purposes.

Authority for maintenance of the system: 43 U.S.C. 371, et seq.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The primary uses of the records are (a) to maintain a history of land exchange and to protect individual rights. Disclosures outside the Department of the Interior may be made (1) to the U.S. Department of Justice when related to litigation or anticipated litigation; (2) of information indicating a violation or potential violation of a statute, regulation, rule, order or license, to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license; (3) from the record of an individual in response to an inquiry from a Congressional office made at the request of that individual; (5) to Federal, State or local agencies where necessary to obtain information relevant to the hiring or retention of an employee, or the issuance of a security clearance, contract, license, grant or other benefit.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Maintained in file folders by appropriate file codes.

Retrievability: By individual's name.

Safeguards: Maintained with safeguards meeting the requirements of 43 CFR 2.51.

Retention and disposal: Records are disposed of periodically in accordance with established Bureau schedules. In accordance with approved retention and disposal schedules.

System manager(s) and address: Chief, Division of General Services, U.S. Department of the Interior, Bureau of Reclamation, Washington, D.C. 20240.

Notification procedure: An individual may inquire whether or not the system contains a record pertaining to him by addressing a written request to the head of the appropriate office listed under Location above. See 43 CFR 2.60.

Record access procedures: Same as Notification above. See 43 CFR 2.63.

Contesting record procedures: A petition for amendment should be addressed to the System Manager and must meet the content requirements of 43 CFR 2.71.

Record source categories: Information comes from the individual as well as the office involved.

INTERIOR/RECLAMATION-15

System name: Land Settlement Entries—Interior, Reclamation-15.

System location: (1) Division of General Services, Bureau of Reclamation, U.S. Department of the Interior, Washington, D.C. 20240. (2) Reclamation offices numbered 3(a, c, g, j), 4(f), 5(d), 7(a thru k), 8(g) in Appendix.

Categories of individuals covered by the system: Individual applicants who wish to settle on lands on Federal Reclamation Project.

Categories of records in the system: (1) Applications including information as to character of individual applicant, veteran preference right, farming experience, assets (financial), health, appeals, and data concerning homesteading and applicant meeting requirements. (2) Notice to Land Office that homesteader has fulfilled requirements. (3) Data with Department of Agriculture as to applicability for loan.

Authority for maintenance of the system: (1) Section 4, Fact Finders Act of December 5, 1924 (43 Stat. 702), (2) Section 3, Reclamation Act of June 17, 1902 (1093-32 Stat. 388 and amendment); (3) Act of March 1, 1921, (102-41 Stat. 1202), (4) Act of April 7, 1921 (125-42 Stat. 492), (5) Section 44, The Omnibus Adjustment Act (44 Stat. 636), (6) Farm Unit Exchange Act of August 13, 1953 (428-67 Stat. 566).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The primary uses of the records are (a) to administer settler program and to determine if applicant is qualified to farm unit. Disclosures outside the Department of the Interior may be made (1) to the U.S. Department of Justice when related to litigation or anticipated litigation; (2) of information indicating a violation or potential violation of a statute, regulation, rule, order or license, to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license; (3) from the record of an individual in response to an inquiry from a Congressional office made at the request of that individual; (4) to a Federal agency which has requested information relevant or necessary to its hiring or retention of an employee, or issuance of a security clearance, license, contract, grant or other benefit; (5) to Federal, State, or local agencies where necessary to obtain information relevant to the hiring or retention of an employee, or the issuance of a security clearance, contract, license, grant or other benefit.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: complete file maintained in manual form in file folders.

Retrievability: By individual's name.

Safeguards: Maintained with safeguards meeting the requirements of 43 CFR 2.51 for manual records.

Retention and disposal: in accordance with approved Retention and Disposal Schedules.

System manager(s) and address: Chief, Division of General Services, U.S. Department of the Interior, Bureau of Reclamation, Washington, D.C. 20240.

Notification procedure: An individual may inquire whether or not the system contains a record pertaining to him by addressing a written request to the head of the appropriate office listed under Location (above). See 43 CFR 2.63.

Record access procedures: Same as Notification above. See 43 CFR 2.63.

Contesting record procedures: A petition for amendment should be addressed to the System Manager and must meet the content requirements of 43 CFR 2.71.

Record source categories: Individual on whom the record is maintained.

INTERIOR/RECLAMATION-16

System name: Litigation—Interior, Reclamation-16.

System location: (1) Division of General Services, Bureau of Reclamation, U.S. Department of the Interior, Washington, D.C. 20240. (2) Reclamation offices numbered 3(a thru j), 4(a thru j), 5(a thru d), 6(a thru i), 7(a thru k) in Appendix.

Categories of individuals covered by the system: Individuals against whom Bureau of Reclamation has brought suit or who have brought suit against the Bureau of Reclamation.

Categories of records in the system: Correspondence and copies of documents from appropriate legal entities concerning condemnations of land, environmental suits to prohibit construction activities, and any information developed concerning any specific litigation.

Authority for maintenance of the system: (1) Section 7, Reclamation Act of 1902 (32 Stat. 389, 43 U.S.C. 421), (2) Pertinent provisions of Title 28, U.S.C. (3) Administrative Procedure Act, Chapter 7, Title 5, U.S.C.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The primary uses of the records are (a) show record of ownership of lands and right-of-way required for reclamation purposes; (b) for record of final disposition of case. Disclosures outside the Department of the Interior may be made (1) to another Federal agency, a State or local government body having partial or complete jurisdiction over the claim or related claims; (2) to State or local government agencies for taxation purposes; (3) to the U.S. Department of Justice when related to litigation or anticipated litigation; (4) of information indicating a violation or potential violation of a statute, regulation, rule, order or license, to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license; (5) from the record of an individual in response to an inquiry from a Congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Complete file maintained in manual form in file folders.

Retrievability: By individual's name.

Safeguards: Maintained with safeguards meeting the requirements of 43 CFR 2.51 for manual records.

Retention and disposal: in accordance with approved Retention and Disposal Schedules.

System manager(s) and address: Chief, Division of General Services, U.S. Department of the Interior, Bureau of Reclamation, Washington, D.C. 20240.

Notification procedure: An individual may inquire whether or not the system contains a record pertaining to him by addressing a written request to the head of the appropriate office listed under Location (above). See 43 CFR 2.60.

Record access procedures: Same as Notification above. See 43 CFR 2.63.

Contesting record procedures: A petition for amendment should be addressed to the System Manager and must meet the content requirements of 43 CFR 2.71.

Record source categories: Individual on whom the record is maintained. Investigations conducted by Reclamation, offices of the Department of the Interior, State, and local governments.

Systems exempted from certain provisions of the act: The Privacy Act does not entitle an individual to access to information compiled in reasonable anticipation of a civil action or proceeding.

INTERIOR/RECLAMATION-17

System name: Lands—Leases, Sales, Rentals, and Transfers—Interior, Reclamation-17.

System location: (1) Division of General Services, Bureau of Reclamation, U.S. Department of the Interior, Washington, D.C. 20240. (2) Reclamation offices numbered 3(a,c,e,f,g,h,i), 4(a thru i), 5(a thru d), 6(a thru i), 7(a thru k), 8(a,b,c,g), 9(a,e) in Appendix.

Categories of individuals covered by the system: (1) Individuals who are applicants to lease, purchase, rent, or transfer lands. (2) Individuals who are successful applicants.

Categories of records in the system: Notice of Availability of lands (advertising) requests, contracts, renewals, and other supporting data concerning the sale, lease, rental, or transfer of Reclamation-owned lands.

Authority for maintenance of the system: (1) Taylor Grazing Act of June 28, 1934; (2) Uniform Relocation Assistance and Land Acquisition Policy Act of 1970; (3) Sale of Unproductive Public Land Act of May 16, 1930; (4) Section 4 of the Columbia Basin Project Act of March 10, 1943; (5) Disposal of Small Tracts Act of March 31, 1950; (6) Federal Property and Administrative Act of 1949 and amendments; (7) Act of February 2, 1911; (8) Act of May 20, 1920; (9) Reclamation Project Act of 1939; (10) Act of June 11, 1910.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The primary uses of the records are (a) make known to interested individuals lands available for lease, sale, or rental; (b) to administer leases, sales, rentals, and transfers. Disclosures outside the Department of the Interior may be made (1) to appropriate Federal agency if it concerns other than reclamation lands; (2) to various counties for possessory interest tax; (3) anticipated litigation; (4) of information indicating a violation or potential violation of a statute, regulation, rule, order or license, to appropriate Federal, State. local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license; (5) from the record of an individual in response to an inquiry from a Congressional office made at request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Complete file maintained in manual form in file folders.

Retrievability: By individual's name.

Safeguards: Maintained with safeguards meeting the requirements of 43 CFR 2.51 for manual records.

Retention and disposal: In accordance with approved Retention and Disposal Schedules.

System manager(s) and address: Chief, Division of General Services, U.S. Department of the Interior, Bureau of Reclamation, Washington, D.C. 20240.

Notification procedure: An individual may inquire whether or not the system contains a record pertaining to him by addressing a written request to the head of the appropriate office listed under Location (above). See 43 CFR 2.60.

Record access procedures: Same as Notification above. See 43 CFR 2.63.

Contesting record procedures: A petition for amendment should be addressed to the System Manager and must meet the content requirements of 43 CFR 2.71.

Record source categories: Individual on whom the record is maintained. County Recorder, Title companies, surveyors, and appraises.

INTERIOR/RECLAMATION-18

System name: Lease of Housing—Interior, Reclamation-18.

System location: Bureau of Reclamation offices numbered 3(a,c,e,f,g,j,l), 5, 6(a thru i), 7(a thru k), 8(a thru h), 9(b,c,e) in Appendix.

Categories of individuals covered by the system: Individuals who reside in Reclamation-owned housing.

Categories of records in the system: Miscellaneous requests, agreements, and pertinent records.

Authority for maintenance of the system: Reclamation Law of 1902, as amended, 43 U.S.C. 371, et seq.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The Primary uses of the records are (a) to administer leasing and utilization of housing. Disclosures outside the Department of the Interior may be made (1) to the U.S. Department of Justice when related to litigation or anticipated litigation; (2) of information indicating a violation or potential violation of a statute, regulation, rule, order or license, to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license; (3) from the record of an individual in response to an inquiry from a Congressional office made at the request of that individual; (4) to a Federal agency which has requested information relevant or necessary to its hiring or retention of an employee, or issuance of a security clearance, license, contract, grant or other benefit; (5) to Federal, State or local agencies here necessary to obtain information relevant to the hiring or retention of an employee, or the issuance of a security clearance, contract, license, grant or other benefit.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Completed file maintained in manual form in file folders.

Retrievability: By individual's name.

Safeguards: Maintained with safeguards meeting the requirements of 43 CFR 2.51 for manual records.

Retention and disposal: In accordance with approved Retention and Disposal Schedules.

System manager(s) and address: Chief, Division of General Services, U.S. Department of the Interior, Bureau of Reclamation, Washington, D.C. 20240.

Notification procedure: An individual may inquire whether or not the system contains a record pertaining to him by addressing a written request to the head of the appropriate office listed under Location (above). See 43 CFR 2.60.

Record access procedures: Same as Notification above. See 43 CFR 2.63.

Contesting record procedures: A petition for amendment should be addressed to the System Manager and must meet the content requirements of 43 CFR 2.71.

Record source categories: Individual on whom the record is maintained.

INTERIOR/RECLAMATION-19

System name: Mineral Location Entries—Interior, Reclamation-19.

System location: (1) Division of General Services, Bureau of Reclamation, U.S. Department of the Interior, Washington, D.C. 20240. (2) Reclamation offices numbered 3, 5(a thru d), 7(a thru k) in Appendix.

Categories of individuals covered by the system: Individual who has mineral entry on land Reclamation needs for Reclamation purposes.

Categories of records in the system: Data concerning entry and final disposition of claim.

Authority for maintenance of the system: Act of April 23, 1932, 47 Stat. 136.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The Primary uses of the records are (a) to determine disposition of claims. Disclosures outside the Department of the Interiod may be made (1) to the U.S. Department of Justice when related to litigation or anticipated litigation; (2) of information indicating a violation or potential violation of a statute, regulation, rule, order or license, to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license; (3) from the record of an individual in response to an inquiry from a Congressional office made at the request of that individual; (4) to a Federal agency which has requested information relevant or necessary to its hiring or retention of an employee, or issuance of a security clearance, license, contract, grant or other benefit; (5) to Federal, State or local agencies where necessary to obtain information relevant to the hiring or retention of an employee, or the issuance of a security clearance, contract, license, grant or other benefit.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Complete file maintained in manual form in file folders.

Retrievability: By individual's name.

Safeguards: Maintained with safeguards meeting the requirements of 43 CFR 2.51 for manual records.

Retention and disposal: In accordance with approved Retention and Disposal Schedules.

System manager(s) and address: Chief, Division of General Services, U.S. Department of the Interior, Bureau of Reclamation, Washington, D.C. 20240.

Notification procedure: An individual may inquire whether or not the system contains a record pertaining to him by addressing a written request to the head of the appropriate office listed under Location (above). See 43 CFR 2.60.

Record access procedures: Same as Notification above. See 43 CFR 2.63.

Contesting record procedures: A petition for amendment should be addressed to the System Manager and must meet the content requirements of 43 CFR 2.71.

Record source categories: Individual on whom the record is maintained.

INTERIOR/RECLAMATION-20

System name: Movable Property ADP Records—Interior, Reclamation-20.

System location: (1) Division of General Services, Bureau of Reclamation, U.S. Department of the Interior, Washington, D.C. 20240. (2) Reclamation offices numbered 3(a thru l), 4(a thru j), 6(a thru i), 7(a thru k), 8(a thru h), in Appendix.

Categories of individuals covered by the system: Individual employees who are responsible for movable property.

Categories of records in the system: General file material and ADP printouts for Property Management.

Authority for maintenance of the system: 40 U.S.C. 483(b).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The primary uses of the records are (a) to identify responsible individuals for accountability of movable property. disclosures outside the Department of the Interior may be made (1) to the U.S. Department of Justice when related to litigation or anticipated litigation; (2) of information indicating a violation or potential violation of a statute, regulation, rule, order or license, to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license; (3) from the record of an individual in response to an inquiry from a Congressional office made at the request of that individual; (4) to a Federal agency which has requested information relevant or necessary to its hiring or retention of an employee, or issuance of a security clearance, license, contract, grant or other benefit; (5) to Federal, State or local agencies where necessary to obtain information relevant to the hiring or retention of an employee, or the issuance of a security clearance, contract, license, grant or other benefit.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Complete file maintained in manual form in file folders.

Retrievability: By individual's name.

Safeguards: Maintained with safeguards meeting the requirements of 43 CFR 2.51 for manual records.

Retention and disposal: In accordance with approved Retention and Disposal Schedules.

System manager(s) and address: Chief, Division of General Services, U.S. Department of the Interior, Bureau of Reclamation, Washington, D.C. 20240.

Notification procedure: An individual may inquire whether or not the system contains a record pertaining to him by addressing a written request to the head of the office listed under Location (above) servicing the facility at which he is (or was) employed. See 43 CFR 2.60.

Record access procedures: Same as Notification above. See 43 CFR 2.63.

Contesting record procedures: A petition for amendment should be addressed to the System Manager and must meet the content requirements of 43 CFR 2.71.

Record source categories: Individual on whom the record is maintained.

INTERIOR/RECLAMATION-21

System name: Movable Property Individual Responsibility—Interior, Reclamation-21.

System location: General Services Branch, Engineering and Research Center, P.O. Box 25007, Bldg. 67, Denver Federal Center, Denver, Colorado 80225.

Categories of individuals covered by the system: Division, branch, and section head personnel, also some secretaries and technicians, authorized to sign for property.

Categories of records in the system: Contains employee number assigned to individuals by the Property and Purchasing Branch. Contains a list of equipment assigned to the individual.

Authority for maintenance of the system: 40 U.S.C. 483(b).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The primary uses of the records are (a) to account for all property charged to individuals; (b) to record acquisition-relinquishments and other transactions. Disclosures outside the Department of the Interior may be made (1) to the U.S. Department of Justice when related to litigation or anticipated litigation; (2) of information indicating a violation or potential violation of a statute, regulation, rule, order or license, to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license; (3) from the record of an individual in response to an inquiry from a Congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Maintained on computer.

Retrievability: By employee number.

Safeguards: Records are stored in metal cabinets.

Retention and disposal: Records are maintained between inventories and then destroyed. In accordance with approved retention and disposal schedules.

System manager(s) and address: Chief, Division of General Services, U.S. Department of the Interior, Bureau of Reclamation, Washington, D.C. 20240.

Notification procedure: An individual may inquire whether or not the system contains a record pertaining to him by addressing a written request to the head of the office listed under Location (above). See 43 CFR 2.60.

Record access procedures: Same as Notification above. See 43 CFR 2.63.

Contesting record procedures: A petition for amendment should be addressed to the System Manager and must meet the content requirements of 43 CFR 2.71.

Record source categories: Individual on whom the record is maintained and the Property and Purchasing Branch.

INTERIOR/RECLAMATION-22

System name: Oil and Gas Applications—Interior, Reclamation-22.

System location: (1) Division of General Services, Bureau of Reclamation, U.S. Department of the Interior, Washington, D.C. 20240. (2) Reclamation offices numbered 3(a thru i), 5(a thru d), 6(a thru i), 7(a thru k), 8(a thru h), 9(c) in Appendix.

Categories of individuals covered by the system: Individuals who have filed for Oil and Gas Leases.

Categories of records in the system: Applications under the mineral Leasing Act of February 25, 1920, as amended, 30 U.S.C. 181, et seq. Applications are identified by Bureau of Land Management serial numbers.

Authority for maintenance of the system: 30 U.S.C. 181, et seq., 44 U.S.C. 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The primary uses of the records are (a) for proof and purpose of applications, and land status information. Disclosures outside the Department of the Interior may be made (1) to the U.S. Department of Justice when related to litigation or anticipated litigation; (2) of information indicating a violation or potential violation of a statute, regulation, rule, order or license, to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule regulation, order or license; (3) from the record of an individual in response to an inquiry from a Congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Complete file maintained in manual form in file folders.

Retrievability: By individual's name.

Safeguards: Maintained with safeguards meeting the requirements of 43 CFR 2.51 for manual records.

Retention and disposal: In accordance with approved Retention and Disposal Schedules.

System manager(s) and address: Chief, Division of General Services, U.S. Department of the Interior, Bureau of Reclamation, Washington, D.C. 20240.

Notification procedure: An individual may inquire whether or not the system contains a record pertaining to him by addressing a written request to the head of the appropriate office listed under Location (above). See 43 CFR 2.60.

Record access procedures: Same as Notification above. See 43 CFR 2.63.

Contesting record procedures: A petition for amendment should be addressed to the System Manager and must meet the content requirements of 43 CFR 2.71.

Record source categories: Individual on whom record is maintained.

INTERIOR/RECLAMATION-25

System name: Personal Author Reports—Interior, Reclamation-25.

System location: General Services Branch, Bureau of Reclamation, Engineering and Research Center, P.O. Box 25007, Bldg. 67, Denver Federal Center, Denver, Colorado 80225.

Categories of individuals covered by the system: Individuals writing technical reports of interest to Reclamation.

Categories of records in the system: Contains name of author and other biographical information.

Authority for maintenance of the system: 43 U.S.C. 373, 373a, 1457, 44 U.S.C. 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The primary uses of the records are (a) to research technical reports by authors. Disclosures outside the Department of the Interior may be made to the general public.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Manual records.

Retrievability: Indexed by name.

Retention and disposal: Retained indefinitely. In accordance with approved retention and disposal schedules.

System manager(s) and address: Chief, Division of General Services, U.S. Department of the Interior, Bureau of Reclamation, Washington, D.C. 20240.

Notification procedure: An individual may inquire whether or not the system contains a record pertaining to him by addressing a written request to the head of the office listed under Location above. See 43 CFR 2.60.

Record access procedures: Same as Notification above. See 43 CFR 2.63.

Contesting record procedures: A petition for amendment should be addressed to the System Manager and must meet the content requirements of 43 CFR 2.71.

Record source categories: Document.

INTERIOR/RECLAMATION-26

System name: Photographic Files—Interior, Reclamation-26.

System location: (1) General Services Branch, Bureau of Reclamation, Engineering and Research Center, P.O. Box 25007, Bldg. 67, Denver Federal Center, Denver, Colorado 80225. (2) Reclamation offices numbered 6 (a thru i) in Appendix.

Categories of individuals covered by the system: Individuals earning awards or service pins and individuals doing research for reports.

Categories of records in the system: Contains photograph of individuals by name. Contains name, date, and research number with caption describing research event.

Authority for maintenance of the system: 43 U.S.C. 373, 373a, 1457.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The primary uses of the records are (a) in the administration of Bureau award and research programs. Disclosures outside the Department of the Interior may be made (1) to the U.S. Department of Justice when related to litigation or anticipated litigation; (2) of information indicating a violation or potential violation of a statute, regulation, rule, order or license, to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license; (3) from the record of an individual in response to an inquiry from a Congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Maintained on photographic print paper of various sizes.

Retrievability: Indexed by name and number.

Safeguards: Filed in metal file cabinets.

Retention and disposal: Records Management Handbook No. 2. In accordance with approved retention and disposal schedules.

System manager(s) and address: Chief, Division of General Services, U.S. Department of the Interior, Bureau of Reclamation, Washington, D.C. 20240.

Notification procedure: An individual may inquire whether or not the system contains a record pertaining to him by addressing a written request to the head of the office listed under location above. See 43 CFR 2.60.

Record access procedures: Same as Notification above. See 43 CFR 2.63.

Contesting record procedures: A petition for amendment should be addressed to the System Manager and must meet the content requirements of 43 CFR 2.71.

Record source categories: Individual on whom the record is maintained and supervisors.

INTERIOR/RECLAMATION-27

System name: Publication Sales—Interior, Reclamation-27.

System location: General Services Branch, Bureau of Reclamation, Engineering and Research Center, P.O. Box 25007, Bldg. 67, Denver Federal Center, Denver, Colorado 80225.

Categories of individuals covered by the system: Individuals purchasing Reclamation publications.

Categories of records in the system: Contains the name and address of individuals purchasing Reclamation publications together with the amount of money remitted for same.

Authority for maintenance of the system: 43 U.S.C. 373, 373a, 1457, 44 U.S.C. 3101, 31 U.S.C. 65, et seq.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The primary uses of the records are (a) to account for monies received for publications. Disclosures outside the Department of the Interior may be made (1) to the Government Printing Office for publications; (2) to the U.S. Department of Justice when related to litigation or anticipated litigation; (3) of information indicating a violation or potential violation of a statute, regulation, rule, order or license, to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license; (4) from the record of an individual in response to an inquiry from a Congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Maintained on 8 x 10 1/2 inch forms and correspondence.

Retrievability: Indexed by name.

Safeguards: Records are stored on open shelf files.

Retention and disposal: Records are maintained in accordance with Records Management Handbood No. 2. In accordance with approved retention and disposal schedules.

System manager(s) and address: Chief, Division of General Services, U.S. Department of the Interior, Bureau of Reclamation, Washington, D.C. 20240.

Notification procedure: An individual may inquire whether or not the system contains a record pertaining to him by addressing a written request to the head of the office listed under location above. See 43 CFR 2.60.

Record access procedures: Same as Notification above. See 43 CFR 2.63.

Contesting record procedures: A petition for amendment should be addressed to the System Manager and must meet the content requirements of 43 CFR 2.71.

Record source categories: Individual on whom the record is maintained.

INTERIOR/RECLAMATION-28

System name: Real Property and Right-of-Way Acquisitions—Interior, Reclamation-28.

System location: (1) Division of General Services, Bureau of Reclamation, U.S. Department of the Interior, Washington, D.C. 20240. (2) Reclamation offices numbered 3 (a thru j), 4 (a thru j), 5 (a thru d), 6 (a thru i), 7 (a thru k), 8 (a thru h), 9 (a,b,e) in Appendix.

Categories of individuals covered by the system: Individual landowners from whom Bureau of Reclamation has purchased or condemned land, exercised reserved right-of-way, or received donation deeds, or from whom the Bureau is in the process of acquiring land or interests therein.

Categories of records in the system: Contains records concerning acquisition of land or right-of-way, including correspondence, appraisal reports, land descriptions, releases of prior liens, contracts to purchase, agreements between landowners and Reclamation, Notice of Exercise of Right-of-Way, payment data, copies of condemnation actions, and other supporting data required in specific transactions.

Authority for maintenance of the system: (1) Reclamation Act of 1902, as amended, and acts supplemental thereto, 43 U.S.C. 371, et seq., (2) Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, 42 U.S.C. 4651, et seq., (3) Act of August 30, 1890 (26 Stat. 391), as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The primary uses of the records are (a) to maintain record of ownership of lands and rights-of-way acquired for Reclamation purposes. Disclosure outside the Department of the Interior may be made (1) to transfer administration of the land for transmission of power, recreation, fish and wildlife activities, and other purposes as required to another Federal agency, State and local government; (2) to transmit deeds to local County government to record ownership data; (3) to furnish copy of deed to appropriate irrigation district operating the irrigation system to advise right-of-way avialable in operating the system; (4) to transmit documents to Department of Justice for title opinion; (5) to the U.S. Department of Justice when related to litigation or anticipated litigation; (6) of information indicating a violation or potential violation of a statute, regulation, rule, order or license, to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license; (7) from the record of an individual in response to an inquiry from a Congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Complete file maintained in manual form in file folders.

Retrievability: By individual's name.

Safeguards: Maintained with safeguards meeting the requirements of 43 CFR 2.51 for manual records.

Retention and disposal: In accordance with approved Reclamation and Disposal Schedules.

System manager(s) and address: Chief, Division of General Services, U.S. Department of the Interior, Bureau of Reclamation, Washington, D.C. 20240.

Notification procedure: An individual may inquire whether or not the system contains a record pertaining to him by addressing a written request to the head of the appropriate office listed under Location above. See 43 CFR 2.60.

Record access procedures: Same as Notification above. See 43 CFR 2.63.

Contesting record procedures: A petition for amendment should be addressed to the System Manager and must meet the content requirements of 43 CFR 2.71.

Record source categories: Individual landowners, County Recorders, title companies.

Systems exempted from certain provisions of the act: The Privacy Act does not entitle an individual to access to information prepared in reasonable anticipation of a civil action or proceeding.

INTERIOR/RECLAMATION-29

System name: Right-of-Way Applications—Interior, Reclamation-29

System location: (1) Division of General Services, Bureau of Reclamation, U.S. Department of the Interior, Washington, D.C. 20240. (2) Reclamation offices numbered 3(a thru j), 5(a thru d), 7(a thru k), 8(a thru h), 9 in Appendix.

Categories of individuals covered by the system: Applicants for right-of-way may or may not be identified by Bureau of Land Management serial numbers, Land description, value, and instrument of ownership.

Categories of records in the system: Applications for right-of-way.

Authority for maintenance of the system: Reclamation Act of 1902, as amended, and acts supplementary thereto, 43 U.S.C. 371, et seq.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The primary uses of the records are (a) to maintain land status information and proof of right-of-way permits for legal purposes. Disclosures outside the Department of the Interior may be made (1) to the U.S. Department of Justice when related to litigation or anticipated litigation; (2) of Information indicating a violation or potential violation of a statute, regulation, rule, order or license, to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license; (3) from the record of an individual in response to an inquiry from a Congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Complete file maintained in manual form in file folders.

Retrievability: By individual's name.

Safeguards: Maintained with safeguards meeting the requirements of 43 CFR 2.51 for manual records.

Retention and disposal: In accordance with approved Retention and Disposal Schedules.

System manager(s) and address: Chief, Division of General Services, U.S. Department of the Interior, Bureau of Reclamation, Washington, D.C. 20240.

Notification procedure: An individual may inquire whether or not the system contains a record pertaining to him by addressing a written request to the head of the appropriate office listed under Location above. See 43 CFR 2.60.

Record access procedures: Same as Notification above. See 43 CFR 2.63.

Contesting record procedures: A petition for amendment should be addressed to the System Manager and must meet the content requirements of 43 CFR 2.71.

Record source categories: Individual on whom record is maintained County Recorders, and Title companies.

INTERIOR/RECLAMATION-31

System name:

Acreage Limitation—Interior, Reclamation-31.

System location:

Bureau of Reclamation Engineering and Research Center, Regional Offices: Pacific Northwest, Mid-Pacific, Lower Colorado, Upper Colorado, Southwest, Upper Missouri, Lower Missouri. See appendix for addresses.

Categories of individuals covered by the system:

All individuals and entities that own or lease land subject to the acreage limitation provisions of Reclamation law, including individual landholders required to dispose of excess lands and individuals who are applicants to purchase excess lands.

Categories of records in the system:

Legal descriptions or Assessor Parcel Numbers of individually owned or leased lands which are subject to acreage limitation law, including, where appropriate, deeds, agreements to sell or purchase, lease/purchase options, and contracts relative to land ownership transfers. In addition, the system may contain the names of sellers and buyers of excess land and other pertinent details of the sales. Information, as required, for an eligibility determination by the Bureau of Reclamation of an individual's excess/nonexcess status under the Reclamation Reform Act, terms of leases, and names of lessors and lessees. The system will contain citizenship status and home addresses and telephone numbers of landholders. Social Security numbers may also be on record; disclosure of this information is voluntary.

Authority for maintenance of the system:

Reclamation Act of 1902 as amended and acts supplemental thereto, 43 U.S.C. 371, et seq., especially sections 206, 224, and 228 of the Reclamation Reform Act of 1982, Pub. L. 97-293.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary purpose of the system is to obtain written information from individuals and entities on their landholdings which are subject to acreage limitation law and a signed statement that the information provided is accurate and complete. The original certification and reporting forms are maintained in the irrigation districts of origin. Copies of such forms indicating multidistrict landholdings, full-cost acreage, and excess lands are provided to the Bureau for administration and recordkeeping. In addition, data from these forms which indicate multidistrict landholdings is entered into the computer system to determine compliance with Reclamation law. The data collected is used only by irrigation district and Reclamation personnel to determine compliance with Reclamation law. Disclosures outside the Department of the Interior may be made: (1) To the Department of Justice when related to litigation or anticipated litigation; (2) of information indicating a violation or potential violation of a statute, regulation, rule, or license to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license; (3) from the record of an individual in response to an inquiry from a congressional office made at the request of that individual; and (4) to non-Federal auditors under contract with the Departments of Interior or Energy or water user and other organizations with which the Bureau of Reclamation has written agreements permitting access to financial records to perform financial audits.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders and on computer.

Retrievability:

Manual records are retrieved by water district and/or landholder name, by land parcel number, and by a sale number. Automated records are retrieved by district identification number, sale number, landholder name, or social security number, if available, and other data codes identifying property characteristics.

Safeguards:

In accordance with requirements of 43 CFR 2.51 for computer and manual records.

Retention and disposal:

In accordance with approved retention and disposal schedules.

System manager(s) and address:

Water and Land Officers. Bureau of Reclamation Engineering and Research Center, Regional Offices: Pacific Northwest, Mid-Pacific, Lower Colorado, Upper Colorado, Southwest, Upper Missouri, Lower Missouri. See appendix for addresses.

Notification procedure:

Written inquiries regarding the existence of a record(s) should be sent to the System Manager at the appropriate address listed in the appendix. See 43 CFR 2.60.

Record access procedures:

Same as Notification above. See 43 CFR 2.63

Contesting record procedures:

Written petitions for amendment should be addressed to the System Manager at the appropriate office listed in the appendix. See 43 CFR 2.71.

Record source categories:

Individuals on whom records are maintained, official county records, and land appraisers.

INTERIOR/RECLAMATION-32

System name: Special Use Applications, Licenses, and Permits—Interior, Reclamation-32.

System location: (1) Division of General Services, Bureau of Reclamation, U.S. Department of the Interior, Washington, D.C. 20240. (2) Reclamation offices numbered 3(a thru j), 4(a thru j), 5(a thru d), 6(a thru i), 7(a thru k), 9(a, b, c) in Appendix.

Categories of individuals covered by the system: Individuals who secure licenses and permits concerning Reclamation owned facilities.

Categories of records in the system: (1) Applications, (2) Licenses, (3) Permits, (4) Miscellaneous supporting data.

Authority for maintenance of the system: (1) Reclamation Law of 1902, as amended, and acts supplemental thereto, 43 U.S.C. 371, et seq.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The primary uses of the records are (a) to administer Reclamation-owned lands and facilities; (b) to allow individuals, firms or other Government entities to use Reclamation lands for special limited uses. Disclosures outside the Department of the Interior may be made (1) to the U.S. Department of Justice when related to litigation or anticipated litigation; (2) of information indicating a violation or potential violation of a statute, regulation, rule, order or license, to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license; (3) from the record of an individual in response to an inquiry from a Congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Complete file maintained in manual form in file folders.

Retrievability: By individual's name.

Safeguards: Maintained with safeguards meeting the requirements of 43 CFR 2.51 for manual records.

Retention and disposal: In accordance with approved Retention and Disposal Schedules.

System manager(s) and address: Chief, Division of General Services, U.S. Department of the Interior, Bureau of Reclamation, Washington, D.C. 20240.

Notification procedure: An individual may inquire whether or not the system contains a record pertaining to him by addressing a written request to the head of the appropriate office listed under Location above. See 43 CFR 2.60.

Record access procedures: Same as Notification above. See 43 CFR 2.63.

Contesting record procedures: A petition for amendment should be addressed to the System Manager and must meet the requirements of 43 CFR 2.71.

Record source categories: Individual on whom record is maintained.

INTERIOR/RECLAMATION-33

System name: Speeches—Interior, Reclamation-33.

System location: (1) Division of General Services, Bureau of Reclamation, U.S. Department of the Interior, Washington, D.C. 20240. (2) General Services Branch, Bureau of Reclamation, Engineering and Research Center, P.O. Box 25007, Bldg. 67, Denver Federal Center, Denver, Colorado 80225. (3) Reclamation offices numbered 3(a thru l), 5, 6(a thru i), 8(a thru h), 9 in Appendix.

Categories of individuals covered by the system: Bureau of Reclamation employees.

Categories of records in the system: Copies of speeches delivered by Bureau employees generally on the subject of Reclamation activities.

Authority for maintenance of the system: 43 U.S.C. 373, 373a, 1457, 44 U.S.C. 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The primary uses of the records are (a) for reference purposes by Public Relations Officer.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper copies maintained in file folders.

Retrievability: Classified by subject code and arranged in alphabetical order by name of individual and office in which employee is employed.

Safeguards: Maintained with safeguards meeting the requirements of 43 CFR 2.51.

Retention and disposal: Permanent retention for copies of speeches held in office speaker is employed. In accordance with approved retention and disposal schedules.

System manager(s) and address: Chief, Division of General Services, U.S. Department of the Interior, Bureau of Reclamation, Washington, D.C. 20240.

Notification procedure: An individual may inquire whether or not the system contains a record pertaining to him by addressing a written request to the head of the office listed under Location (above) servicing the facility at which he is (or was) employed. See 43 CFR 2.60.

Record access procedures: Same as Notification above. See 43 CFR 2.63.

Contesting record procedures: A petition for amendment should be addressed to the System Manager and must meet the content requirements of 43 CFR 2.71.

Record source categories: Individual on whom record is maintained.

INTERIOR/RECLAMATION-34

System name: Thefts Listing—Interior, Reclamation-34.

System location: General Services Branch, Engineering and Research Center, P.O. Box 25007, Bldg. 67, Denver Federal Center, Denver, Colorado 80225.

Categories of individuals covered by the system: Individuals reporting loss or theft.

Categories of records in the system: Contains name, room number, telephone extension of person reporting loss of materials through theft.

Authority for maintenance of the system: 5 U.S.C. 3101, 43 U.S.C. 373, 373a, 1457, 44 U.S.C. 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The primary uses of the records are (a) to document reporting of loss or theft. Disclosures outside the Department of the Interior may be made (1) to the U.S. Department of Justice when related to litigation or anticipated litigation; (2) of information indicating a violation or potential violation of a statute, regulation, rule, order or license, to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license; (3) from the record of an individual in response to an inquiry from a Congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Manual.

Retrievability: By name of reporting individual.

Safeguards: In locked desk and locked cabinets.

Retention and disposal: Records Management Handbook No. 2. In accordance with approved retention and disposal schedules.

System manager(s) and address: Chief, Division of General Services, U.S. Department of the Interior, Bureau of Reclamation, Washington, D.C. 20240.

Notification procedure: An individual may inquire whether or not the system contains a record pertaining to him by addressing a written request to the head of the offices listed under Location above. See 43 CFR 2.60.

Record access procedures: Same as Notification above. See 43 CFR 2.63.

Contesting record procedures: A petition for amendment should be addressed to the System Manager and must meet the content requirements of 43 CFR 2.71.

Record source categories: Individual on whom the record is maintained.

INTERIOR/RECLAMATION-35

System name: Travel Approval Authorizations and Reports—Interior, Reclamation-35.

System location: (1) Division of General Services, Bureau of Reclamation, U.S. Department of the Interior, Washington, D.C. 20240. (2) Reclamation offices numbered 3(a thru l), 4(a thru j), 5, 6(a thru i), 7(a thru k).

Categories of individuals covered by the system: Reclamation employees authorized to travel.

Categories of records in the system: Travel authorization.

Authority for maintenance of the system: 5 U.S.C. 5701, et seq., 7 GAO--Policy and Procedures Manual for guidance of Federal Agencies.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The primary uses of the records are (a) to authorize employees to travel on official business. Disclosures outside the Department of the Interior may be made (1) to the U.S. Department of Justice when related to litigation or anticipated litigation; (2) of information indicating a violation or potential violation of a statute, regulation, rule, order or license, to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license; (3) from the record of an individual in response to an inquiry from a Congressional office made at the request of that individual; (4) to a Federal agency which has requested information relevant or necessary to its hiring or retention of an employee, or issuance of a security clearance, license, contract, grant or other benefit; (5) to Federal, State or local agencies where necessary to obtain information relevant to the hiring or retention of an employee, or the issuance of a security clearance, contract, license, grant or other benefit.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Complete file maintained in manual form in file folders.

Retrievability: By individual's name.

Safeguards: Maintained with safeguards meeting the requirements of 43 CFR 2.51 for manual records.

Retention and disposal: In accordance with approved Retention and Disposal Schedules.

System manager(s) and address: Chief, Division of General Services, U.S. Department of the Interior, Bureau of Reclamation, Washington, D.C. 20240.

Notification procedure: An individual may inquire whether or not the system contains a record pertaining to him by addressing a written request to the head of the office listed under Location (above) servicing the facility at which he is (or was) employed. See 43 CFR 2.60.

Record access procedures: Same as Notification above. See 43 CFR 2.63.

Contesting record procedures: A petition for amendment shall be addressed to the System Manager and must meet the content requirements of 43 CFR 2.71.

Record source categories: Individual on whom the record is maintained.

INTERIOR/RECLAMATION-36

System name:

Travel Vouchers—Interior, Reclamation-36.

System location:

Bureau of Reclamation Headquarters Offices, Engineering and Research Center, Regional Offices: Pacific Northwest, Mid-Pacific, Lower Colorado, Upper Colorado, Southwest, Upper Missouri, Lower Missouri. See appendix for addresses.

Categories of individuals covered by the system:

Individual Reclamation employees who have traveled on official business.

Categories of records in the system:

Payment data for official travel performed.

Authority for maintenance of the system:

5 U.S.C. 5701, et seq.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary use of the records is for payment of travel and transportation expenses. Disclosures outside the Department of the Interior may be made: (1) To the Department of Justice when related to litigation or anticipated litigation; (2) of information indicating a violation or potential violation of a statute, regulation, rule, order, or license to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license; (3) from the record of an individual in response to an inquiry from a congressional office made at the request of that individual; (4) where relevant or necessary to the hiring or retention of an employee, or the issuance of a security clearance, license, contract, grant, or other benefit, information may be disclosed: (a) To a Federal agency that has requested the information, or (b) to a Federal, State, or local agency to enable the Department of the Interior to obtain information from such agency; (5) to a Federal agency for the purpose of collecting a debt owed the Federal Government through administrative or salary offset.

Disclosure to consumer reporting agencies:

Disclosures pursuant to 5 U.S.C. 552a(b)(12). Disclosures may be made from this system to consumer reporting agencies as defined in the Fair Credit Reporting Act (15 U.S.C. 1681a(f)) or the Federal Claims Collection Act of 1966 (31 U.S.C. 3701(a)(3)).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

By individual name.

Safeguards:

In accordance with requirements of 43 CFR 2.51 for manual records.

Retention and disposal:

Records are maintained for 6 years and 3 months after the close of the fiscal year, unless involved in litigation. Disposal is in accordance with approved retention and disposal schedules.

System manager(s) and address:

Finance Officers. Bureau of Reclamation Headquarters Offices, Engineering and Research Center, Regional Office: Pacific Northwest, Mid-Pacific, Lower Colorado, Upper Colorado, Southwest, Upper Missouri, Lower Missouri. See appendix for addresses

Notification procedure:

Written inquiries regarding the existence of a record(s) should be sent to the System Manager at the appropriate address listed in the appendix. See 43 CFR 2.60.

Record access procedures:

Same as Notification above. See 43 CFR 2.63.

Contesting record procedures:

Written petitions for amendment should be addressed to the appropriate office listed in the appendix. See 43 CFR 2.71.

Record source categories:

Individuals on whom records are maintained.

INTERIOR/RECLAMATION-37

System name: Trespass Cases—Interior, Reclamation-37.

System location: (1) Division of General Services, Bureau of Reclamation, U.S. Department of the Interior, Washington, D.C. 20240. (2) Reclamation offices numbered 3(a thru l), 5(a thru d), 7(a thru k), 9(b, c) in Appendix.

Categories of individuals covered by the system: Individual who trespasses on Government-owned property.

Categories of records in the system: Contains correspondence re trespass, interim problems, and final disposition of case.

Authority for maintenance of the system: (1) Reclamation Act of 1902, as amended, and acts supplementary thereto, 43 U.S.C. 371, et seq.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The primary uses of the records are (a) to document final disposition of trespass. Disclosures outside the Department of the Interior may be made (1) to the U.S. Department of Justice when related to litigation or anticipated litigation; (2) of information indicating a violation or potential violation of a statute, regulation, rule, order or license, to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license; (3) from the record of an individual in response to an inquiry from a Congressional office made at the request of that individual; (4) to a Federal agency which has requested information relevant or necessary to its hiring or retention of an employee, or issuance of a security clearance, license, contract, grant or other benefit; (5) to Federal, State or local agencies where necessary to obtain information relevant to the hiring or retention of an employee, or the issuance of a security clearance, contract, license, grant or other benefit.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Complete file maintained in manual form in file folders.

Retrievability: By individual's name.

Safeguards: Maintained with safeguards meeting the requirements of 43 CFR 2.51 for manual records.

Retention and disposal: In accordance with approved Retention and Disposal Schedules.

System manager(s) and address: Chief, Division of General Services, U.S. Department of the Interior, Bureau of Reclamation, Washington, D.C. 20240.

Systems exempted from certain provisions of the act: Under the specific exemption authority provided by 5 U.S.C 552a(k)(2), the Department of the Interior has adopted a regulation, 43 CFR 2.79(b), which exempts this system from the provisions of 5 U.S.C. 552a(c)(3), (d), (e)(1), (e)(4)(G), (H) and (I) and (f) and the portions of 43 CFR, Part 2, Subpart C which implement these provisions. The reasons for adoption of this regulation are set out at 40 FR 37217 (August 26, 1975).

INTERIOR/RECLAMATION-38

System name: Water Right Applications—Interior, Reclamation-38.

System location: (1) Division of General Services, Bureau of Reclamation, U.S. Department of the Interior, Washington, D.C. 20240. (2) Reclamation offices numbered 3(a, c, g, h, j), 4(a thru j), 5(d), 7(a thru k), 9(c) in Appendix.

Categories of individuals covered by the system: Individual homesteaders who are eligible to receive water right certificates.

Categories of records in the system: Individual water right applications and supporting papers.

Authority for maintenance of the system: (1) Reclamation Act of 1902, as amended, and acts supplementary thereto, 43 U.S.C. 371, et seq. (2) Act of August 9, 1912 (37 Stat. 265), and any acts amendatory or supplementary thereto.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The primary uses of the records are (a) for administration and negotiation of water right applications with individual landowners; (b) to entitle purchaser of water right certificate to final water right certificate upon completion of statutory requirements. Disclosures outside the Department of the Interior may be made (1) to the U.S. Department of Justice when related to litigation or anticipated litigation; (2) of information indicating a violation or potential violation of a statute, regulation, rule, order or license, to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license; (3) from the record of an individual in response to an inquiry from a Congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Complete file maintained in manual form in file folders.

Retrievability: By individual's name.

Safeguards: Maintained with safeguards meeting the requirements of 43 CFR 2.51 for manual records.

Retention and disposal: In accordance with approved Retention and Disposal Schedules.

System manager(s) and address: Chief, Division of General Services, U.S. Department of the Interior, Bureau of Reclamation; Washington, D.C. 20240.

Notification procedure: An individual may inquire whether or not the system contains a record pertaining to him by addressing a written request to the head of the appropriate office listed under Location above. See 43 CFR 2.60.

Record access procedures: Same as Notification above. See 43 CFR 2.63.

Contesting record procedures: A petition for amendment should be addressed to the System Manager and must meet the content requirements of 43 CFR 2.71.

Record source categories: Individual on whom the record is maintained.

INTERIOR/RECLAMATION-39

System name: Water Rights Acquisition—Interior, Reclamation-39.

System location: (1) Division of General Services, Bureau of Reclamation, U.S. Department of the Interior, Washington, D.C. 20240. (2) Reclamation offices numbered 3(a,c,g,h,i) 4(a thru j), 6(a thru i), 7(a thru k) in Appendix.

Categories of individuals covered by the system: Material pertaining to acquisition by the Bureau, by purchase or donation, etc., of water rights by others.

Categories of records in the system: Individual water service and agreements on diversion of water, along with related correspondence.

Authority for maintenance of the system: Reclamation Act of 1902, Section 8, 43 U.S.C. 372, 383.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The primary uses of the records are (a) for administration and negotiation of individual water service and agreements on division of water. Disclosures outside the Department of the Interior may be made (1) to the U.S. Department of Justice when related to litigation or anticipated litigation; (2) of information indicating a violation or potential violation of a statute, regulation, rule, order license, to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute rule, regulation, order or license; (3) from the record of an individual in response to an inquiry from a Congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Maintained in manual form in file folders.

Retrievability: Indexed by name of individual or landowner.

Safeguards: Maintained with safeguards meeting the requirements of 43 CFR 2.51 for manual records.

Retention and disposal: None—no official schedule. In accordance with approved retention and disposal schedules.

System manager(s) and address: Chief, Division of General Services, U.S. Department of the Interior, Bureau of Reclamation, Washington, D.C. 20240.

Notification procedure: An individual may inquire whether or not the system contains a record pertaining to him by addressing a written request to the head of the appropriate office listed under Location above. See 43 CFR 2.60.

Record access procedures: Same as Notification above. See 43 CFR 2.63.

Contesting record procedures: A petition for amendment should be addressed to the System Manager and must meet the content requirements of 43 CFR 2.71.

Record source categories: Individual landowners.

INTERIOR/RECLAMATION-40

System name: Water Sales and Delivery Contracts—Interior Reclamation-40.

System location: (1) Division of General Services, Bureau of Reclamation, U.S. Department of the Interior, Washington, D.C. 20240. (2) Reclamation offices numbered 3(a, c, g, j), 4(a thru j), 5(a thru d), 6(a thru i), 7(a thru k), 8(a thru h), 9(c) in Appendix.

Categories of individuals covered by the system: Individuals who purchase excess water, water from unassigned reservoir space for irrigation or domestic use.

Categories of records in the system: Requests for water, contracts for individuals to receive water and pertinent correspondence.

Authority for maintenance of the system: (1) The Reclamation Project Act of June 17, 1902 (Ch. 1093, 32 Stat. 388), and acts amendatory thereof and supplementary thereto, particularly the Reclamation Project Act of August 4, 1939 (Ch. 418, 53 Stat. 1187). (2) Reclamation Extension Act of August 13, 1914. (3) The Omnibus Adjustment Act of May 25, 1926. (4) Section 2 of the Rivers and Harbors Act of August 26, 1937 (Ch. 832, 50 Stat. 844). (5) Reclamation Project Act of 1939, (6) Flood Control Act of 1944, Section 8.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The primary uses of the records are (a) administration and negotiation of water sales contracts with individual landowner; (b) to sell water from Corps of Engineers dam and reservoir project. Disclosures outside the Department of the Interior may be made to State of California Water Resources Control Board for settlement of water rights; (1) to the U.S. Department of Justice when related to litigation or anticipated litigation; (2) of information indicating a violation or potential violation of a statute, regulation, rule, order or liecense, to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule regulation, order or license; (3) from the record of an individual in response to an inquiry from a Congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Complete file maintained in manual form in file folders.

Retrievability: By individual's name.

Safeguards: Maintained with safeguards meeting the requirements of 43 CFR 2.51 for manual records.

Retention and disposal: In accordance with approved Retention and Disposal Schedules.

System manager(s) and address: Chief, Division of General Services, U.S. Department of the Interior, Bureau of Reclamation, Washington, D.C. 20240.

Notification procedure: An individual may inquire whether or not the system contains a record pertaining to him by addressing a written request to the head of the appropriate office listed under Location above. See 43 CFR 2.60.

Record access procedures: Same as Notification above. See 43 CFR 2.63.

Contesting record procedures: A petition for amendment should be addressed to the System Manager and must meet the content requirements of 43 CFR 2.71.

Record source categories: Individual on whom record is maintained.

INTERIOR/RECLAMATION-41

System name: Permits—Interior, Reclamation-41.

System location: (1) Division of General Services, Bureau of Reclamation, U.S. Department of the Interior, Washington, D.C. 20240. (2) Reclamation offices numbered 3(a thru j), 5(a thru d), 6(a thru i), 7(a thru k) in Appendix.

Categories of individuals covered by the system: (1) Individual who permits Reclamation employees to enter on his land. (2) Individual with permits to enter Bureau land or facilities.

Categories of records in the system: Written permission to enter private lands or Reclamation lands and facilities; permission to erect and maintain structures.

Authority for maintenance of the system: (1) Reclamation Project Act of June 17, 1902, as amended, and supplemental laws, 43 U.S.C. 371, et seq.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) To allow Reclamation employees to perform required work on private lands. (2) To allow individuals to erect and maintain structures, on Bureau facilities or land. (3) Land status information, proof of permit and legal applications. (4) Transfer to U.S. Department of Justice in event of litigation involving the records or the subject matter of the records. (5) Transfer, in the event there is indicated a violation or potential violation of a statute, regulation, rule, order or license, whether civil, criminal, or regulatory in nature, to the appropriate agency or agencies, whether Federal, State, local or foreign, charged with the responsibility of investigation or prosecuting such violation or charged with enforcing or implementing the statute, rule, regulation, order or license violated or potentially violated.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Complete file maintained in manual form in file folders.

Retrievability: By individual's name.

Safeguards: Maintained with safeguards meeting the requirements of 43 CFR 2.51 for manual records.

Retention and disposal: In accordance with approved Retention and Disposal Schedules.

System manager(s) and address: Chief, Division of General Services, U.S. Department of the Interior, Bureau of Reclamation, Washington, D.C. 20240.

Notification procedure: An individual may inquire whether or not the system contains a record pertaining to him by addressing a written request to the head of the appropriate office listed under Location above. See 43 CFR 2.60.

Record access procedures: Same as Notification above. See 43 CFR 2.63.

Contesting record procedures: A petition for amendment should be addressed to the System Manager and must meet the content requirements of 43 CFR 2.71.

Record source categories: Individual on whom record is maintained and County Recorders.

INTERIOR/RECLAMATION-42

System name: Recordable Contracts--Interior, Reclamation-42.

System location: (1) Division of General Services, Bureau of Reclamation, U.S. Department of the Interior, Washington, D.C. 20240. (2) Reclamation offices numbered 3 (c, g), 4 (a thru j), 7 (a thru e), 8 (a thru h), 9 (c, d) in Appendix.

Categories of individuals covered by the system: Individual landowner who wishes to receive irrigation water from a Reclamation project.

Categories of records in the system: Appraisal and reappraisal documents; contracts agreeing to sell land at appraisal price; miscellaneous correspondence and data supporting appraisals and reappraisals.

Authority for maintenance of the system: (1) Interior Appropriation Act for 1927-277, 44 Stat. 453; (2) Omnibus Adjustment Act, Sec. 46, 44 Stat. 636; (3) Columbia Basin Poject Act; Sec. 2, 14, 57 Stat. 14; 1048, 64 Stat. 1037; 1060, 64 Stat. 1074; (4) Water Delivery After

Death of Spouse; Pub. L. 86-685, 74 Stat. 732; (5) Reclamation Act of 1902 and amendments; (6) Water Conservation and Utilization Act of October 14, 1940-54 Stat. 1119; (7) Small Reclamation Project Act; (8) Act of August 9, 1912; and (9) Act of July 11, 1956.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The primary uses of the records are (a) to determine value of excess land without reference to proposed construction of irrigation works; (b) to determine eligibility of land to receive water; (c) to establish eligibility of landowner to receive federally-financed project water. Disclosures outside the Department of the Interior may be made (1) to various counties for recording of agreement pertaining to sale of excess lands; (2) to the U.S. Department of Justice when related to litigation or anticipated litigation; (3) of information indicating a violation or potential violation of a statute, regulation, rule, order or license, to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license; (4) from the record of an individual in response to an inquiry from a Congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Complete file maintained in manual form in file folders.

Retrievability: By individual's name.

Safeguards: Maintained with safeguards meeting the requirements of 43 CFR 2.51 for manual records.

Retention and disposal: In accordance with approved Retention and Disposal Schedules.

System manager(s) and address: Chief, Division of General Services, U.S. Department of the Interior, Bureau of Reclamation, Washington, D.C. 20240.

Notification procedure: An individual may inquire whether or not the system contains a record pertaining to him by addressing a written request to the head of the appropriate office listed in Appendix A.

Record access procedures: Same as Notification above.

Contesting record procedures: A petition for amendment should be addressed to the System Manager and must meet the content requirements of 43 CFR 2.71.

Record source categories: Individual on whom record is maintained.

INTERIOR/RECLAMATION-43

System name: Real Estate Comparable Sales Data Storage—Interior, WPRS-43.

System location: This system of records is located only in the Regional Headquarters of the Mid-Pacific Region, 2800 Cottage Way, Sacramento, California 95825. See United States Directory of Federal Regional Structure, May 8, 1979.

Categories of individuals covered by the system: Individuals who own or lease property adjacent to or within the vicinity of property owned or leased by the Water and Power Resources Service (WPRS).

Categories of records in the system: Records contain data on the physical and nonphysical characteristics of properties having transferred ownership within the vicinity of Federal reclamation projects. Ownership transfers are defined herein as a transfer by deed, agreements to sell or purchase, leases, and contracts. In addition to the property characteristics, the records contain the terms, names, addresses, and telephone numbers of the parties involved, plus other official recorded data.

Authority for maintenance of the system: (1) Reclamation Act of 1902, as amended and acts supplemental thereto, 43 U.S.C. 371, et seq., (2) Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, 42 U.S.C. 4651, et. seq.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) To make available to the Department of the Interior, data concerning real estate which has transferred ownership within the vicinity of a reclamation project.

(2) For use as comparable data involving real estate appraisals in connection with acquisition programs, land disposals or leases of land owned by the United States, or appraisals of excess land in compliance with the acreage limitation.

(3) To make available to independent appraisers, which are under contract with the Water and Power Resources Service or the Department of Justice, comparable data for use in connection with an appraisal assignment.

(4) Transfer to the United States Department of Justice in the event of litigation involving the records or the subject matter of the records.

(5) Transfer, in the event there is indicated a violation or potential violation of a statute, regulation, rule, order, or license whether civil, criminal, or regulatory in nature, to the appropriate agency or agencies, whether Federal, State, local or foreign, charged with enforcing or implementing the statute, regulation, rule, order or license violated or potentially violated.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Maintained in manual, magnetic disk, magnetic tape, and printout form.

Retrievability: Records are indexed by Service assigned document control number and data field codes which identify property characteristics.

Safeguards: Maintained with safeguards meeting the requirements of 43 CFR 2.51.

Retention and disposal: Data stored on magnetic media is retained as permanent record. Manual records are disposed of when superseded.

System manager(s) and address: The System Manager for this system of records is as follows: Regional Real Estate Officer, United States Department of the Interior, Water and Power Resources Service, 2800 Cottage Way, Sacramento, California 95825.

Notification procedure: Inquiries regarding the existence of records should be addressed to Regional Director, Water and Power Resources Service, Mid-Pacific Region, 2800 Cottage Way, Sacramento, California 95825. A written, signed request, stating that the requestor seeks information concerning records pertaining to him is required. See 43 CFR 2.60.

Record access procedures: Same as Notification above. See 43 CFR 2.63.

Contesting record procedures: Same as Notification above. See 43 CFR 2.63.

Record source categories: Individuals on whom records are maintained, County Recorder, Title Companies, and Appraisers.

INTERIOR/RECLAMATION-44

System name: Vendor Payment Records—Interior, Reclamation-44.

System location: (1) Division of General Services, Bureau of Reclamation, U.S. Department of the Interior, Washington, D.C. 20240. (2) Reclamation offices numbered 3, 4 (a thru i), 5 (a thru d), 7 (a thru k), 9 (a thru e) in Appendix.

Categories of individuals covered by the system: Individual who furnishes supplies or services. (The records contained in this system which pertain to individuals contain principally proprietary information concerning sole proprietorships. Some of the records in the system which pertain to individuals may reflect personal information, however. Only the records reflecting personal information are subject to the Privacy Act. The system also contains records concerning corporations and other business entities. These records are not subject to the Privacy Act.)

Categories of records in the system: Contains name, service rendered, payments made, and supporting records.

Authority for maintenance of the system: 40 U.S.C. 486(c), 31 U.S.C. 66a.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The primary uses of the records are (a) for documentation to support disbursement of funds. Disclosures outside the Department of the Interior may be made (1) to the U.S. Department of Justice when related to litigation or anticipated litigation; (2) of information indicating a violation or potential violation of a statute, regulation, rule, order or license, to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license; (3) from the record of an individual in response to an inquiry from a Congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Complete file maintained in manual form in file folders.

Retrievability: By individual's name.

Safeguards: Maintained with safeguards meeting the requirements of 43 CFR 2.51 for manual records.

Retention and disposal: In accordance with approved Retention and Disposal Schedules.

System manager(s) and address: Chief, Division of General Services, U.S. Department of the Interior, Bureau of Reclamation, Washington, D.C. 20240.

Notification procedure: An individual may inquire whether or not the system contains a record pertaining to him by addressing a written request to the head of the appropriate office listed under location above. See 43 CFR 2.60.

Record access procedures: Same as Notification above. See 43 CFR 2.63.

Contesting record procedures: A petition for amendment should be addressed to the System Manager and must meet the content requirements of 43 CFR 2.71.

Record source categories: Individual on whom record is maintained.

INTERIOR/RECLAMATION-45

System name: Equipment, Supply and Service Contracts-Interior, Reclamation—45.

System location: (1) Division of General Services, Bureau of Reclamation, U.S. Department of the Interior, Washington, D.C. 20240. (2) General Services Branch, Bureau of Reclamation, Engineering and Research Center, P.O. Box 25007, Bldg. 67, Denver Federal Center, Denver, Colorado 80225. (3) Reclamation offices numbered 4 (a thru i), 5 (a thru d), 6 (a thru i), 7 (a thru k), 9 (a, b, e) in Appendix.

Categories of individuals covered by the system: Individuals who have entered into contracts with the agency for equipment, supplies, and services. (The records contained in this system which pertain to individuals contain principally proprietary information concerning sole proprietorships. Some of the records in the system which pertain to individuals may reflect personal information, however. Only the records reflecting personal information are subject to the Privacy Act. The system also contains records concerning corporations and other business entities. These records are not subject to the Privacy Act.)

Categories of records in the system: Contracts for the procurement of equipment, supplies, materials, and services; including reports of compliance or noncompliance to labor and other laws governing contract administration.

Authority for maintenance of the system: Reclamation Act of June 17, 1902, as amended, 43 U.S.C. 371, et seq., 40 U.S.C. 486(c), 31 U.S.C. 66a.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The primary uses of the records are (a) for administration of the contract. Disclosures outside the Department of the Interior may be made (1) to the U.S. Department of Justice when related to litigation or anticipated litigation; (2) of information indicating a violation or potential violation of a statute, regulation, rule, order or license, to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license; (3) from the record of an individual in response to an inquiry from a Congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Maintained in manual form in file folders.

Retrievability: Indexed by name of individual or by purchase order number.

Safeguards: Maintained with safeguards meeting the requirements of 43 CFR 2.51 for manual records.

Retention and disposal: 3 years after final settlement. In accordance with approved retention and disposal schedules.

System manager(s) and address: From individuals.

Notification procedure: An individual may inquire whether or not the system contains a record pertaining to him by addressing a written request to the head of the appropriate office listed under Location above. See 43 CFR 2.60 for submission requirements.

Record access procedures: Same as Notification above. See 43 CFR 2.63 for submission requirements.

Contesting record procedures: A petition for amendment should be addressed to the System Manager and must meet the content requirements of 43 CFR 2.71.

INTERIOR/RECLAMATION-46

System name: Employee Trip Reports—Interior, Reclamation—46.

System location: (1) Division of General Services, Bureau of Reclamation, U.S. Department of the Interior, Washington, D.C. 20240. (2) General Services Branch, Bureau of Reclamation, Engineering and Research Center, P.O. Box 25007, Bldg. 67, Denver Federal Center, Denver, Colorado 80225. (3) Reclamation offices numbered 5 (a thru d), 7 (a thru k) in Appendix.

Categories of individuals covered by the system: Staff personnel who have been authorized to review construction, maintenance, land matters, administrative duties, etc.

Categories of records in the system: Reporting condition in other offices as well as field offices for informational or historical purposes.

Authority for maintenance of the system: 43 U.S.C. 373, 373a, 1457, 44 U.S.C. 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The primary uses of the records are (a) to document suggested improvements in operations or structure modifications. Disclosures outside the Department of the Interior may be made (1) to the U.S. Department of Justice when related to litigation or anticipated litigation; (2) of information indicating a violation or potential violation of a statute, regulation, rule, order or license, to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license; (3) from the record of an individual in response to an inquiry from a Congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Maintained in file folders and classified by the subject of purpose of the field trip.

Retrievability: By individual name.

Safeguards: Maintained with safeguards meeting requirements of 43 CFR 2.51.

Retention and disposal: In accordance with approved retention and disposal schedules.

System manager(s) and address: Chief, Division of General Services, U.S. Department of the Interior, Bureau of Reclamation, Washington, D.C. 20240.

Notification procedure: An individual may inquire whether or not the system contains a record pertaining to him by addressing a written request to the head of the appropriate office listed under Location above. See 43 CFR 2.60 for submission requirements.

Record access procedures: Same as Notification above. See 43 CFR 2.63 for submission requirements.

Contesting record procedures: A petition for amendment should be addressed to the System Manager and must meet the content requirements of 43 CFR 2.71.

Record source categories: From the employee taking the trip.

INTERIOR/RECLAMATION-47

System name: Employees' Compensation Records—Interior, Bureau of Reclamation—47.

System location: All offices listed in Appendix, except numbers 8(a thru h) and 9(a thru h).

Categories of individuals covered by the system: Reclamation employees.

Categories of records in the system: Copies of time and attendance reports and copies of information concerning injuries to Federal employees.

Authority for maintenance of the system: 5 U.S.C. 301, 3101, 8101, et seq.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The primary uses of the records are (a) for reference to reply to employee requests. Disclosures outside the Department of the Interior may be made (1) to the U.S. Department of Justice when related to litigation or anticipated litigation; (2) of information indicating a violation or potential violation of a statute, regulation, rule, order or license, to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license; (3) from the record of an individual in response to an inquiry from a Congressional office made at the request of that individual; (4) to a Federal agency which has requested information relevant or necessary to its hiring or retention of an employee, or issuance of a security clearance, license, contract, grant or other benefit; (5) to Federal, State or local agencies where necessary to obtain information relevant to the hiring or retention of an employee, or the issuance of a security clearance, contract, license, grant or other benefit.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Complete file maintained in manual form in file folders.

Retrievability: By individual's name.

Safeguards: Maintained with safeguards meeting the requirements of 43 CFR 2.51 for manual records.

Retention and disposal: In accordance with approved Retention and Disposal Schedules.

System manager(s) and address: Chief, Division of General Services, U.S. Department of the Interior, Bureau of Reclamation, Washington, D.C. 20240.

Notification procedure: An individual may inquire whether or not the system contains a record pertaining to him by addressing a written request to the head of the appropriate office listed under Location (above) at which he is (or was) employed. See 43 CFR 2.60 for submission requirements.

Record access procedures: Same as Notification above. See 43 CFR 2.63 for submission requirements.

Contesting record procedures: A petition for amendment should be addressed to the System Manager and must meet the content requirements of 43 CFR 2.71.

Record source categories: Individual on whom record is maintained.

INTERIOR/LLM-2

System name:

Range Management System—Interior, BLM-2.

System location:

U.S. Department of the Interior, Bureau of Land Management, Denver Federal Center, Bldg, 50, Denver, Colorado 80225.

Categories of individuals covered by the system:

Individuals owning grazing leases and permits issued by BLM.

Categories of records in the system:

The record contains the lessee's or permittee's name, address, description of the area, the Bureau's assigned case file number, and information on payment due as a result of authorized or unauthorized use.

Authority for maintenance of the system:

43 U.S.C. 315, et seq.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary uses of the records are (a) to identify the permittees and lessees, authorized to graze lands administered by the Bureau of Land Management, (b) to print statements of grazing preference, grazing authorizations, billings for grazing fees due, and other reports, and (c) to provide information concerning the grazing permittees and lessees for administrative and public use. Disclosures outside the Department of the Interior may be made, (1) to a member of the general public in response to a specific request for pertinent information, (2) to the U.S. Department of Justice or in a proceeding before a court or adjudicative body when (a) the United States, the Department of the Interior, a component of the Department, or, when represented by the government, an employee of the Department is a party to litigation or anticipated litigation or has an interest in such litigation, and (b) the Department of the Interior determines that the disclosure is relevant or necessary to the litigation and is compatible with the purpose for which the records were compiled, (3) of information indicating a violation or potential violation of a statute, regulation, rule, order, permit, or lease, to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order, permit, of lease, (4) to a congressional office from the record of an individual in response to an inquiry the individual has made to the congressional office.

Disclosure to consumer reporting agencies:

Disclosures pursuant to 5 U.S.C. 552a(b)(12): Disclosures may be made to consumer reporting agencies as defined in the Fair Credit Reporting Act (15 U.S.C. 1681a(f)) or the Federal Claims Collection Act of 1966 (31 U.S.C. 3701(a)(3)).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Computer Mag-tape and/or Manual Index.

Retrievability:

Indexed by name of lessee.

Safeguards:

In accordance with 43 CFR 2.51.

Retention and disposal:

BLM Manual(s) 1271 and H-1272-1 Mag-Tape Index: Category "Q", item 10-d. Manual Index: Category 2, item 22: Destroyed when superseded or no longer needed for administrative purposes.

System manager(s) and address:

Chief, Division of Rangeland Management, U.S. Department of the Interior, Bureau of Land Management, (WO-220), 18th and C Sts, NW, Washington, D.C. 20240.

Notification procedure:

To determine whether the records are maintained on you in this system, write to the System Manager. See 43 CFR 2.60.

Record access procedures:

To see your records write to the System Manager. Describe as specifically as possible the records sought. If copies are desired, indicate the maximum you are willing to pay. See 43 CFR 2.63.

Contesting record procedures:

To request corrections or the removal of material from your files, write the System Manager. See 43 CFR 2.71.

Record source categories:

Lessees.

INTERIOR/LLM-3

System name:

Mineral Lease Management—Interior, BLM-3.

System location:

U.S. Department of the Interior. Bureau of Land Management, Denver Federal Center, Bldg. 50, Denver, Colorado 80225.

Categories of individuals covered by the system:

Individuals owning mineral leases issued by BLM.

Categories of records in the system:

The record contains the lessee's name, address, description of the area leased, the Bureau's assigned case file number, and information on amounts due for leases and royalty or other payments as a result of mineral estraction.

Authority for maintenance of the system:

30 U.S.C. 181, 221.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary uses of the records are (a) to identify ownership of mineral leases and the amount of acreage leased by each individual, (b) to mail courtesy bills for rental due and receipts of payment, and (c) to document for administrative use, information for the management, disposal and use of National Resource lands and resources. Disclosures outside the Department of the Interior may be made, (1) to a member of the general public in response to a specific request for pertinent information, (2) to the U.S. Department of Justice when related to litigation or anticipated litigation, (3) of information indicating a violation or potential violation of a statute, regulation, rule, order or license, to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license, (4) from the record of an individual in response to an inquiry from a Congressional office made at the request of that individual, and (5) to consumer reporting agencies to facilitate collection of debts owed the Government.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Computer, Mag-tape.

Retrievability:

Indexed by name of lessee, case file number, and land description.

Safeguards:

In accordance with 43 CFR 2.51.

Retention and disposal:

Record destroyed fifteen years after termination of lease.

System manager(s) and address:

Chief, Division of Budget and Finance, U.S. Department of the Interior, Bureau of Land Management, Denver Federal Center, Bldg. 50, Denver, Colorado 80225.

Notification procedure:

To determine whether the records are maintained on you in this system, write to the Systems Manager.

Record access procedures:

To see your records write to the Systems Manager. Describe as specifically as possible the records sought. If copies are desired, indicate the maximum you are willing to pay.

Contesting record procedures:

To request corrections or the removal of material from your files, write the Systems Manager.

Record source categories:

Lessees.

INTERIOR/LLM-4

System name:

Coal Lease Data System—Interior, BLM-4.

System location:

U.S. Department of the Interior, Bureau of Land Management, Denver Federal Center, Bldg. 50, Denver, Colorado 80225.

Categories of individuals covered by the system: Individuals owing federal coal leases issued by BLM.

Categories of records in the system:

The record contains the lessees name, address, description of the area leased, the Bureau's assigned case file number, and information on payments due on leases or extraction of coal.

Authority for maintenance of the system:

30 U.S.C. 181, 201.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary uses of the records are (a) to identify ownership of Federal Coal leases and (b) to document for administrative use information for the management, disposal, and use of National Resource lands and resources. Disclosures outside the Department of the Interior may be made (1) to a member of the general public in response to a specific request for pertinent information, (2) to the U.S. Department of Justice when related to litigation or anticipated litigation, (3) of information indicating a violation or potential violation of a statute, regulation, rule, order or license, to appropriate Federal, State, local or foreign agencies responsible for investigating rule, regulation, order or license, (4) from the record of an individual in reponse to an inquiry from a Congressional office made at the request of that individual, and (5) to consumer reporting agencies to facilitate collection of debts owed the Government.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained on mag-tape.

Retrievability: Indexed by name of lessee, case file number, and land description.

Safeguards:

Maintained with safeguards meeting the requirements of 43 CFR 2.51 for computerized records

Retention and disposal:

Record destroyed fifteen years after termination of lease.

System manager(s) and address:

Minerals Staff Leader, U.S. Department of the Interior, Bureau of Land Management, Denver Federal Center, Bldg. 50 Denver, Colorado 80225.

Notification procedure: To determine whether the records are maintained on you in this system, write to the Systems Manager.

Record access procedures:

To see your records write to the Systems Manager. Describe as specifically as possible the records sought. If copies are desired, indicate the maximum you are willing to pay.

Contesting record procedures:

To request corrections or the removal of material from your files, write the Systems Manager.

Record source categories:

Lessees.

INTERIOR/LLM-5

System name:

Alaska Native Claims—Interior,BLM-5.

System location:

Alaska State Office, U.S. Department of the Interior, Bureau of Land Management, 701 C Street, Box 13, Anchorage, Alaska 99513.

Categories of individuals covered by the system:

Claimants under the Alaska Native Claims Act.

Categories of records in the system:

The record contains the claimants name, address, description of the area claimed and the Bureau's assigned case file number.

Authority for maintenance of the system:

Alaska Native Claims Act, Pub. L. 92-203.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary uses of the records are (a) to process claims for rights and interest in National Resource lands, (b) for recordation of adjudicative actions pertaining to the claims and (c) to index documentations in case files supporting administrative actions and notations made on land status records. Disclosures outside the Department of the Interior may be made (1) to a member of the general public in response to a specific request for pertinent information, (2) to appropriate federal agencies when concurrence or supporting information is required prior to granting a right or interest in National Resource lands and resources, (3) to the U.S. Department of Justice or in a proceeding before a court or adjudicative body when (a) the United States, the Department of the Interior, a component of the Department, or, when represented by the government, an employee of the Department is a party to litigation or anticipated litigation or has an interest in such litigation, and (b) the Department of the Interior determines that the disclosure is relevant or necessary to the litigation and is compatible with the purpose for which the records were compiled, (4) of information indicating a violation or potential violation of a statute, regulation, rule, or license, to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license, (5) to a congressional office from the record of an individual in response to an inquiry the individual has made to the congressional office.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Computer, Mag-tape.

Retrievability:

Indexed by name of claimant, case number, and land description.

Safeguards:

In accordance with 43 CFR 2.51.

Retention and disposal:

Disposal is unscheduled at the present time. Determination of the retention and disposition is pending approval of the Archivist of the U.S.

System manager(s) and address:

Chief, Division of Management Service, U.S. Department of the Interior, Bureau of Land Management, 701 C Street, Box 13, Anchorage, Alaska 99513.

Notification procedure:

To determine whether the records are maintained on you in this system, write to the System Manager. See 43 CFR 2.60.

Record access procedures:

To see your records write to the System Manager. Describe as specifically as possible the records sought. If copies are desired, indicate the maximum you are willing to pay. See 43 CFR 2.63.

Contesting record procedures:

To request corrections or the removal of material from your files, write the System Manager. See 43 CFR 2.71.

Record source categories:

Claimants, BIA, and BLM determinations.

INTERIOR/LLM-6

System name:

Mineral Surveyor Appointment File—Interior, BLM-6.

System location:

Division of Cadastral Survey (720), U.S. Department of the Interior, Bureau of Land Management, 18th & C Streets, NW, Washington, DC 20240.

Categories of individuals covered by the system:

Applicants for a Mineral Surveyor appointment and holders of an appointment.

Categories of records in the system:

Contains the name and biographical information for qualification of each applicant and data on the granting or rejection of each application for appointment.

Authority for maintenance of the system:

30 U.S.C. 39.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary uses of the records are (a) to process applications for appointment and (b) to issue notices of appointments. Disclosures outside the Department of the Interior may be made (1) to a member of the general public in response to a request for identification of appointment mineral surveyors within a particular state, (2) to Federal, State or local agencies when necessary to obtain information relevant to the application for appointment, (3) to the U.S. Department of Justice or in a proceeding before a court or adjudicative body when (a) the United States, the Department of the Interior, a component of the Department, or, when represented by the government, an employee of the Department is a party to litigation or anticipated litigation or has an interest in such litigation, and (b) the Department of the Interior determines that the disclosure is relevant or necessary to the litigation and is compatible with the purpose for which the records were compiled, (4) of information indicating a violation or potential violation of a statute, regulation, rule, order or license, to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license, (5) to a congressional office from the record of an individual in response to an inquiry the individual has made to the congressional office.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Manual, file folders arranged alphabetically by name.

Retrievability:

Indexed by name of applicant of appointee.

Safeguards:

In accordance with 43 CFR 2.51.

Retention and disposal:

File destroyed fifty years after administrative need has been completed, in accordance with BLM Manual 1271, Category H, Item No. 1.

System manager(s) and address:

Chief, Division of Cadastral Survey (720) U.S. Department of the Interior, Bureau of Land Management, 18th & C Streets, NW, Washington, DC 20240.

Notification procedure:

To determine whether the records are maintained on you in this system, write to the Systems Manager. See 43 CFR 2.60.

Record access procedures:

To see your records write to the Systems Manager. Describe as specifically as possible the records sought. If copies are desired, indicate the maximum you are willing to pay. See 43 CFR 2.63.

Contesting record procedures:

To request corrections or the removal of material from your files, write the Systems Manager. See 43 CFR 2.71.

Record source categories:

Applicants.

INTERIOR/LLM-7

System name:

Land and Resource Case File—Interior, BLM-7.

System location:

Bureau of Land Management State and/or District Offices. See Appendix XI for a listing.

Categories of individuals covered by the system:

Individuals who filed applications under appropriate statutes from national resource lands (public lands) or the resources in or on such lands and individuals from whom an interest has been acquired.

Categories of records in the system:

The records contain the applicant's name, address, qualification under the statute, regulations involved, and other detailed information required by the regulations under which the application is filed, i.e., the extent of oil and gas or other mineral holdings in national resource lands, and information on payments due as a result of lease and/or extraction of minerals or oil from the leased lands.

Authority for maintenance of the system:

The Federal Land Policy and Management Act of 1976, and the various statutes under which applications are filed as listed in the regulations in Chapter II of Title 48 of the Code of Federal Regulations.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary uses of the records are, (a) to process applications for rights and interests in National Resource lands, (b) for recordation of adjudicative actions pertaining to the application, (c) to index documentations in case files supporting administrative actions and notations made on land status records, and (d) for recordation of acquisitions. Disclosures outside the Department of the Interior may be made, (1) to appropriate Federal agencies when concurrence is required prior to granting or acquiring a right or interest in lands or resources, (2) to a Federal, State or local agencies or a member of the general public in response to a specific request for pertinent information, (3) to the U.S. Department of Justice or in a proceeding before a court or adjudicative body when (a) the United States, the Department of the Interior, a component of the Department, or, when represented by the government, an employee of the Department is a party of litigation or anticipated litigation or has an interest in such litigation, and (b) the Department of the Interior determines that the disclosure is relevant or necessary to the litigation and is compatible with the purpose for which the records were compiled, (4) of information indicating a violation or potential violation of a statute, regulation, rule, order of license, to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license, (5) to a congressional office from the record of an individual in response to an inquiry the individual has made to the congressional office.

Disclosure to consumer reporting agencies:

Disclosures pursuant to 5 U.S.C. 552a(b)(12): Disclosures may be made to consumer reporting agencies as defined in the Fair Credit Reporting Act (15 U.S.C. 1681a(f)) or the Federal Claims Collection Act of 1966 (31 U.S.C. 3701(a)(3)).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Manual index.

Retrievability:

Indexed by name of claimant and serial number.

Safeguards:

In accordance with 43 CFR 2.51.

Retention and disposal:

BLM Manual 1271, Category L, item 2, effective January 1, 1975. Transfer to FRC all cards dated prior to 1960. Thereafter, close existing file every 15 years and transfer to FRC 15 years later. Retain 30 years local. Records will remain in the FRC permanently for Archival retention.

System manager(s) and address:

State Directors, U.S. Department of the Interior, Bureau of Land Management State Offices. See Appendix XI for addresses.

Notification procedure:

To determine whether records are maintained on you in this system, write to the System Manager or to the offices cited under Records Location. See 43 CFR 2.60.

Record access procedures:

To see your records write to the System Manager or to the offices cited under Record Location. Describe as specifically as possible the records sought. If copies are desired, indicate the maximum you are willing to pay. See 43 CFR 2.63.

Contesting record procedures:

To request corrections or the removal of material from your files, write the System Manager. See 43 CFR 2.71.

Record source categories:

Applicants. Investigations conducted by BLM or other offices of the Department.

INTERIOR/LLM-8

System name: Aircraft Passenger Manifest Records—Fire Control—Interior, BLM-8.

System location: U.S. Department of the Interior, Bureau of Land Management, Denver Federal Center, Bldg. 50, Denver, Colorado 80225; Boise Interagency Fire Center, BLM, 3905 Vista Avenue, Boise, Idaho 83705 and all BIM offices listed in the Appendix Part B.

Categories of individuals covered by the system: Individuals moved on government or chartered aircraft to or from a fire area.

Categories of records in the system: The record contains the individual's name, social security number, address and boarding point.

Authority for maintenance of the system: 16 U.S.C. 594; 31 U.S.C. 686; 42 U.S.C. 1856; 43 U.S.C. 315; 1181, and 1361.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The primary use of the records is to identify individuals moved to or from a fire area. Disclosures outside the Department of the Interior may be made (1) to Federal, State or local agencies to verify the movement of an individual to or from a fire area, (2) to the U.S. Department of Justice when related to litigation or anticipated litigation, (3) of information indicating a violation or potential violation of a statute, regulation, rule, order or license, to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license, (4) from the record of an individual in response to an inquiry from a Congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Manual, file folders, arranged by flight and alphabetically by name.

Retrievability: Indexed by name of passenger on flight manifest.

Safeguards: In accordance with 43 CFR 2.51.

Retention and disposal: Record destroyed seven years after flight.

System manager(s) and address: Assistant Director—Technical Services, U.S. Department of the Interior, Bureau of Land Management, 18th and C Streets, NW, Washington, D.C. 20240.

Notification procedure: To determine whether the records are maintained on you in this system, write to the Systems Manager or to the offices cited under Records Location.

Record access procedures: To see your records write to the Systems Manager or the offices cited under Records Location. Describe as specifically as possible the records sought. If copies are desired, indicate the maximum you are willing to pay.

Contesting record procedures: To request corrections or the removal or material from your files, write the Systems Manager.

Record source categories: Passenger on aircraft.

INTERIOR/LLM-9

System name:

Property and Supplies Accountability—Interior, BLM-9.

System location:

All BLM Offices listed in the Appendix; the Boise Interagency Fire Center, BLM, 3905 Vista Veneue, Boise, Idaho 83705 and U.S. Department of the Interior, Bureau of Land Management, Denver Federal Center, Bldg. 50, Denver, Colorado 80225.

Categories of individuals covered by the system:

Individuals who are accountable for property and supplies.

Categories of records in the system:

The record contains the user's name and description of the accountable property or supply, and information on debts owed the Bureau in cases of suspected waste, fraud, or abuse.

Authority for maintenance of the system:

40 U.S.C. 483(b)

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary use of the records is to identify responsible individuals for accountability of property and supplies. Disclosures outside the Department of the Interior may be made, (1) to Federal State, or local agencies to recover accountable property or supplies, (2) to the U.S. Department of Justice when related to litigation or anticipated litigation, (3) of information indicating a violation or potential violation of a statute, regulation, rule, order or license, to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license, (4) from the record of an individual in response to an inquiry from a Congressional office made at the request of that individual, and (5) to consumer reporting agencies to facilitate collection of debts owed the Government.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Manual, file folders, arranged alphabetically by name.

Retrievability:

Indexed by name of individual.

Safeguards:

In accordance with 43 CFR 2.51.

Retention and disposal:

Record destroyed when property is returned to stock.

System manager(s) and address:

Assistant Director—Administration, U.S. Department of the Interior, Bureau of Land Management, 18th and C Streets, NW, Washington, D.C. 20240.

Notification procedure:

To determine whether the records are maintained on you in this system, write to the Systems Manager or to the offices cited under Records Location.

Record access procedures:

To see your records write to the systems Manager or to the offices cited under Records Location. Describe as specifically as possible the records sought. If copies are desired, indicate the maximum you are willing to pay.

Contesting record procedures:

To request corrections or the removal of material from your files, write the Systems Manager.

Record source categories:

Individuals.

INTERIOR/LLM-10

System name: Vehicle Use Authorization—Interior, BLM-10.

System location: All BLM Offices listed in the Appendix; the Boise Interagency Fire Center, BLM, 3905 Vista Avenue, Boise, Idaho 83705 and U. S. Department of the Interior, Bureau of Land Management, Denver Federal Center, Bldg. 50, Denver, Colorado 80225.

Categories of individuals covered by the system: Individuals who have been authorized to use government vehicles for official business and for use between residence and place of employment.

Categories of records in the system: The record contains the employee's name and purpose for use of vehicles.

Authority for maintenance of the system: 40 U.S.C. 491(1).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The primary use of the record is to maintain records of authorized uses of government vehicles. Disclosures outside the Department of the Interior may be made (1) to Federal, State or local agencies to verify an authorized use, (2) to the U. S. Department of Justice when related to litigation or anticipated litigation, (3) of information indicating a violation or potential violation of a statute, regulation, rule, order or license, to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license, (4) from the record of an individual in response to an inquiry from a Congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Manual, file folders arranged alphabetically by name.

Retrievability: Indexed by name of employee.

Safeguards: In accordance with CFR 43 2.51.

Retention and disposal: Record destroyed two years after return of vehicle.

System manager(s) and address: Assistant Director—Administration, U. S. Department of the Interior, Bureau of Land Management, 18th and C Streets, NW, Washington, D.C. 20240.

Notification procedure: To determine whether the records are maintained on you in this system, write to the Systems Manager or to the offices cited under Records Location.

Record access procedures: To see your records write to the Systems Manager or to the offices cited under Records Location. Describe as specifically as possible the records sought. If copies are desired, indicate the maximum you are willing to pay

Contesting record procedures: To request corrections or the removal of material from you files, write the Systems Manager.

Record source categories: BLM employees.

INTERIOR/LLM-12

System name:

Manpower Management—Interior BLM-12.

System location:

U.S. Department of the Interior, Bureau of Land Management, Denver Federal Center, Bldg. 50, Denver, Colorado 80225.

Categories of individuals covered by the system:

BLM employees.

Categories of records in the system:

The record contains the employees name, social security number, organization location, and information concerning debts owed to the Bureau.

Authority for maintenance of the system:

5 U.S. 5301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary use of the records is for the management of manpower and position organization control. Disclosures outside the Department of the Interior may be made, (1) from the record for reports to appropriate Federal and State agencies, (2) to the U.S. Department of Justice when related to litigation or anticipated litigation, (3) of information indicating a violation or potential violation of a statute, regulation, rule, order or license, to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license, (4) to consumer reporting agencies to facilitate collection of debts owed the Government, and (5) to a Congressional Office from the record of an individual in response to an inquiry from a Congressional Office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Computer, Mag-tape.

Retrievability:

Indexed by name of employee, social security number, position number, and organization location.

Safeguards:

In accordance with 43 CFR 2.51.

Retention and disposal:

Record maintained on a current basis.

System manager(s) and address:

Chief, Division of Manpower and Organization, U.S. Department of the Interior, Bureau of Land Management, Denver Federal Center, Bldg. 50, Denver, Colorado 80225.

Notification procedure:

To determine whether the records are maintained on you in this system, write to the Systems Manager.

Record access procedures:

To see your records write to the Systems Manager. Describe as specifically as possible the records sought. If copies are desired, indicate the maximum you are willing to pay.

Contesting record procedures:

To request corrections or the removal of material from your files, write the Systems Manager.

Record source categories:

Notification of personnel actions and organization changes.

INTERIOR/LLM-13

System name:

Safety Management Information—Interior, BLM-13.

System location:

U.S. Department of the Interior, Bureau of Land Management, 18th and C Streets, NW, Washington, D.C. 20240.

Categories of individuals covered by the system:

BLM employees involved in a work related accident, private individuals involved in a BLM employee related accident, and private individuals involved in an accident on national resource lands or facilities.

Categories of records in the system:

The record contains the name of the person involved, social security number, address, nature of the accident, injuries and property damage, if any, witnesses, control number, and information on debts owed the Bureau as a result of the accident.

Authority for maintenance of the system:

5 U.S.C. 7902, 28 U.S.C. 2671-2680, 31 U.S.C. 240-243.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary use of the records is to document information for the Department of the Interior automated system for accident reporting. Disclosures outside the Department of the Interior may be made, (1) to the Department of Labor in the event there is a claim for compensation, (2) from the record to individuals and companies involved, responsible or sureties, (3) to the U.S. Department of Justice or in a proceeding before a court or adjudicative body when (a) the United States, the Department of the Interior, a component of the Department, or, when represented by the government, an employee of the Department is a party to litigation or anticipated litigation or has an interest in such litigation, and (b) the Department of the Interior determines that the disclosure is relevant or necessary to the litigation and is compatible with the purpose for which the records were compiled, (4) of information indicating a violation or potential of a statute, regulation, rule, order or license, to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or enforcing or implementing the statute, rule, regulation, order or license, (5) to a congressional office from the record of an individual in response to an inquiry the individual has made to the congressional office.

Disclosure to consumer reporting agencies:

Disclosure pursuant to 5 U.S.C. 552a(b)(12): Disclosures may be made to consumer reporting agencies as defined in the Fair Credit Reporting Act (15 U.S.C. 1681a(f)) or the Federal Claims Collection Act of 1966 (31 U.S.C. 3701(a)(3)).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Manual, file folders arranged alphabetically by name.

Retrievability:

Indexed by name of person involved in an accident, location, date and control number.

Safeguards:

In accordance with 43 CFR 2.51.

Retention and disposal:

General Records Schedule 1, item 32, provides for destruction after five years.

System manager(s) and address:

Safety Officer, Premier Building (WO-811), U.S. Department of the Interior, Bureau of Land Management, 18th and C Streets, NW, Washington, D.C. 20240.

Notification procedure:

To determine whether records are maintained on you in this system, write to the System Manager. See 43 CFR 2.60.

Record access procedures:

To see your records write to the System Manager. Describe as specifically as possible the records sought. If copies are desired, indicate the maximum you are willing to pay. See 43 CFR 2.63.

Contesting record procedures:

To request corrections or the removal of material from your files, write the System Manager. See 43 CFR 2.71.

Record source categories:

Persons involved, witnesses to an accident, and investigations by BLM employees and other authorities.

INTERIOR /LLM-14

System name: Security Clearance Files—Interior, BLM-14.

System location: U.S. Department of the Interior, Bureau of Land Management, 18th and C Streets, NW, Washington, D.C. 20240.

Categories of individuals covered by the system: BLM employees.

Categories of records in the system: The record contains the employee's name, degree of security clearance, and location of employment.

Authority for maintenance of the system: E.O. 10450.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The primary use of the records is to identify employees having security clearance and their degree of security clearance. Disclosures outside the Department of the Interior may be made, (1) to the U.S. Department of Justice when related to litigation or anticipated litigation, (2) of information indicating a violation or potential violation of a statute, regulation, rule, order or license, to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license, (3) from the record of an individual in response to an inquiry from a Congressional office made at the request of that individual, (4) to a Federal agency which has requested information relevant or necessary to its hiring or retention of an employee, or issuance of a security clearance, license, contact, grant or other benefit, (5) to Federal, State or local agencies where necessary to obtain information relevant to the hiring or retention of an employee, or the issuance of a security clearance, contract, license, grant or other benefit.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Manual, file folders arranged alphabetically by name.

Retrievability: Indexed by name of employee.

Safeguards: In accordance with 43 CFR 2.51.

Retention and disposal: Record destroyed when administrative need is extinguished.

System manager(s) and address: Assistant Director—Administration, U.S. Department of the Interior, Bureau of Land Management, 18th and C Streets, NW, Washington, D.C. 20240.

Notification procedure: To determine whether the records are maintained on you in this system, write to the Systems Manager.

Record access procedures: To see your records write to the Systems Manager. Describe as specifically as possible the records sought. If copies are desired, indicate the maximum you are willing to pay.

Contesting record procedures: To request corrections or the removal of material from your files, write the Systems Manager.

Record source categories: Employee, personnel file and investigations by BLM or other agencies.

INTERIOR/LLM-15

System name: Correspondence Control—Interior, BLM-15.

System location: U.S. Department of the Interior, Bureau of Land Management, 18th and C Streets, NW, Washington, D.C. 20240.

Categories of individuals covered by the system: Individuals and Congressmen who have corresponded with BLM and whose correspondence has been placed under control.

Categories of records in the system: The record contains the correspondent's name, address, subject matter, and control number.

Authority for maintenance of the system: 5 U.S.C. 301, 43 U.S.C. 1457, 44 U.S.C. 3101, Reorganization Plan 3 of 1950.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The primary use of the records is to identify correspondents and their subject matter of interest. Disclosures outside the Department of the Interior may be made, (1) to a member of the general public or a Federal official in response to specific requests for pertinent information, (2) to the U.S. Department of Justice when related to litigation or anticipated litigation, (3) of information indicating a violation or potential violation of a statute, regulation, rule, order or license, to appropriate Federal, State, local or foreign agencies responsibile for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license, (4) from the record of an individual in response to an inquiry from a Congressional office made at the request of that individual, (5) to a Federal agency which has requested information relevant or necessary to its hiring or retention of an employee, or issuance of a security clearance, license, contract, grant or other benefit.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Manual, index cards arranged for each year alphabetically by name.

Retrievability: Indexed by name of correspondent.

Safeguards: In accordance with 43 CFR 2.51.

Retention and disposal: Record destroyed seven years after response.

System manager(s) and address: Assistant Director-Legislation and Planning. U. S. Department of the Interior, Bureau of Land Management, 18th and C Streets, NW, Washington, D.C. 20240.

Notification procedure: To determine whether the records are maintained on you in this system, write to the Systems Manager.

Record access procedures: To see your records write to the Systems Manager. Describe as specifically as possible the records sought. If copies are desired, indicate the maximum you are willing to pay.

Contesting record procedures: To request corrections or the removal of material from your files, write the Systems Manager.

Record source categories: Correspondents.

INTERIOR/LLM-16

System name:

Mineral and Vegetal Material Sales—Interior, BLM-16.

System location:

U.S. Department of the Interior, Bureau of Land Management, Denver Federal Center, Bldg. 50, Denver, Colorado 80225.

Categories of individuals covered by the system:

Purchasers of mineral and vegetal materials.

Categories of records in the system:

The record contains the purchaser's name, address, description of the material purchased, quantity, sales price, the Bureau's assigned sales number, and information on debts owed the Bureau because of defective payments.

Authority for maintenance of the system:

16 U.S.C. 617, 30 U.S.C. 601, 43 U.S.C. 1181a.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary use of the records is to identify for administrational resources land. Disclosures outside the Department of the Interior may be made (1) to a member of the general public in response to a specific request for pertinent information, (2) from the record for a semi-annual report to Congress, (3) to the U.S. Department of Justice when related to litigation or anticipated litigation, (4) of information indicating a violation or potential violation of statute, regulation, rule, order or license, to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license, (5) from the record of an individual in response to an inquiry from a Congressional office made at the request of that individual, and (6) to consumer reporting agencies to facilitate collection of debts owed the Government.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Computer, Mag-tape.

Retrievability:

Indexed by name of purchaser and sales number.

Safeguards:

In accordance with 43 CFR 2.51.

Retention and disposal:

Record destroyed two years after completion of sales contract.

System manager(s) and address:

Chief, Division of Budget and Finance, U.S. Department of the Interior, Bureau of Land Management, Denver Federal Center, Bldg. 50, Denver, Colorado 80225.

Notification procedure:

To determine whether the records are maintained on you in this system, write to the System Manager.

Record access procedures:

To see your records write to the Systems Manager. Describe as specifically as possible the records sought. If copies are desired, indicate the maximum you are willing to pay.

Contesting record procedures:

To request corrections or the removal of material from your files, write the Systems Manager.

Record source categories:

Purchaser.

INTERIOR/LLM-18

System name:

Criminal Case Investigation—Interior, BLM-18.

System location:

U.S. Department of the Interior, Bureau of Land Management, 18th and C Streets NW, Washington, D.C. 20240.

Categories of individuals covered by the system:

Individuals suspected of violation of Federal Law concerning National Resource lands, resources or facilities.

Categories of records in the system:

The record contains investigative and arrest data, and information on fines or penalties imposed.

Authority for maintenance of the system:

Reorganization Plan No. 3 of 1946, Section 403(b), 5 U.S.C. 301, 43 U.S.C. 1457.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary use of the record is to accumulate investigative data to determine if there is an indication of a violation of a Federal law. Disclosures outside the Department of the Interior may be made, (1) to the U.S. Department of Justice when related to litigation or anticipated litigation, (2) of information indicating a violation or potential violation of a statute, regulation, rule, order or license, to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license, and (3) to consumer reporting agencies to facilitate collection of debts owed the Government.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Manual, file folders, arranged alphabetically by name.

Retrievability:

Indexed by name of suspect and classified by violation of Federal Law.

Safeguards:

In accordance with 43 CFR 2.51.

Retention and disposal:

Not authorized.

System manager(s) and address:

Assistant Director—Technical Services U.S. Department of the Interior, Bureau of Land Management, 18th and C Streets NW, Washington, D.C. 20240.

Notification procedure:

To determine whether the records are maintained on you in this system, write to the Systems Manager.

Record access procedures:

To see your records write to the Systems Manager. Describe as specifically as possible the records sought. If copies are desired, indicate the maximum you are willing to pay.

Contesting record procedures:

To request corrections or the removal of material from your files, write the Systems Manager.

Systems exempted from certain provisions of the act:

Under the specific exemption authority provided by 5 U.S.C. 552a(k)(2), the Department of the Interior has adopted a regulation, 43 CFR 2.79(b), which exempts this system from the provisions of 5 U.S.C. 552a(c)(3), (d), (e)(1), (e)(4) (G), (H) and (I) and (f) and the portions of 43 CFR Part 2, Subpart C which implement these provisions. The reasons for adoption of this regulation are set out at 40 FR 37217 (August 26, 1975).

INTERIOR/LLM-19

System name:

Civil Trespass Case Investigations—Interior, BLM-19.

System location:

The BLM Offices listed in the Appendix, Part B.

Categories of individuals covered by the system:

Individuals suspected of and confirmed trespass on National Resource lands.

Categories of records in the system:

The record contains the individual's name, address, subject matter, control number, data concerning possible civil trespass, and information on debts due as result of fines or penalties.

Authority for maintenance of the system:

43 U.S.C. 1201.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary use of the records is to accumulate investigative data to determine whether a trespass has been committed. Disclosures outside the Department of the Interior may be made, (1) to the U.S. Department of Justice when related to litigation or anticipated litigation, (2) of information indicating a violation or potential violation of a statute, regulation, rule, order or license, to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license, (3) from the record of an individual in response to an inquiry from a Congressional office made at the request of that individual, and (4) to consumer reporting agencies to facilitate collection of debts owed the Government.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Manual, file folders, arranged alphabetically by name with cross-index by type and control number.

Retrievability:

Indexed by name of individual, subject matter, and control number.

Safeguards:

In accordance with 43 CFR 2.51.

Retention and disposal:

Record destroyed fifty years after case is closed.

System manager(s) and address:

Assistant Director—Technical Services, U.S. Department of the Interior, Bureau of Land Management, 18th and C Streets, NW, Washington, D.C. 20240.

Notification procedure:

To determine whether the records are maintained on you in this system, write to the Systems Manager or to the offices cited under Records Location.

Record access procedures:

To see your records write to the Systems Manager or to the offices cited under Records Location. Describe as specifically as possible the records sought. If copies are desired, indicate the mazimum you arte willing to pay.

Contesting record procedures:

To request corrections or the removal of material from your files, write the System Manager.

Systems exempted from certain provisions of the act:

Under the specific exemption authority provided by 5 U.S.C. 552a(k)(2), the Department of the Interior has adopted a regulation, 43 CFR 2.79(b), which exempts this system from the provisions of 5 U.S.C. 552a(c)(3), (d), (e)(1), (e)(4), (G), (H) and (I) and (f) and the portions of 43 CFR, Part 2, Subpart C which implement these provisions. The reasons for adoption of this regulation are set out at 40 FR 37217 (August 26, 1975).

INTERIOR/LLM-20

System name: Employee Conduct Investigations—Interior, BLM-20.

System location: U.S. Department of the Interior, Bureau of Land Management, 18th and C Streets, NW, Washington, D.C. 20240.

Categories of individuals covered by the system: BLM employees.

Categories of records in the system: The record contains the employee's name, work location, and subject matter.

Authority for maintenance of the system: 5 U.S.C. 7301, 43 U.S.C. 11, E.O. 11222.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The primary uses of the records are (a) to identify employee and subject matter of allegation and (b) to accumulate investigative data to determine the validity of the allegation. disclosures outside the Department of the Interior may be made, (1) to the U.S. Department of Justice when related to litigation or anticipated litigation, (2) of information indicating a violation or potential violation of a statute, regulation, rule, order or license, to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or enforcing or implementing the statute, rule, regulation, order or license, (3) from the record of an individual in response to an inquiry from a Congressional office made at the request of that individual, (4) to a Federal agency which has requested information relevant or necessary to its hiring or retention of an employee, or issuance of a security clearance, license, contract, grant or other benefit.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Manual, file folders arranged alphabetically by name.

Retrievability: Indexed by name of employee.

Safeguards: In accordance with 43 CFR 2.51.

Retention and disposal: Record destroyed seven years after case is closed.

System manager(s) and address: Associate Director, U.S. Department of the Interior, Bureau of Land Management, 18th and C Streets, NW, Washington, D.C. 20240.

Notification procedure: To determine whether the records are maintained on you in this system, write to the Systems Manager.

Record access procedures: To see your records write to the Systems Manager. Describe as specifically as possible the records sought. If copies are desired, indicate the maximum you are willing to pay.

Contesting record procedures: To request corrections or the removal of material from your files, write the Systems Manager.

Systems exempted from certain provisions of the act: Under the specific exemption authority provided by 5 U.S.C. 552a(k)(2), the Department of the Interior has adopted a regulation, 43 CFR 2.79(b), which exempts this system from the provisions of 5 U.S.C. 552a(c)(3), (d), (e)(1), (e)(4) (G), (H) and (I) and (f) and the portions of 43 CFR, Part 2, Subpart C which implement these provisions. The reasons for adoption of this regulation are set out at 40 FR 37217 (August 26, 1975) and (I), and (f).

INTERIOR/LLM-21

System name:

Travel—Interior, BLM-21.

System location:

Division of Finance (520), U.S. Department of the Interior, Bureau of Land Management, 18th and C Streets, NW, Washington, D.C. 20240 and U.S. Department of the Interior, Bureau of Land Management, Denver Federal Center, Bldg. 50, Denver, Colorado 80225.

Categories of individuals covered by the system:

Individuals authorized to travel at Government expense.

Categories of records in the system:

Contains the authorization to travel to specified places, name of traveler, purpose and date of travel, estimated costs, mode of transportation, travel voucher showing actual expenses and itinerary, and information on travel advances owed the Bureau.

Authority for maintenance of the system:

5 U.S.C. 5701, et seq.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary uses of records are (a) to process requests for and issue authorizations to travel at the government's expense and (b) to process expense vouchers upon completion of travel. Disclosure outside the Department of the Interior may be made, (1) to the U.S. Department of Justice or in a proceeding before a court or adjudicative body when (a) the United States, the Department of the Interior, a component of the Department, or, when represented by the government, an employee of the Department is a party to litigation or anticipated litigation or has an interest in such litigation, and (b) the Department of the Interior determines that the disclosure is relevant or necessary to the litigation and is compatible with the purpose for which the records were compiled, (2) of information indicating a violation of a statute, regulation, rule, order or license, to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing regulation, order or license, (3) to a congressional office from the record of an individual in response to an inquiry the individual has made to the congressional office.

Disclosure to consumer reporting agencies:

Pursuant to 5 U.S.C. 552a(b)(12), disclosures may be made to a consumer reporting agency as defined in the Fair Credit Reporting Act (15 U.S.C. 1681a(f)) or the Federal Claims Collection Act of 1966 (31 U.S.C. 3701(a)(3)).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Manual, file folders arranged alphabetically by name and authorization number.

Retrievability:

Index by authorization number.

Safeguards:

In accordance with 43 CFR 2.51.

Retention and disposal:

Record destroyed four years after travel is completed, in accordance with BLM Manual 1271, Category G, Item 42.

System manager(s) and address:

Assistant Director—Management Services, U.S. Department of Interior, Bureau of Land Management, 18th and C Streets, NW, Washington, D.C. 20240.

Notification procedure:

To determine whether the records are maintained on you in this system, write to the Systems Manager or to the offices cited under Records Location. See 43 CFR 2.60.

Record access procedures:

To see your records write to the Systems Manager or the the Offices cited under Records Location. Describe as specifically as possible the records sought. If copies are desired, indicate the maximum you are willing to pay. See 43 CFR 2.63.

Contesting record procedures:

To request corrections or the removal of material from the files write the Systems Manager. See 43 CFR 2.71.

Record source categories:

Bureau employees and individuals authorized to travel.

INTERIOR/LLM-22

System name:

Financial Management—Interior, BLM-22.

System location:

U.S. Department of the Interior, Bureau of Land Management, Denver Federal Center, Bldg. 50, Denver, Colorado 80225.

Categories of individuals covered by the system:

Vendors and their designated payee who have sold items to BLM. (The records contained in this system which pertain to individuals contain principally proprietary information concerning sole proprietorships. Some of the records in the system which pertain to individuals may reflect personal information, however. Only the records reflecting personal information are subject to the Privacy Act. The system also contains records concerning corporations and other business entities. These records are not subject to the Privacy Act).

Categories of records in the system:

The record contains the vendor's and payee's address, description of the items purchased, purchase price, and the purchase order number; and information on debts owed the Bureau.

Authority for maintenance of the system:

43 U.S.C. 1201.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary use of the records is to designate payees to whom payments are to be made. Disclosures outside the Department of the Interior may be made (1) to Federal, State or local agencies in response to specific requests for pertinent information, (2) to the U.S. Department of Justice or in a proceeding before a court or adjudicative body when (a) the United States, the Department of the Interior, a component of the Department, or, when represented by the government, an employee of the Department is a party to litigation or anticipated litigation or has an interest in such litigation, and (b) the Department of the Interior determines that the disclosure is relevant or necessary to the litigation and is compatible with the purpose for which the records were compiled, (3) of information indicating a violation or potential violation of a statute, regulation, rule, order or license, to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license, (4) to a congressional office from the record of an individual in response to an inquiry the individual has made to the congressional office.

Disclosure to consumer reporting agencies:

Pursuant to 5 U.S.C. 552a(b)(12), disclosures may be made to a consumer reporting agency as defined in the Fair Credit Reporting Act (15 U.S.C. 1681a(f)) or the Federal Claims Collection Act of 1966 (31 U.S.C. 3701(a)(3)).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Computer, Mag-tape.

Retrievability:

Indexed by name of vendor and payee, and the purchase order number.

Safeguards:

In accordance with 43 CFR 2.51.

Retention and disposal:

Record destroyed 6 years, 3 months after payment in accordance with BLM Manual 1271, Category G, Item No. 117.

System manager(s) and address:

Chief, Division of Budget and Finance, U.S. Department of the Interior, Bureau of Land Management, Denver Federal Center, Bldg. 50, Denver, Colorado 80225.

Notification procedure:

To determine whether the records are maintained on you in this system, write to the Systems Manager. See 43 CFR 2.60.

Record access procedures:

To see your records write to the Systems Manager. Describe as specifically as possible the records sought. If copies are desired, indicate the maximum you are willing to pay. See 43 CFR 2.63.

Contesting record procedures:

To request corrections or the removal of material from your files, write the Systems Manager. See 43 CFR 2.71.

Record source categories:

Vendors and GSA purchase contracts.

INTERIOR/LLM-23

System name:

Contract Files—Interior, BLM-23.

System location:

All BLM Offices listed in the Appendix; the Boise Interagency Fire Center, BLM, 3905 Vista Avenue, Boise, Idaho 83795 and U.S. Department of the Interior, Bureau of Land Management, Denver Federal Center, Bldg. 50, Denver, Colorado 80225.

Categories of individuals covered by the system:

Individuals who have contracted with BLM to supply goods or services and prospective suppliers and bidders. (The records contained in this system which pertain to individuals contain principally proprietary information concerning sole proprietorships. Some of the records in the system which pertain to individuals may reflect personal information, however. Only the records reflecting personal information are subject to the Privacy Act. The system also contains records concerning corporations and other business entities. These records are not subject to the Privacy Act.)

Categories of records in the system:

The record contains the contractor's name, address, subject matter, purchase order number and, when requested, statement of qualifications, and information on debts owed the Bureau.

Authority for maintenance of the system:

40 U.S.C. 481.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary use of the records is to identify contractors, prospective supplies, bidders and subject matter of interest. Disclosures outside the Department of the Interior may be made (1) to Federal, State or local agencies in response to specific requests for pertinent information, (2) to the U.S. Department of Justice when related to litigation or anticipated litigation, (3) of information indicating a violation or potential violation of a statute, regulation, rule, order or license, to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license, (4) from the record of an individual in response to an inquiry from a Congressional office made at the request of the individual, and (5) to consumer reporting agencies to facilitate collection of debts owed the Government.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Manual, file folders arranged alphabetically by name and goods or services furnished.

Retrievability:

Indexed by name of contractor and goods or services furnished.

Safeguards:

In accordance with 43 CFR 2.51.

Retention and disposal:

Record destroyed ten years after completion of contract.

System manager(s) and address:

Assistant Director—Administration, U.S. Department of the Interior, Bureau of Land Management, 18th and C Streets, NW, Washington, D.C. 20240.

Notification procedure:

To determine whether the records are maintained on you in this system, write to the Systems Manager or to the offices cited under Records Location.

Record access procedures:

To see your records write to the Systems Manager or to the offices cited under Records Location. Describe as specifically as possible the records sought. If copies are desired, indicate the maximum you are willing to pay.

Contesting record procedures:

To request corrections or the removal of material from your files, write the Systems Manager.

Record source categories:

Contractors and GSA purchase contract.

INTERIOR/LLM-24

System name:

Copy Fee Deposit—Interior, BLM-24.

System location:

All BLM State offices listed in Appendix XI.

Categories of individuals covered by the system:

Individuals who have deposited money with Bureau of Land Management to be used to pay for copies of records, lists, maps or other documents.

Categories of records in the system:

The record contains the depositor's name, mailing address, identification or items for which there is a standing order, and information on amounts on deposit.

Authority for maintenance of the system:

31 U.S.C. 3512.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary uses of the records are (a) to maintain individual accounts of advance copy fee deposits and (b) to maintain names of companies and individuals who have standing requests for copies of specific records each time they are produced, such as lists of parcels available for oil and gas simultaneous lease filings. Disclosures outside the Department of the Interior may be made, (1) to the U.S. Department of Justice or in a proceeding before a court or adjudicative body when (a) the United States, the Department of the Interior, a component of the Department, or, when represented by the government, an employee of the Department is a party to litigation or anticipated litigation or has an interest in such litigation, and (b) the Department of the Interior determines that the disclosure is relevant or necessary to the litigation and is compatible with the purpose for which the records were compiled, (2) of information indicating a violation or potential violation of a statute, regulation, rule, order or license, to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license, and (3) to a congressional office from the record of an individual in response to an inquiry the individual has made to the congressional office.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Computerized; arranged alphabetically by name on tape or disk.

Retrievability:

Indexed by name of depositor.

Safeguards:

In accordance with 43 CFR 2.51.

Retention and disposal:

Disposition is pending approval of the Archivist of the U.S.

System manager(s) and address:

Assistant Director—Management Services, U.S. Department of the Interior, Bureau of Land Management, 18th and C Streets, NW, Washington, DC 20240.

Notification procedure:

To determine whether the records are maintained on you in this system, write to the Systems Manager or to the offices cited under Records Location. See 43 CFR 2.60.

Record access procedures:

To see your records write to the Systems Manager or to the offices cited under Records Location. Describe as specifically as possible the records sought. If copies are desired indicate the maximum you are willing to pay. See 43 CFR 2.63.

Contesting record procedures:

To request corrections or the removal of material from your files, write the Systems Manager. See 43 CFR 2.71.

Record source categories:

Depositors.

INTERIOR/LLM-26

System name: Incentive and Honor Awards—Interior, BLM-26.

System location: U.S. Department of the Interior, Bureau of Land Management, 18th and C Streets, NW, Washington, D.C. 20240; U.S. Department of the Interior, Bureau of Land Management, Denver Federal Center, Bldg., 50, Denver, Colorado 80225; Boise Interagency Fire Center, BLM, 3905 Vista Avenue, Boise, Idaho 83705, and all State Offices listed in the Appendix, Part B.

Categories of individuals covered by the system: BLM employees who have submitted a beneficial suggestion and individuals recommended or nominated for a performance or honor award.

Categories of records in the system: The record contains the person's name, file number, and biographic data for honor awards.

Authority for maintenance of the system: 5 U.S.C. 4502, 4503, 4504, and 4506.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The primary use of the records is to accumulate information concerning an individual to be used as a basis for awarding and/or honoring employees and nonemployees. Disclosures outside the Department of the Interior may be made, (1) to nominate individuals for non-government awards, (2) to the U.S. Department of Justice when related to litigation or anticipated litigation, (3) of information indicating a violation or potential violation of a statute, regulation, rule, order or license, to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license, (4) from the record of an individual in response to an inquiry from a congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Manual, file folders arranged alphabetically by name and cross-index by control number.

Retrievability: Indexed by name of individual and assigned file number.

Safeguards: In accordance with 43 CFR 2.51.

Retention and disposal: Record destroyed two years after approval or four years after rejection.

System manager(s) and address: Assistant Director—Technical Services, U.S. Department of the Interior, Bureau of Land Management, 18th and C Streets, NW, Washington, D.C. 20240.

Notification procedure: To determine whether the records are maintained on you in this system, write to the Systems Manager or to the offices cited under Records Location.

Record access procedures: To see your records write to the Systems Manager or to the offices cited under Records Location. Describe as specifically as possible the records sought. If copies are desired, indicate the maximum you are willing to pay.

Contesting record procedures: To request corrections or the removal of material from your files, write the Systems Manager.

Record source categories: Suggestions received from employees. Evaluations by supervisors for performance awards and from employees nominating persons for honor awards.

INTERIOR/LLM-27

System name: Real Estate Appraiser Roster—Interior, BLM-27.

System location: U.S. Department of the Interior, Bureau of Land Management, Denver Federal Center, Bldg. 50, Denver, Colorado 80225, and all BLM State Offices Listed in the Appendix, Part B.

Categories of individuals covered by the system: Individuals, not regular federal employees, who have requested that they be listed by geographic areas on rosters of appraisers available to do contract appraisals for BLM.

Categories of records in the system: The record contains the appraiser's application to be placed on rosters and records of review of appraisals done by the appraiser for BLM.

Authority for maintenance of the system: 41 U.S.C. 252(c)(4).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The primary use of the records is to identify qualified appraisers available to do appraisals for a fee. Disclosures outside the Department of the Interior may be made, (1) to Federal, State or local agencies to private individuals or businesses where necessary to obtain information relevant to verification of qualifications, (2) to Federal, State or local agencies or to private individuals or businesses which have requested information relevant or necessary to its hiring or retention of an employee, (3) to the U.S. Department of Justice when related to litigation or anticipated litigation, (4) of information indicating a violation or potential violation of a statute, regulation rule, order or license, to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license, and (5) from the record of an individual in response to an inquiry from a Congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Manual, file folders arranged alphabetically by name.

Retrievability: Indexed by name of applicant.

Safeguards: In accordance with 43 CFR 2.51.

Retention and disposal: Record destroyed when applicant ceases to be available.

System manager(s) and address: Chief, Division of Appraisal (450), U.S. Department of the Interior, Bureau of Land Management, 1129 20th Street, NW, Washington, D.C. 20240.

Notification procedure: To determine whether the records are maintained on you in this system, write to the Systems Manager or to the offices cited under Records Location.

Record access procedures: To see your records write to the Systems Manager or to the offices cited under Records Location. Describe as specifically as possible the records sought. If copies are desired indicate the maximum you are willing to pay.

Contesting record procedures: To request corrections or the removal of material from your files, write the Systems Manager.

Record source categories: Applicants and BLM employees.

INTERIOR/LLM-28

System name:

Adopt a Wild Horse—Interior, BLM-28.

System location:

U.S. Department of the Interior, Bureau of Land Management, 18th and C Streets, NW, Washington, DC 20240 and offices listed in Appendix XI.

Categories of individuals covered by the system:

Applicable to obtain custody of a wild horse or burro.

Categories of records in the system:

The record contains the applicant's identification and qualifications to obtain custody of a wild horse or burro, the record of the disposition of the application, the cooperative agreement when custody is granted, information on fees assessed, and debts owned the Bureau.

Authority for maintenance of the system:

16 U.S.C. 1333(b).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary uses of the records are (a) to identify individuals who have applied to obtain custody of a wild horse or burro and (b) to document the rejection, suspension or granting of the request. Disclosures outside the Department of the Interior may be made, (1) to organizations and members of the general public as to the disposition of wild horses or burros, (2) to the U.S. Department of Justice or in a proceeding before a court or adjudicative body when (a) the United States, the Department of the Interior, a component of the Department, or, when represented by the government, an employee of the Department is a party to litigation or anticipated litigation or has an interest in such litigation, and (b) the Department of the Interior determines that the disclosure is relevant or necessary to the litigation and is compatible with the purpose for which the records were compiled, (3) of information indicating a violation or potential violation of a statute, regulation, rule, order or license, to appropriate Federal, State, local or foreign agencies responsible for investigation or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license, and (4) to a congressional office from the record of an individual in response to an inquiry the individual has made to the congressional office.

Disclosure to consumer reporting agencies:

Disclosure pursuant to 5 U.S.C. 552a(b)(12): Disclosures may be made to consumer reporting agencies as defined in the Fair Credit Reporting Act (15 U.S.C. 1681a(f) or the Federal Claims Collection Act of 1966 (31 U.S.C. 3701(a)(3)).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Manual, file folders arranged alphabetically by name, and computer data base program.

Retrievability:

Indexed by name.

Safeguards:

In accordance with 43 CFR 2.51.

Retention and disposal:

BLM Manual H1271-1, Category "Q", item No. 1. Records will remain indefinitely until all local needs are satisfied. Destroy individual data elements when superse or no longer needed for administrative purposes. Computer files are archived periodically.

System manager(s) and address:

Chief, Division of Wild Horses and Burros, U.S. Department of the Interior, Bureau of Land Management, 18th and C Streets, NW, Washington, DC 20240.

Notification procedure:

To determine whether records are maintained on you in this system, write to the System Manager or to the offices cited under Records Location. See 43 CFR 2.60.

Record access procedures:

To see your records write to the System Manager or to the offices cited under Records Location. Describe as specifically as possible the records sought. If copies are desired indicate the maximum you are willing to pay. See 43 CFR 2.63.

Contesting record procedures:

To request corrections or the removal of material from your files, write the System Manager. See 43 CFR 2.71.

Record source categories:

Applicants.

INTERIOR/LLM-29

System name:

Recordation of Mining Claims—Interior, BLM-29.

System location:

All BLM State offices listed in Appendix XI.

Categories of individuals covered by the system:

Individuals who have filed notices or certificates of location for mining claims, millsites, or tunnel sites and individuals who have filed notice of transfer after obtaining a possessory interest in a mining claim, millsite or tunnel site.

Categories of records in the system:

The record contains the owner's name, mailing and resident address, identification and location of the mining claim, millsite or tunnel site, reference to the recordation in the county or local public recording office, verification of assessment or notice of intent to hold, applications for patents with related documents, and information on fees or payments due the Bureau.

Authority for maintenance of the system:

43 U.S.C. 1731, 1740, and 1744.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary uses of the records are (1) to record unpatented mining claims, millsites and tunnel sites, (2) to identify the owners, (3) to process applications for mineral surveys and patents, (4) for recordation of adjudicative actions, and (5) to index documentations in case files supporting administrative actions and notations made on land and resource status records. Disclosure outside the Department of the Interior may be made, (1) to appropriate Federal agencies when location is within the agency's geographic area of responsibility, (2) to Federal, State or local agencies or a member of the general public in response to a specific request for pertinent information, (3) to the U.S. Department of Justice or in a proceeding before a court or adjudicative body when (a) the United States, the Department of the Interior, a component of the Department, or, when represented by the government, an employee of the Department is a party to litigation or anticipated litigation or has an interest in such litigation, and (b) the Department of the Interior determines that the disclosure is relevant or necessary to the litigation and is compatible with the purpose for which the records were compiled, (4) of information indicating a violation or potential violation of a statute, regulation, rule, order or license, to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license, (5) to a congressional office from the record of an individual in response to an inquiry the individual has made to the congressional office, and (6) to the public as published in microfiche format for sale on a quarterly basis.

Disclosure to consumer reporting agencies:

Pursuant to 5 U.S.C. 552a(b)(12), disclosure may be made to a consumer reporting agency as defined in the Fair Credit Reporting Act (15 U.S.C. 1681a(f)) or the Federal Claims Collection Act of 1966 (31 U.S.C. 3701(a)(3)).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained manually in case file folders and on computer magnetic tape.

Retrievability:

Indexed by claim name, claim owner, geographic location, and BLM serial number.

Safeguards:

In accordance with 43 CFR 2.51.

Retention and disposal:

Records are permanently retained in accordance with BLM Manual 1271, Category L, Items 8 & 9, and Category Q, Item 22.

System manager(s) and address:

Chief, Division of Records Systems, Bureau of Land Management, U.S. Department of the Interior, Denver Service Center, Denver, Colorado 80225.

Notification procedure:

To determine whether records are maintained on you in this system, write to the Systems Manager or to the offices cited under System Location. See 43 CFR 2.60.

Record access procedures:

To see your records write to the System Manager or to the offices cited under System Location. Describe as specifically as possible the records sought. If copies are desired, indicate the maximum you are willing to pay. See 43 CFR 2.63.

Contesting record procedures:

Write to the appropriate Bureau of Land Management State Office. See 43 CFR 2.71.

Record source categories:

Owners of unpatented mining claims, millsite or tunnel sites and Department of the Interior employees.

INTERIOR/LLM-30

System name:

Uniform Accountability System—Interior, BLM-30.

System location:

Division of Administrative Services, Bureau of Land Management, U.S. Department of the Interior, Washington, DC 20240.

Categories of individuals covered by the system:

BLM employees or volunteers authorized to wear the uniform.

Categories of records in the system:

Information identifying the individual's name, sex, position title, series, and grade, sizing information (such as height, weight, waist measurement, etc.), last seven digits of the individual's social security number, office cost accounting data, name and addresses for the administrative and shipping offices, type of appointment (such as full-time employee, volunteer, ranger, etc.), amount of allowance authorized, class(es) of uniforms authorized, dates of authorization, the name of the authorizing individual, and all ordering data (such as items shipped, exchanged, returned, etc.) are obtained via uniform allowance authorization and ordering forms.

Authority for maintenance of the system:

5 U.S.C. 5901, Uniform Allowances, and 5 U.S.C. 301, Departmental Regulations.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary uses of the records are to establish and maintain an individual uniform allowance account for BLM employees and volunteers, to ensure individual allowance amounts do not exceed the authorized limitations, to accommodate the efficient processing of individual uniform orders, to expedite payments to the contractor, and to bill appropriate BLM office accounts for uniform items received. The information contained in this system of records is provided to management through reports for purposes of expediting payments to the contractor, auditing of records, and maintenance of the overall program. Disclosure outside the Department of the Interior may be made (1) to the U.S. Department of Justice or in a proceeding before a court or adjudicative body when (a) the United States, the Department of the Interior, a component of the Department, or when represented by the government, an employee of the Department is a party to litigation or anticipated litigation or has an interest in such litigation, and (b) the Department of the Interior determines that the disclosure is relevant or necessary to the litigation and is compatible with the purpose for which the records were compiled; (2) to disclose pertinent information to an appropriate Federal, State, local, or foreign agency responsible for investigating, prosecuting, enforcing, or implementing a statute, regulation, rule, or order, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation; (3) to a Member of Congress from the record of an individual in response to an inquiry made at the request of that individual; (4) to the Department of Treasury to effect payment to Federal, State, and local government agencies, nongovernmental organizations, and individuals; and (5) to a debt collection agency to effect payment to the contractor for items ordered by BLM employees and volunteers that are in excess of the authorized uniform allowance amount.

Disclosure to consumer reporting agencies:

Disclosures may be made from this system to 'consumer reporting agencies' as defined in the Fair Credit Reporting Act (15 U.S.C. 1681a(f)) or the Federal Claims Collection Act of 1966 (31 U.S.C. 3701(a)(3)).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

An individual's allowance authorization, ordering, and shipping data are stored in a computer data base at the supplier's facility by the individual's name and account number (last seven digits of their social security number). A copy of the forms are stored in file folders at the supplier's facility and BLM administrative offices arranged alphabetically by name.

Retrievability:

Indexed by individual's name and/or account number, order and shipping data, and BLM cost accounting data.

Safeguards:

Maintained with safeguards meeting the requirements of 43 CFR 2.51 for computerized and manual records.

Retention and disposal:

BLM offices are required to maintain all file copies of transactions for a minimum of three years. The supplier is required to maintain all file copies of transactions for the life of the contract or termination of the individual's authorization (whichever terminates first). The records control schedule governing these records is pending the approval of the Archivist.

System manager(s) and address:

Chief, Division of Administrative Services, Bureau of Land Management (850), Room 2444, Main Interior Building, 18th and C Sts., NW., Washington, DC 20240.

Notification procedure:

A written request addressed to the Systems Manager is required. See 43 CFR 2.60.

Record access procedures:

To see your records write to the Systems Manager describing as specifically as possible the records sought. If copies are desired, indicate the maximum you are willing to pay. See 43 CFR 2.63.

Contesting record procedures:

To request corrections or the removal of material from your files, write the Systems Manager. See 43 CFR 2.71.

Record source categories:

(1) Individual BLM employees and volunteers authorized to wear the uniform, (2) BLM state and administrative office's, and (3) the authorized supplier.

INTERIOR/OHA-1

System name:

Hearings and Appeals Files—Interior, OHA-1.

System location:

(1) Office of Hearings and Appeals, 4015 Wilson Boulevard, Arlington, Virginia 22203. (2) All field facilities of the Office of Hearings and Appeals. (Contact the System Manager for a list of addresses).

Categories of individuals covered by the system:

Individual persons involved in hearings and appeals proceedings before the Hearings Division, Appeals Boards, and the Director, OHA.

Categories of records in the system:

Information assembled in case files pertaining to hearings proceedings, and to appeals to the Department relating to:

(a) Contract disputes arising out of findings of fact or decisions by contracting officers of any bureau or office of the Department, or any field installation thereof, which are considered and decided finally for the Department by the Interior Board of Contract Appeals;

(b) Indian probate matters, including determination of heirs and approval of wills, except as to members of the Five Civilized Tribes and Osage Indians and resolution of appeals to the Department in such matters; proceedings in Indian probate relating to Tribal acquisition of certain interests of decedents in trust and restricted lands; and appeals pertaining to administrative actions of BIA officials in cases involving determinations, findings and orders protested as a violation of a right or privilege of the appellant, which are considered and decided finally for the Department by the Interior Board of Indian Appeals;

(c) Appeals from decisions rendered by Departmental officials relating to the use and disposition of public lands and their resources, including land selections arising under the Alaska Native Claims Settlement Act, as amended; and the use and disposition of mineral resources in certain acquire lands of the United States and in the submerged lands of the Outer Continental Shelf, which are considered and decided finally for the Department by the Interior Board of Land Appeals;

(d) Appeals from orders and decisions issued by Departmental officials and administrative law judges in proceedings relating to surface coal mining control and reclamation which are considered and decided finally for the Department by the Interior Board of Land Appeals;

(e) Wildlife civil penalty assessment hearings before administrative law judges of the OHA and appeals from their orders and decisions which are considered and decided finally for the Department by the Director, OHA, or ad hoc appeals boards appointed by him;

(f) Appeals from orders and decisions of Departmental bureaus pertaining to relocation assistance benefits claims, considered and decided finally for the Department by the Director, OHA, or ad hoc appeals boards appointed by him;

(g) Grievance proceedings involving employees of the Department, in which hearings are conducted and recommended decisions are prepared by OHA attorneys and administrative law judges under authority delegated by the Director, OHA;

(h) Proceedings and decisions by administrative law judges and the Director, OHA, concerning nondiscrimination in Federally assisted programs in connection with which Federal financial assistance is extended under laws administered in whole or in part by the Department of the Interior Effectuation of Title VI of the Civil Rights Act of 1964;

(i) Proceedings and decisions by administrative law judges and the Director, OHA, concerning nondiscrimination in activies conducted under permits, rights-of-way, public land orders, and other Federal authorizations granted or issued under Title II of the Trans-Alaska Pipeline Authorization Act.

Authority for maintenance of the system:

(a) R.S. 2478, as amended 43 U.S.C. sec. 1201: 5 U.S.C. sec. 301; Pub. L. 95-563, 41 U.S.C. 601. (b) 5 U.S.C. sec. 301; secs. 1, 2,, 36 Stat. 855, as amended, 856, as amended, sec. 1, 38 Stat. 586, 42 Stat. 1185, as amended, secs. 1, 2, 56 Stat. 1021, 1022; 25 U.S.C. 372, 373, 374, 373a, 373b; Act of December 31, 1970 (Pub. L. 91-627; 84 Stat 1874; 25 U.S.C. 607), amending sec. 7 of the Act of August 9, 1946 (60 Stat. 968; 25 U.S.C. 607), with respect to trust or restricted land within the Yakima Reservation or within the area ceded by the Treaty of June 9, 1855 (12 Stat. 1951); Act of August 10, 1972 Pub. L. 92-377; 86 Stat. 530), with respect to trust or restricted lands within the Warm Springs Reservation or within the area ceded by the Treaty of June 25, 1855 (12 Stat. 37); Act of September 29, 1972 (Pub. L. 92-443; 86 Stat. 744), with respect to trust or restricted land within the Nez Perce Indian Reservation or within the area ceded by the Treaty of June 11, 1855 (12 Stat. 957); R.S. 463, 465, 5 U.S.C. 301, and 25 U.S.C. 2 and 9. (c) R.S. 2478 as amended, 43 U.S.C. 1201; 5 U.S.C. 101; 43 U.S.C. 315a; 43 U.S.C. 1701(a)(5). (d) Sec. 201, Pub. L. 95-87, 91 Stat. 445, 30 U.S.C. 1201. (e) R.S. 2478, as amended, 43 U.S.C. 1201; 5 U.S.C. sec. 301; 43 U.S.C. 1601-1624. (f) Lacey Act, 18 U.S.C. sec. 43; Endangered Species Act of 1973, 16 U.S.C. sec. 1531 et seq.; Endangered Species Conservation Act of 1969 (formerly) 16 U.S.C. sec. 668aa et seq.; Marine Mammal Protection Act of 1972, 16 U.S.C. sec. 1361 et seq.; Bald Eagle Protection Act, 16 U.S.C. 668 et seq.; 5 U.S.C. 301 (g) 42 U.S.C. secs. 4601-4655; 5 U.S.C. 301. (h) 5 U.S.C. 301; 5 CFR Part 771; 5 U.S.C. 1302, 3301, 3302, E.O. 10577; 3 CFR, 1954-1958 Comp., p. 218, E.O. 10987; 3 CFR, 1959-1963 Comp., p. 519. (i) 43 CFR 17.8; 5 U.S.C. sec. 301; Title VI of the Civil Rights Act of 1964 (section 602, 42 U.S.C. 2000d-1); 43 CFR Part 17, including Appendix A thereto. (j) Sec. 403, Pub. L. 93-153, 87 Stat. 576, 5 U.S.C. 301, and 43 CFR Part 27.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary uses of the records are for the adjudication and determination of issues in hearing and appeals proceedings. Disclosures outside the Department of the Interior may be made (1) to the U.S. Department of Justice when related to litigation or anticipated litigation; (2) of information indicating a violation or potential violation of a statute, regulation, rule, order or license, to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in manual form in file folders.

Retrievability:

Indexed by name of appellant, claimant, etc., and by OHA docket number.

Safeguards:

Maintained with safeguards meeting the requirements of 43 CFR 2.51 for manual records.

Retention and disposal:

Case materials returned to operating bureau or office after completion of OHA functions. Records of decisions not authorized for disposal.

System manager(s) and address:

Director, Office of Hearings and Appeals, U.S. Department of the Interior, 4015 Wilson Boulevard, Arlington, VA 22203.

Notification procedure:

System Manager or, with respect to records maintained in a field office for which he is responsible, an administrative law judge or chief administrative law judge in charge. A written and signed request stating that the requester seeks information concerning records pertaining to him is required. See 43 CFR 2.60.

Record access procedures:

A request for access may be addressed to the System Manager or, with respect to records maintained in a field office for which he is responsible, an administrative law judge or chief administrative law judge in charge. The request must be in writing and be signed by the requester. The request must meet the content requirements of 43 CFR 2.63.

Contesting record procedures:

A petition for amendment shall be addressed to the System Manager must meet the requirements of 43 CFR 2.71.

Record source categories:

Records in the system include information submitted by the appellants, claimants, and other persons involved in the hearings and appeals proceedings, as well as by the Government.

INTERIOR/SOL-1

System name: Litigation, Appeal and Case Files—Interior Office of the Solicitor-1.

System location: (1) Office of the Solicitor, U.S. Department of the Interior, 18th and C Streets, NW, Washington, D.C. 20240. (2) All Regional and Field Offices of the Office of the Solicitor. (See Appendix for addresses.)

Categories of individuals covered by the system: Individuals involved in litigation with the United States, or the Department of the Interior, officials or constituent units thereof; individuals involved in administrative proceedings before the Department, to which the Department is a party or in which it has an interest; individuals suspected of violations of criminal and civil statutes or regulations or orders the violation of which carries criminal penalties; individuals who have applied to the Department for permits, grants or loans; individuals who have appealed to the Office of the Solicitor from the decisions of other constituent units of the Department; individuals involved in negotiations, claims or disputes with the Department; individuals for whom the Department has performed legal services.

Categories of records in the system: Investigatory reports, opinions and memoranda of law, pleadings, motions, depositions, rulings, and other records necessary to the provisions of legal services.

Authority for maintenance of the system: 43 U.S.C. 1455.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The primary uses of the records are to provide legal services to the Department of the Interior. Disclosures outside the Department of the Interior may be made (1) to another Federal agency or a State or local government having a subject matter interest in the records; (2) to an individual or entity aligned with the United States or the Department of the Interior or any official or constituent unit thereof as a plaintiff, petitioner, defendant or respondent in any judicial or administrative proceedings; (3) to a court, magistrate or administrative tribunal in the course of presenting evidence thereto, or to opposing counsel in the course of settlement negotiations; (4) to the U.S. Department of Justice when related to litigation or anticipated litigation; (5) of information indicating a violation or potential violation of a statute, regulation, rule, order or license, to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Maintained in manual form in file folders.

Retrievability: By case or individual name.

Safeguards: Maintained with safeguards meeting the requirement of 43 CFR 2.51 for manual records.

Retention and disposal: Subject to approved disposal schedule.

System manager(s) and address: Director of Administration, Office of the Solicitor, U.S. Department of the Interior, 18th and C Streets, NW, Washington, D.C. 20240.

Notification procedure: Inquiries regarding the existence of records shall be addressed to the System Manager or, with respect to the office for which he is responsible, a Regional or Field Solicitor. A written, signed request stating that the requester seeks information concerning records pertaining to him is required. See 43 CFR 2.60.

Record access procedures: A request for access shall be addressed to the System Manager or, with respect to the office for which he is responsible, a Regional or Field Solicitor. The request must be in writing and be signed by the requester. The request must meet the content requirements of 43 CFR 2.63.

Contesting record procedures: A petition for amendment shall be addressed to the System Manager and must meet the content requirements of 43 CFR 2.71.

Record source categories: Individuals listed above under "Categories of individuals covered by the system", bureaus and offices of the Department, other Federal agencies, courts, administrative tribunals.

Systems exempted from certain provisions of the act: (1) The Privacy Act does not entitle an individual to access to information compiled in anticipation of a civil action or proceeding. (2) Under the specific exemption authority provided by 5 U.S.C. 552a(k)(2), the Department of the Interior has adopted a regulation, 43 CFR 2.79(b), which exempts this system (to the extent that it consists of investigatory material compiled for law enforcement purposes) from the provisions of 5 U.S.C. 552a(c)(3), (d), (e)(1), (e)(4) (G), (H) and (I) and (f) and portions of 43 CFR, Part 2, Subpart C which implement these provisions. The reasons for adoption of this regulation are set out at 40 FR 37217 (August 26, 1975).

INTERIOR/SOL-2

System name: Claims Files—Interior, Office of the Solicitor-2.

System location: (1) Office of the Solicitor, U.S. Department of the Interior, 18th and C Streets, NW, Washington, D.C. 20240. (2) All Regional and Field Offices of the Solicitor. (See Appendix for addresses).

Categories of individuals covered by the system: Individuals who have filed Tort, Federal Employee, Admiralty or Irrigation claims.

Categories of records in the system: Contains records concerning claims, including the claims and supporting information submitted by the claimant, information developed by the Department concerning the claim and a record of the disposition of the claim if processing of the claim is complete.

Authority for maintenance of the system: (1) Federal Tort Claims Act, 28 U.S.C. 2671–2680. (2) Military Personnel and Civilian Employees' Claims Act, 31 U.S.C. 240–243. (3) Public Works for Water and Power Development and Atomic Energy Commission Appropriation Act, Pub.L. 93-393, 88 Stat. 782. (4) Act of March 9, 1920, 46 U.S.C. 742, 747, 749, 750.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The primary uses of the records are for the adjudication of tort, Federal employee, admiralty and irrigation claims. Disclosures outside the Department of the Interior may be made (1) to another Federal agency or a State or local government body having partial or complete jurisdiction over the claim or related claims; (2) to the U.S. Department of Justice when related to litigation or anticipated litigation; (3) of information indicating a violation or potential violation of a statute, regulation, rule, order or license, to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation for or enforcing or implementing the statute, rule, regulation, order or license.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in manual form in file folders.

Retrievability: Indexed by name of claimant.

Safeguards: Maintained with safeguards meeting the requirements of 43 CFR 2.51 for manual records.

Retention and disposal: Claim and investigative material returned to operating bureau or office after completion of processing. Records of decisions not authorized for disposal.

System manager(s) and address: Director of Administration, Office of the Solicitor, U.S. Department of the Interior, 18th and C Streets, NW., Washington, D.C. 20240.

Notification procedure: System manager or, with respect to records maintained in the office for which he is responsible, a Regional or Field Solicitor. A written and signed request stating that the requester seeks information concerning records pertaining to him is required. See 43 CFR 2.60.

Record access procedures: A request for access may be addressed to the System Manager or, with respect to records maintained in the office for which he is responsible, a Regional or Field Solicitor. The request must be in writing and be signed by the requester. The request must meet the content requirements of 43 CFR 2.63.

Contesting record procedures: A petition for amendment shall be addressed to the System manager and must meet the requirements of 43 CFR 2.71.

Record source categories: Claimants. Investigations conducted by Bureaus and Offices of the Department of State or local officials.

Systems exempted from certain provisions of the act: The Privacy Act does not entitle an individual to access to information compiled in reasonable anticipation of a civil action or proceeding.

INTERIOR/SOL-3

System name: Patent Files—Interior, Office of the Solicitor-3.

System location: Office of the Solicitor, U.S. Department of the Interior, 18th and C Streets, NW, Washington, D.C. 20240.

Categories of individuals covered by the system: Inventors of Inventions arising from Government research and development programs; and applicants for Patents, Trademark Registrations, and Copyright Registrations.

Categories of records in the system: Certain titles of inventions, inventor's name, Department of the Interior's docket number, and Patent and Trademark Offices Serial Numbers and filing dates.

Authority for maintenance of the system: (1) 5 U.S.C. 301; (2) 43 U.S.C. 1457; and (3) 1963 and 1971 President's Patent Policy Statements.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The primary uses of the records are (a) for ongoing retrieval and docketing purposes and intraoffice management and (b) for the preparation of patent applications for submission to the U.S. Patent Office. Disclosures outside the Department of the Interior may be made (1) to the U.S. Patent Office; (2) to inventors and others directly concerned with the government funded research and development information concerning filing dates, serial numbers and patent or trademark registration numbers; (3) to the U.S. Department of Justice when related to litigation or anticipated litigation; (4) of information indicating a violation or potential violation of a statute, regulation, rule, order or license, to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order or license.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Maintained in manual form.

Retrievability: Indexed by inventor's names, docket number, and serial number.

Safeguards: Maintained with safeguards meeting the requirements of 43 CFR 2.51.

Retention and disposal: Records will be maintained indefinitely.

System manager(s) and address: Assistant Solicitor, Patents, Office of the Solicitor, U.S. Department of the Interior, 18th and C Streets, NW, Washington, D.C. 20240.

Notification procedure: A written request addressed to the System Manager stating that the requester seeks information concerning records pertaining to him is required. See 43 CFR 2.60.

Record access procedures: A request for access may be addressed to the System Manager. The request must be in writing and be signed by the requester. The request must meet the content requirements of 43 CFR 2.63.

Contesting record procedures: A petition for amendment should be addressed to the System Manager and must meet the content requirements of 43 CFR 2.71.

Record source categories: Inventors, contractors, and U.S. Patent and Trademark Office.

Systems exempted from certain provisions of the act: The Privacy Act does not entitle an individual to access to information compiled in reasonable anticipation of a civil action or proceeding.

INTERIOR/SOL-4

System name: Workload Analysis—Interior, Office of the Solicitor-4.

System location: (1) Office of the Solicitor, U.S. Department of the Interior, 18th and C Streets, NW, Washington, D.C. 20240. (2) Regional and Field Offices of the Office of the Solicitor. (See Appendix for addresses.)

Categories of individuals covered by the system: Attorneys employed in the Office of the Solicitor.

Categories of records in the system: Records concerning subject of assigned work and status of that work.

Authority for maintenance of the system: 43 U.S.C. 1455.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The primary uses of the records are for the management of workload of the Office of the Solicitor. Disclosures outside the Department of the Interior may be made (1) to the Office of Management and Budget in connection with preparation of the President's budget; (2) to another Federal agency having a subject matter interest in a case, proceeding or other matter described in the records; (3) to the U.S. Department of Justice when related to litigation or anticipated litigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Maintained in both manual and computer form.

Retrievability: Indexed by organizational unit, may be retrieved by name of individual attorney.

Safeguards: Maintained with safeguards meeting the requirements of 43 CFR 2.51.

Retention and disposal: In accordance with approved disposal schedule.

System manager(s) and address: Director of Administration, Office of the Solicitor, U.S. Department of the Interior, 18th and C Streets, NW, Washington, D.C. 20240.

Notification procedure: Inquiries regarding the existence of records should be addressed to the System Manager. A written, signed request stating that the requester seeks information concerning records pertaining to him is required. See 43 CFR 2.60.

Record access procedures: A request for access may be addressed to the System Manager. The request must be in writing and be signed by the requester. The request must meet the content requirements of 43 CFR 2.63.

Contesting record procedures: A petition for amendment should be addressed to the System Manager and must meet the content requirements of 43 CFR 2.71.

Record source categories: Individual attorneys.

Appendix

This Appendix contains the addresses of facilities of the Department of the Interior. The Appendix is to be used in conjunction with the Department's notices describing systems of records which are subject to section 3 of the Privacy Act of 1974. Various system notices will refer the reader to the facilities maintaining the records which are listed in this Appendix.

I. OFFICE OF THE SECRETARY

(All addresses are as follows unless otherwise indicated: U.S. Department of the Interior, 18th and C Streets NW., Washington, DC 20240.)

A. Immediate Office of the Secretary.
B. Office of the Under Secretary.
C. Office of the Assistant Secretary for Fish and Wildlife and Parks.
D. Office of the Assistant Secretary—Land and Minerals Management.
E. Office of the Assistant Secretary—Water and Science.
F. Office of Assistant Secretary—Policy, Budget and Administration.
G. Office of Assistant Secretary—Indian Affairs.
H. Office of Assistant Secretary—Territorial and International Affairs.
I. Office of Congressional and Legislative Affairs.
J. Office for Equal Opportunity.
K. Office of Public Affairs.
L. Office of Small and Disadvantaged Business Utilization.
M. Office of Youth Programs.
N. Office of Budget and Finance
1. Office of Budget
2. Office of Financial Management
3. Budget Execution Staff.
O. Office of Management Improvement.
1. Office of Information Resources Management
2. Office of Acquisition and Property Management
3. Office of Construction Management
4. Office of Management Analysis
5. Division of Enforcement and Security Management.
P. Office of Management Services
1. Office of Administrative Services
2. Office of Personnel
3. Office of Aircraft Services, 3905 Vista Avenue, Boise, Idaho 83705
4. Division of Personnel Services.
Q. Office of Policy Analysis.
R. Office of Environmental Project Review.

II. OFFICE OF THE SOLICITOR

A. Headquarters Office:

Office of the Solicitor, U.S. Department of the Interior, 18th and C Streets NW., Washington, DC 20240.

B. Field Offices:

Regional Solicitor, U.S. Department of the Interior, 701 C Street, Anchorage, AK 99513

Regional Solicitor, U.S. Department of the Interior, Room E-2753, 2800 Cottage Way, Sacramento, CA 95825

Regional Solicitor, U.S. Department of the Interior, P.O. Box 25007, Denver Federal Center, Denver, CO 80225

Regional Solicitor, U.S. Department of the Interior, Richard B. Russell Federal Builing, 75 Spring Street, SW., Suite 1328, Atlanta GA 30303

Regional Solicitor, U.S. Department of the Interior, Suite 612, One Gateway Center, Newton, Corner, MA 02158

Regional Solicitor, U.S. Department of the Interior, Room 3068, Page Belcher Federal Building, 333 West 4th Street, Tulsa, OK 74103

Regional Solicitor, U.S. Department of the Interior, Lloyd 500 Building, Suite 607, 500 NE., Multnomah, Portland, OR 97232

Regional Solicitor, U.S. Department of the Interior, Suite 6201, Federal Building, 125 South State Street, Salt Lake City, UT 84138

Field Solicitor, U.S. Department of the Interior, Suite 150, 505 North Second St., Phoenix, AZ 85004

Field Solicitor, U.S. Department of the Interior, P.O. Box M, Window Rock, AZ 86515

Field Solicitor, U.S. Department of the Interior, Box 36064, 450 Golden Gate Avenue, Room 14126, San Francisco, CA 94102

Field Solicitor, U.S. Department of the Interior, Box 020, Federal Building, U.S. Courthouse, 550 West Fort Street, Boise, ID 83724

Field Solicitor, U.S. Department of the Interior, 686 Federal Building, Twin Cities, MN 55111

Field Solicitor, U.S. Department of the Interior, Room 5431, Federal Building, 316 N. 26th Street, Billings, MT 59101

Field Solicitor, U.S. Department of the Interior, P.O. Box 1042, Santa Fe, NM 87504

Field Solicitor, U.S. Department of the Interior, Osage Agency, Grandview Avenue, Pawhuska, OK 74056

Field Solicitor, U.S. Department of the Interior, Suite 502J, U.S. Post Office and Courthouse, Pittburgh, PA 15219

Field Solicitor, U.S. Department of the Interior, P.O. Box 15006, Knoxville, TN 37901

Field Solicitor, U.S. Department of the Interior, 1100 South Fillmore, Amarillo, TX 79101

Field Solicitor, U.S. Department of the Interior, 603 Morris Street, 2nd Floor, Charleston, WV 25301

III. OFFICE OF HEARINGS AND APPEALS

A. Headquarters Office:

Office of Hearings and Appeals, 4015 Wilson Blvd., Arlington, VA 22203.

B. Field Offices:

Administrative Law Judge, 1111 Northshore Drive, Suite 202, Bldg. No. 1, Knoxville, TN 37919

Administrative Law Judges, 6432 Federal Bldg., Salt Lake City, UT 84138

Administrative Law Judge, (Indian Probate), Federal Bldg., Rm 3427, 230 N. First Ave., Phoenix, AZ 85025

Administrative Law Judge (Indian Probate), 2020 Hurley Way, Suite 150, Sacramento, CA 95825

Administrative Law Judge (Indian Probate), Federal Building, Rooms 674 and 688, Fort Snelling, Twin Cities, MN 55111

Administrative Law Judge (Indian Probate), 421 Gold SW, Rm 303, Alburquerque, MN 87102

Administrative Law Judge (Indian Probate), 215 Dean A. McGee Ave., Rm. 712, Oklahoma City, OK 73102

Administrative Law Judge (Indian Probate), 1425 NE. Irving St., Bldg. 100, Suite 112, Portland, OR 97232

Administrative Law Judge (Indian Probate), Federal Bldg. & Courthouse, 515 9th St., Suite 201, Rapid City, SD 57701

Administrative Law Judge (Indian Probate), Federal Bldg. & Courthouse, Rm 3329, 316 N. 26th St., Billings, MT 59101.

IV. OFFICE OF INSPECTOR GENERAL

Headquarters Office: Office of Inspector General, U.S. Department of the Interior, 18th & C Streets NW, Washington, DC 20240.

V. [Reserved]

VIII. FISH AND WILDLIFE SERVICE

A. Headquarters Office

Fish and Wildlife Service,
U.S. Department of the Interior,
18th and C Streets, N.W.,
Washington, D. C. 20240.

B. Regional Offices,

Portland Regional Office (Region 1),
Fish and Wildlife Service,
U.S. Department of the Interior,
1500 N. E. Irving Street,
Post Office Box 3737,
Portland, Oregon 97208.

Albuquerque Regional Office (Region 2),

Fish and Wildlife Service,
U.S. Department of the Interior,
500 Gold Avenue, S.W.,
Albuquerque, New Mexico 87102.

Twin Cities Regional Office (Region 3),
Fish and Wildlife Service,
U.S. Department of the Interior,
Federal Building,
Fort Snelling,
Twin Cities, Minnesota 55111.

Atlanta Regional Office (Region 4),
Fish and Wildlife Service,
U.S. Department of the Interior,
17 Executive Park Drive, N. E.,

Atlanta, Georgia 30329.

Boston Regional Office (Region 5),
Fish and Wildlife Service,
U.S. Department of the Interior,
John W. McCormack Post Office and Courthouse,
Boston, Massachusetts 02109.

Denver Regional Office (Region 6),
Fish and Wildlife Service,
U.S. Department of the Interior,
10597 West Sixth Avenue,
Lakewood, Colorado 80215.

Alaska Area Office,
Fish and Wildlife Service,
U.S. Department of the Interior,
813 D Street,
Anchorage, Alaska 99501.

C. Law Enforcement District Offices,

Special Agent-in-charge,
813 D Street,
Anchorage, Alaska 99501.

Special Agent-in-charge,
P. O. Box 3737,
Portland, Oregon 97208.

Special Agent-in-charge,
Room E 1924-2800 Cottage Way,
Sacramento, California 95825.

Special Agent-in-charge,
P. O. Box 25486,
Denver Federal Center,
Denver, Colorado 80225.

Special Agent-in-charge,
P. O. Box 1038,
Independence, Missouri.

Special Agent-in-charge,
P. O. Box 329,
Albuquerque, New Mexico.

Special Agent-in-charge,
P. O. Box 45,
Twin Cities, Minnesota 55111.

Special Agent-in-charge,
546 Carondelet Street-Room 408,
New Orleans, Louisiana 70130.

Special Agent-in-charge,
P. O. Box 95467,
Atlanta, Georgia 30347.

Special Agent-in-charge,
P. O. Box 290,
Nashville, Tennessee 37202.

Special Agent-in-charge,
95 Aquahart Road,
Glen Burnie, Maryland 21061.

Special Agent-in-charge,
Hangar 11, Room 1–49,
John F. Kennedy Airport,
Jamaica, New York 11430.

Special Agent-in-charge,
P. O. Box 34,
Boston, Massachusetts 02101.

IX. U.S. GEOLOGICAL SURVEY

U.S. Geological Survey
National Center,
201 Sunrise Valley Drive,Reston, Virginia 22092

X. BUREAU OF INDIAN AFFAIRS

Bureau of Indian Affairs,
U.S. Department of the Interior,
18th and C Streets, NW, Washington, D. C. 20245

XI. BUREAU OF LAND MANAGEMENT.

A. Headquarters Office: Department of the Interior, Bureau of Land Management, 18th & C Streets NW, Washington, DC 20240.

B. State and District Offices: (Add Bureau of Land Management, U.S. Department of the Interior, to all addresses.)

Alaska State Office, 701 C Street, Box 13, Anchorage, Alaska
Anchorage District Office, 4700 E. 72nd Avenue, Anchorage, AK 99507
Peninsula Res. Area, Same as Anchorage DO
Glennallen Res. Area, P.O. Box 42, Glennallen, AK 99588
McGrath Res. Area, Same as Anchorage DO
Fairbanks District Office, 1541 Gaffney Rd., Fairbanks, AK 99703
Northwest Res. Area, P.O. Box 1150, Fairbanks, AK 99707
Tok Field Office, P.O. Box 307, Tok, AK 99780
Yukon Res. Area, P.O. Box 1150, Fairbanks, AK 99707
Arctic Res. Area, Same as Yukon RA
Alaska Fire Service, No. Post Ft. Wainwright P.O. Box 3505 Fairbanks, AK 99707
Nome Field Office, Nome, AK 99762
Arizona State Office, 3707 North 7th Street, P.O. Box 16563, Phoenix, Arizona 85011
Arizona Strip District Office, 196 E. Tabernacle, St. George, UT 84770
Shivwits Resource Area, Same As Arizona Strip DO
Vermillion Resource Area, Same As Arizona Strip DO
Phoenix District Office, 2015 W. Deer Valley Road, Phoenix, AZ 85027
Phoenix Resource Area, Same as Phoenix DO
Lower Gila Resource Area, 2015 W. Deer Valley Road, Phoenix, AZ 85027
Kingman Resource Area, 2475 Beverly Avenue, Kingman, AZ 86401
Safford District Office, 425 E. 4th Street, Safford, AZ 85546
Gila Resource Area, Same as Safford DO
San Simon Resource Area, Same as Safford DO
Yuma District Office, 3150 Winsor Avenue, P.O. Box 5680, Yuma, AZ 85364
Yuma Resource Area, Same as Yuma DO
Havasu Resource Area, 3189 Sweetwater, P.O. Box 685, Lake Havasu City, AZ 86403
California State Office, Federal Building, 2800 Cottage Way, E-2841, Sacramento, California 95825

Bakersfield District Office, Federal Bldg., Rm 302, 800 Truxtun Ave., Bakersfield, CA 93301
Caliente Resource Area, 520 Butte Street, Bakersfield, CA 93305
Bishop Resource Area, 873 No. Main St., Suite 201, Bishop, CA 93514
Folsom Resource Area, 63 Natoma Street, Folsom, CA 95630
Hollister Resource Area, P.O. Box 365, Hollister, CA 95023
Susanville District Office, 705 Hall Street, P.O Box 1090, Susanville, CA 96130
Eagle Lake Resource Area, 2545 Riverside Drive, P.O. Box 1090, Susanville, CA 96130
Alturas Resource Area, Centerville Rd., P.O. Box 771, Alturas, CA 96101
Surprise Resource Area, 602 Cressler Street, P.O. Box 460, Cedarville, CA 96104
Ukiah District Office, 555 Leslie Street, P.O. Box 940, Ukiah, CA 95482
Arcata Resource Area, 1125-16th Street, P.O. Box II, Arcata, CA 95521.
Clear Lake Resource Area, Same Add. as Ukiah DO
Redding Resource Area, 355 Hemsted Drive, Redding, CA 96002.
California Desert District, 1695 Spruce Street, Riverside, CA 92507.
Ridgecrest Resource Area, 112 East Dolphin Street, Ridgecrest, CA 93555.
Indio Resource Area, Same as California Desert DO
El Centro Resource Area, 333 South Waterman Avenue, El Centro, CA 92243.
Barstow Resource Area, 831 Barstow Road, Barstow, CA 92311.
Needles Resource Area, 901 Third Street, Needles, CA 92363.
Colorado State Office, 2020 Arapahoe Street, Denver, CO 80205.
Craig District Office, 455, Emerson Street, Craig, CO 81625.
Little Snake Resource Area, 1280 Industrial Avenue, Craig, CO 81625
White River Resource Area, 73544 Highway 64, P.O. Box 928, Meeker, CO 81641.
Kremmling Resource Area, 1116 Park Avenue, P.O. Box 68, Kremmling, CO 80459.
Montrose District Office, 2465 S. Townsend Avenue, Montrose, CO 81401.
Uncompahgre Basin Resource Area, 2505 S. Townsend Avenue, Montrose, CO 81401.
Gunnison Basin Resource Area, 216 N. Colorado, Gunnison, CO 81230.
San Juan Resource Area, Federal Building, Room 102, 701 Camino Del Rio, Durango, CO 81301.
Canon City District Office, 3080 East Main Street, P.O. Box 311, Canon City, CO 81212.
San Luis Resource Area, 1921 State Avenue, Alamosa, CO 81101.
Royal Gorge Resource Area, 9th & Royal Gorge Boulevard, P.O. Box 1470 Canon City, CO 81212.
Northeast Resource Area, Building 41, Room 129, Denver Federal Center, Denver, CO 80225.
Grand Junction District Office, 764 Horizon Drive, Grand Junction, CO 81506
Grand Junction Resource Area, Same Add, as Grand Junction DO
Glenwood Springs Resource Area, 50629 Highway 6 and 24, P.O. Box 1009, Glenwood Springs, CO 81602.
Idaho State Office, 3380 Americana Terrace, Boise, Idaho 83706
Boise Dist. Office, 3948 Development Avenue, Boise, ID 83705
Cascade Resource Area, Same Add. as Boise DO
Owyhee Resource Area, Same Add. as Boise DO
Bruneau Resource Area, Same Add. as Boise DO
Jarbidge Resource Area, Same Add. as Boise DO
Burley District Office, Route 3, Box 1, Burley, ID 83318
Deep Creek Resource Area, Same Add. as Burley DO
Snake River Resource Area, Same Add. as Burley DO
Coeur d'Alene Dist. Off., 1808 N. Third Street, Coeur d'Alene, ID 83814
Emerald Empire Resource Area, Same Add. as Coeur D'Alene DO
Cottonwood Resource Area, Route 3, Box 181, Cottonwood, ID 83522
Idaho Falls District Office, 940 Lincoln Road, Idaho Falls, ID 83401
Pocatello Resource Area, Fed. Bldg., U.S. Courthouse, 250 So. 4th Ave., Suite 172, Pocatello, ID 83201
Big Butte-Resource Area, Same Add. as ID Falls DO
Medicine Lodge Resource Area, Same Add. as ID Falls DO
Salmon District Office, P.O. Box 430, Salmon, ID 83467
Lemhi Resource Area, Same Add. As Salmon DO
Challis-Mackay Resource Area, Same Add. as Salmon DO
Shoshone Dist. Off., 400 West "F" Street, P.O. Box 2B, Shoshone, ID 83352
Monument Resource Area, Same Add. as Shoshone DO
Bennett Hills Resource Area, Same Add. as Shoshone DO
Eastern States Office, 350 S. Pickett Street, Alexandria, Virginia 22304
Jackson District Office, P.O. Box 11248, Delta Station, Jackson, MS 39213
Milwaukee District Office, P.O. Box 631, Milwaukee, WI 53201-0631
Rolla Resource Area, 901 Pine Street, Suite 201, Rolla, MO 65401
Montana State Office, Granite Tower, 222 N. 32nd Street, P.O. Box 36800, Billings, Montana 59107
Butte Dist. Off., 106 N. Parkmont, P.O. Box 3388, Butte, MT 59702
Headwater Resource Area, Same Add. as Butte DO
Dillon Resource Area, Ibey Bldg. N. Dillon, P.O. Box 1048, Dillon, MT 59725
Garnet Resource Area, 3255 Ft. Missoula Road, Missoula, MT 59806
Miles City District Office, West of Miles City, P.O. Box 950, Miles City, MT 59301
Big Dry Resource Area, Miles City Plaza, Miles City, MT 59301
Powder River Resource Area, Same Add. as Miles City DO
Permanent Field Station (Remote), Jordan, MT
Permanent Field Station, Ekalaka, MT
South Dakota Resource Area, 310 Roundup Street, Belle Fourche, SD 57717
Billings Resource Area, 810 East Main Street, Billings, MT 59101
Dickinson District Office, P.O. Box 1229,
Dickinson, ND 58602
Lewistown District Office, Airport Road, Lewistown, MT 59457
Judith Resource Area,
Same Add. as Lewistown DO
Phillips Resource Area, 501 So. 2nd St., E., P.O. Box B, Malta, MT 59538
Havre Resource Area, West 2nd St., P.O. Drawer 911, Havre, MT 59501
Valley Resource Area, RR 1-4775, Glasgow, MT 59230
Great Falls Resource Area, 215 1st Avenue North, P.O. Drawer 2865, Great Falls, MT 56403
Nevada State Office, Federal Building, 300 Booth St., P.O. Box 12000, Reno, Nevada 89520
Battle Mountain District Office, P.O. Box 1420, Battle Mountain, NV 89820
Shoshone-Eureka Resource Area, Same Add. Battle Montain DO
Tonopah Resource Area, Bldg., 102 Old Radar Base, Box 911, Tonopah, NV 89049
Carson City District Office, 1050 E. William Street, Suite 335, Carson City, NV 89701
Lahontan Resource Area, Same Add. Carson City DO
Walker Resource Area, Same Add. Carson City DO
Palomino Valley Wild Horse, and Burro Placement Center, P.O. Box 3270, Sparks, NV 89431
Elko District Office, P.O. Box 831, Elko, NV 89801
Elko Resource Area, Same Add. as Elko DO
Wells Resource Area, Same Add. as Elko DO
Ely District Office, Star Route 5, Box 1, Ely, NV 89301
Egan Resource Area, Same Add. as Ely DO
Schell Resource Area, Same Add. as Ely DO
Las Vegas District Office, P.O. Box 26569, 4765 Vegas Drive, Las Vegas, NV 89126
Stateline-Esmeralda Res. Area, Same Add. as Las Vegas DO
Caliente Resource Area, P.O. Box 237, Caliente, NV 89008
Winnemucca District Office, 705 East 4th Street, Winnemucca, NV 89445
Paradise-Denio Res. Area, Same Add. as Winnemucca DO
Sonoma-Garlach Res. Area, Same Add. as Winnemucca DO
New Mexico State Office, Joseph M. Montoya Federal Building, South Federal Place, P.O. Box 1449, Santa Fe, New Mexico 87501-1449
Albuquerque District Office, P.O. Box 6770, Albuquerque, NM 87197-6770
Rio Puerco Resource Area, Same Add. as Albuq. DO
Farmington Res. Area, 900, La Plata Highway, Farmington, NM 87499-1404
Taos Resource Area, Plaza Montevideo Bldg., Cruz Alta Road, P.O. Box 1045, Taos, NM 87571-1045
Las Cruces District Office, 1800 Marquess, P.O. Box 1420, Las Cruces, NM 88004-1420
Las Cruces/Lordsburg Res. Area, Same Add. as Las Cruces DO
White Sands Resource Area, Same Add. as Las Cruces DO

Socorro Res. Area, 198 Neel Ave., NW, Socorro, NM 87801-1219
Tulsa District Office, 6136 East 32nd Place, Tulsa, OK 74135
Oklahoma Resource Area, 200 NW Fifth, RM. 548, Oklahoma City, OK 773102
Roswell District Office, 1717 W. Second Street, Featherstone Farms Bldg., P.O. Box 1397, Roswell, NM 88201-1397
Roswell Resource Area, Same Add. as Roswell DO
Carlsbad Resource Area, Federal Bldg., Room 163, 113 S. Halaguena, P.O. Box 1778, Carlsbad, LM 88220-1157
Lea Co. Inspection Section, P.O. Box 1157, Hobbs, NM 88240-1157
Oregon State Office, 825 N.E. Multnomah Street (P.O. Box 2965), Portland, Oregon 97208
Burns District Office, 74 South Alvord Street, Burns, OR 97720
Three Rivers Resource Area, Same Add. as Burns DO
Andrews Resource Area, Same Add. as Burns DO
Coos Bay District Office, 333 South Fourth Street, Coos Bay, OR 79420
Tioga Resource Area, Same Add. as Coos Bay DO
Umpqua Resource Area, Same Add. as Coos Bay DO
Myrtlewood Resource Area, Same Add. as Coos Bay DO
Eugene District Office, 1255 Pearl Street, P.O. Box 10226, Eugene, OR 97401
Noti Resource Area, Same Add. as Eugene DO
Dorena Resource Area, Same Add. as Eugene DO
Mohawk Resource Area, Same Add. as Eugene DO
Lorane Resource Area, Same Add. as Eugene DO
Lakeview District Office, 1000 Ninth Street S, P.O. Box 151, Lakeview, OR 97630
High Desert Resource Area, Same Add. as Lakeview DO
Klamath Resource Area, 6200 South Sixth Street, Klamath Falls, OR 97601
Warner Lakes Resource Area, Same Add. as Lakeview DO
Medford District Office, 3040 Biddle Road, Medford, OR 97504
Klamath Resource Area, Same Add. as Medford DO
Butte Falls Resource Area, Same Add. as Medford DO
Jacksonville Resource Area, Same Add. as Medford DO
Grants Pass Resource Area, Same Add. as Medford DO
Glendale Resource Area, Same Add. as Medford DO
Prineville District Office, P.O. Box 550, Prineville, OR 97754
Central Oregon Resource Area, Same Add. as Prineville DO
Deschutes Resource Area, Same Add. as Prineville DO
Roseburg District Office, 777 N.W. Garden Valley Boulevard, Roseburg, OR 97470
North Umpqua Resource Area, Same Add. as Roseburg DO
Dillard Resource Area, Same Add. as Roseburg DO
Drain Resource Area, Same Add. as Roseburg DO
Salem District Office, 1717 Fabry Road, SE, Salem, OR 97302
Walter Horning Seed Orchard, Same Add. as Salem DO
Santiam Resource Area, Same Add. as Salem DO
Alsea Resource Area, Same Add. as Salem DO
Tillamook Resource Area, Same Add. as Salem DO
Yamhill Resource Area, Same Add. as Salem DO
Clackamas Resource Area, Same Add. as Salem DO
Spokane District Office, East 4217 Main Avenue, Spokane, WA 99202
Wenatchee Resource Area, 1133 North Western Avenue, Wenatchee, WA 98801
Border Resource Area, Same Add. as Spokane DO
Vale District Office, 100 Oregon Street, P.O. Box 700, Vale, OR 97918
Baker Resource Area, Same Add. as Vale DO
Northern Malheur Resource Area, Same Add. as Vale DO
Southern Malheur Resource Area, Same Add. as Vale DO
Utah State Office, Coordinated Financial Center, 324 South State Street, Salt Lake City, Utah 84111-2303
Salt Lake District Office, 2370 South 2300 West, Salt Lake City, UT 84119
Bear River Resource Area, Same Add. as Salt Lake DO
Pony Express Resource Area, Same Add. as Salt Lake DO
Permanent Field Station, Grouse Creek, UT 83413
Cedar City District Office, 1579 North Main Street, P.O. Box 724, Cedar City, UT 84720
Dixie Resource Area, 225 North Bluff Street, P.O. Box 726, St. George, UT 84770
Kanab Resource Area, 320 North First East, P.O. Box 458, Kanab, UT 84741
Escalante Resource Area, Escalante, UT 84726
Beaver River Resource Area, 444 South Main, Cedar City, UT 84720
Richfield District Office, 150 East 900 North, P.O. Box 768, Richfield, UT 84701
Warm Springs Resource Area, P.O. Box 778, Fillmore, UT 84631
House Range Resource Area, P.O. Box 778, Fillmore, UT 84631
Henry Mountain Resource Area, P.O. Box 99, Hanksville, UT 84734
Sevier River Resource Area, 180 North 100 East, P.O. Box 705, Richfield, UT 84701
Moab District Office, 82 East Dogwood, P.O. Box 970, Moab, UT 84532
San Juan Resource Area, 480 South First West, P.O. Box 7, Monticello, UT 84535
Grand Resource Area, Sand Flats Road, P.O. Box M, Moab, UT 84532
Price River Resource Area, 900 North Seventh East, P.O. Box AB, Price, UT 84501
San Rafael Resource Area, 900 North Seventh East, P.O. Box AB, Price, UT 84501
Vernal District Office, 170 South 500 East, Vernal, UT 84078
Diamond Mountain Resource Area, Same Add. as Vernal DO
Book Cliffs Resource Area, Same Add. as Vernal DO
Wyoming State Office, 2515 Warren Avenue, P.O. Box 1828, Cheyenne, Wyoming 82003
Casper District Office, 951 N. Poplar Road, Casper, WY 82601
Platte River Resource Area, 111 South Wolcott, Casper, WY 82601
Buffalo Resource Area, 300 Spruce Street, Buffalo, WY 82834
Newcastle Resource Area, 1501 Highway 16 Bypass, Newcastle, WY 82701
Rawlins District Office, P.O. Box 670, 1300 Third Street, Rawlins, WY 82301
Divide Resource Area, P.O. Box 670, 1719 Edinburgh, Rawlins, WY 82301
Medicine Bow Resource Area, P.O. Box 670, 1719 Edinburgh, Rawlins, WY 82301
Lander Resource Area, P.O. Box 589, Jett Building, Highway 287 S., Lander, WY 82520
Rock Springs District Office, P.O. Box 1869, Highway 191 North, Rock Springs, WY 82902-1869
Big Sandy Resource Area, P.O. Box 1170, 79 Winston Drive, Rock Springs, WY 82902-1170
Salt Wells Resource Area, P.O. Box 1170, 79 Winston Drive, Rock Springs, WY 82902-1170
Kemmerer Resource Area, P.O. Box 632, Kemmerer, WY 83101
Pinedale Resource Area, P.O. Box 768, Molyneux Building, 431 West Pine Street, Pinedale, WY 82941
Worland District Office, P.O. Box 119, 101 South 23rd, Worland, WY 82401
Grass Creek Resource Area, Same Add. as Worland DO
Washakie Resource Area, Same Add. as Worland DO
Cody Resource Area, P.O. Box 518, 1714 Stampede Avenue, Cody, WY 82414

XII. BUREAU OF MINES

A. Headquarters Office

U.S. Bureau of Mines
2401 E Street NW
Washington DC 20241.

B. Minerals Research

Director
Albany Research Center
1450 Queen Avenue SW
P.O. Box 70
Albany OR 97321.

Director
Avondale Research Center
4900 LaSalle Road
Avondale MD 20782.

Director
Denver Research Center
Building 20
Denver Federal Center
Denver Co 80225.

Director
Pittsburgh Research Center
Cochrans Mill Road
P.O. Box 18070
Pittsburgh PA 15236.

Project Leader
Environmental Control
209 Prairie Avenue
P.O. Box 863
Morgantown WV 26505.

Chief
Wilkes-Barre Field Office
Room 3323 Penn Place
20 North Pennsylvania Avenue
Wilkes-Barre PA 18701.

Director
Reno Research Center
1605 Evans Avenue
Reno NV 89520.

Chief
Boulder City Engineering Laboratory
500 Date Street
Boulder City NV 89005.

Director
Rolla Research Center
P.O. Box 280
Rolla MO 65401.

Director
Salt Lake City Research Center
729 Arapeen Drive
Salt Lake City UT 84108.

Director
Spokane Research Center
E 315 Montgomery Avenue
Spokane WA 99207.

Director
Tuscaloosa Research Center
P.O. Box L
University AL 35486.

Director
Twin Cities Research Center
P.O. Box 1660
Twin Cities MN 55111.

General Manager
Helium Operations
317 East Third Street
Box H 4372 Herring Plaza
Amarillo TX 79101.

Plant Manager
Keyes Helium Plant
Star Route
Keyes OK 73947.

Plant Manager
Exell Helium Plant
Box 100
Masterson TX 79058.

Satanta Maintenance Station (Helium)
P.O. Box 517
Satanta KS 67870.

C. Minerals Information and Analysis

Chief
Intermountain Field Operations Center
Building 20
Denver Federal Center
Denver CO 80225.

State Services Section of Intermountain Field Operations Center
P.O. Box 1660
Twin Cities MN 55111.

Chief
Minerals Availability Field Office
Building 20
Denver Federal Center
Denver CO 80225.

Chief
Alaska Field Operations Center
P.O. Box 550
Juneau AK 99802.

Chief
Eastern Field Operations Center
4800 Forbes Avenue
Pittsburgh PA 15213.

Chief
Western Field Operations Center
E. 315 Montgomery Avenue
Spokane WA 99207.

Chief
Minerals Availability Field Office
Building 20
Denver Federal Center
Denver CO 80225.

D. Management Services and Publication

Chief
Section of Procurement
Denver
Branch of Procurement
Building 20
Denver Federal Center
Denver CO 80225.

Chief
Denver Personnel Office
Branch of Personnel
Building 20
Denver Federal Center
Denver CO 80225.

Chief
Denver Section of Property and General Services
Branch of Property and General Services
Building 20
Denver Federal Center
Denver CO 80225.

Chief
Branch of Finance
Building 20
Denver Federal Center
Denver CO 80225.

Chief
Division of Automatic Data Processing
P.O. Box 25407
Denver Federal Center
Denver CO 80225.

Chief
Branch of Production and Distribution
Division of Publication
4800 Forbes Avenue
Pittsburgh PA 15213.

Chief
Pittsburgh/Bruceton Administrative Office
4800 Forbes Avenue
Pittsburgh PA 15213.

E. Other Field Activities

Office of Equal Employment Opportunity
Western Area
Building 20
Denver Federal Center
Denver CO 80225.

Office of Equal Employment Opportunity
Eastern Area
4800 Forbes Avenue

Pittsburgh PA 15213.

XIII. (Reserved)

XIV. NATIONAL PARK SERVICE

Abraham Lincoln Birthplace National Historic Site,
Route 1,
Hodgenville, KY 42748.

Acadia National Park,
R.F.D. 1,
Box 1,
Bar Harbor, ME 04609.

Adams National Historic Site,
P.O. Box 531,
Quincy, MA 02269.

Agate Fossil Beds National Monument,
c/o Scotts Bluff National Monument,
P.O. Box 427,
Gering, NE 69341.

Alaska Area Office,
National Park Service,
540 West 5th Avenue,
Room 202,
Anchorage, AK 99501.

Alibates Flint Quarries National Monument,
c/o Superintendent,
Lake Meredith Recreation Area,
P.O. Box 1438,
Fritch, TX 79036.

Allegheny Portage Railroad National Historic Site,
National Park Service,
P.O. Box 247,
Cresson, PA 16630.

American Memorial Park,
P.O. Box 198 CHRB,
Saipan, CMI 96950.

Amistad Recreation Area,
P.O. Box 1463,
Del Rio, TX 78840.

Andersonville National Historic Site,
Andersonville, GA 31711.

Andrew Johnson National Historic Site,
Depot Street,
Greeneville, TN 37743.

Aniakchak National Monument,
c/o Katmai National Monument,
P.O. Box 7,
King Salmon, AX 99613.

Antietam National Battlefield,
P.O. Box 158,
Sharpsburg, MD 21782.

Antietam Natl Cemetery,
c/o Antietam Natl Battlefield,
Box 158,
Sharpsburg, Md 21782.

Apostle Islands National Lakeshore,
1972 Centennial Drive,
Rural Route,
Bayfield, WI 54814.

Appalachian National Scenic Trail,
Federal Building,
King and Maple Streets,
Martinsburg, WV 25401.

Appalachian Trail Central,
Gallery on the Mall,
940 Hamilton Mall,
Allentown, PA 18101.

Appalachian Trail North,
8 Campbell Street,
Lebanon, NH 03766.

Appalachian Trail South,
Federal Building,
King and Maple Streets,
Martinsburg, WV 25401.

Appomattox Court House National Historical Park,
P.O. Box 218,
Appomattox, VA 24522.

Arches National Park,
c/o Canyonlands National Park,
446 S. Main Street,
Moab, UT 84532.

Arkansas Post National Memorial,
Route 1, Box 16,
Gillett, AR 72055.

Arlington House,
the Robert E. Lee Memorial,
c/o George Washington Memorial Parkway,
Turkey Run Park,
McLean, VA 22101.

Assateague Island National Seashore,
Route 2,
Box 294,
Berlin, MD 21811.

Asst. to the Regional Director (Utah),
National Park Service,
125 South State Street,
Room 3418,
Salt Lake City, UT 84138.

Aztec Ruins National Monument,
P.O. Box U,
Aztec, NM 87410.

Badlands National Park,
P.O. Box 6,
Interior, SD 57750.

Baltimore-Washington Parkway,
c/o Catoctin Mountain Park,
Thurmont, MD. 21788.

Bandelier National Monument,
Los Alamos, NM 87544.

Battleground Natl Cemetery,
c/o Supt, Natl Cap Pk-East,
5210 Indian Head Hgwy.,
Oxon Hill, MD 20021.

Benjamin Franklin Natl Memorial c/o the Franklin Institute,
20th Street and Benjamin Franklin Parkway,
Philadelphia, PA 19103.

Bent's Old Fort National Historic Site,
P.O. Box 581,
La Junta, CO 81050.

Bering Land Bridge National Monument,
c/o Alaska Area Office,
540 W. 5th Avenue,
Room 202,
Anchorage, AK 99501.

Big Bend National Park,
Big Bend National Park, TX 79834.

Big Cypress Land Acquisition Office,
National Park Service,
P.O. box 1515,

Naples, FL 33940.

Big Cypress National Preserve,
P.O. Box 1247,
Naples, FL 33939.

Big Hole National Battlefield,
P.O. Box 237,
Wisdom, MT 59761.

Big South Fork National River and Recreation Area,
P.O. Drawer 630,
Oneida, TN 37841.

Big Thicket National Preserve,
P.O. Box 7408,
Beaumont, TX 77706.

Bighorn Canyon National Recreation Area,
P.O. Box 458,
Fort Smith, MT 59035.

Biscayne National Monument,
P.O. Box 1369,
Homestead, FL 33030.

Black Canyon of the Gunnison National Monument,
P.O. Box 1648,
Montrose, CO 81401.

Blue Ridge Parkway,
700 Northwestern Banking Building,
Asheville, NC 28801.

Blue Ridge Parkway (North District Management),
P.O. Box 1710,
Roanoke, VA 24008.

Blue Ridge Parkway (North District Operations),
Roanoke Maintenance Area,
RFD 1,
Box 39D,
Vinton, VA 24179.

Blue Ridge Parkway (South District),
P.O. Box 9098,
Asheville, NC 28805.

Boise Interagency Fire Center,
National Park Service,
3905 Vista Avenue,
Boise, ID 83705.

Booker T. Washington National Monument,
Route 1,
Box 195,
Hardy, VA 24101.

Boston National Historical Park,
Charlestown Navy Yard,
Boston, MA 02129.

Brices Cross Roads National Battlefield Site,
c/o Natchez Trace Parkway,
R.R. 1,
NT-143,
Tupelo, MS 38801.

Bryce Canyon National Park,
Bryce Canyon, UT 84717.

Buck Island Reef National Monument,
c/o Christiansted National Historic Site,
P.O. Box 160,
Christiansted, Saint Croix, VI 00820.

Buffalo National River,
P.O. Box 1173,
Harrison, AR 72601.

Buffalo River Land Acquisition Office,
P.O. Box 1073,
Harrison, AR 72601.

Cabrillo National Monument,
P.O. Box 6175,
San Diego, CA 92106.

Canaveral National Seashore,
P.O. Box 2583,
Titusville, FL 32780.

Canyon de Chelly National Monument,
P.O. Box 588,
Chinle, AZ 86503.

Canyonlands National Park,
446 South Main Street,
Moab, UT 84532.

Cape Cod National Seashore,
South Wellfleet, MA 02663.

Cape Hatteras National Seashore,
Route 1,
Box 675,
Manteo, NC 27954.

Cape Krusenstern National Monument,
c/o Alaska Area Office,
540 W. 5th Avenue,
Room 202,
Anchorage, AK 99501.

Cape Lookout National Seashore,
P.O. Box 690,
Beaufort, NC 28516.

Capitol Reef National Park,
Torrey, UT 84775.

Capulin Mountain National Monument,
Capulin, NM 88414.

Carl Sandburg Home National Historic Site,
P.O. Box 395,
Flat Rock, NC 28731.

Carlsbad Caverns Natl. Park,
3225 National Parks Highway,
Carlsbad, NM 88220.

Casa Grande National Monument,
P.O. Box 518,
Coolidge, AZ 85228.

Castillo de San Marcos National Monument,
1 Castillo Drive,
St. Augustine, FL 32084.

Castle Clinton National Monument,
c/o Manhattan Sites,
26 Wall Street,
New York, NY 10005.

Catoctin Mountain Park,
Thurmont, MD 21788.

Cedar Breaks National Monument,
P.O. Box 749,
Cedar City, UT 84720.

Chaco Canyon National Monument,
Star Route 4,
Box 6500,
Bloomfield, NM 87413.

Chamizal National Memorial,
Room 620,
First City Nat'l Bank Bldg.,
300 East Main Drive,
El Paso, TX 79901.

Channel Islands Nat'l Park,

1699 Anchors Way Drive,
Ventura, CA 93003.

Chattahoochee River National Recreational Area,
P.O. Box 1396,
Smyrna, GA 30080.

Cherokee Strip Living Museum,
P.O. Box 230,
Arkansas City, KS 67005.

Chesapeake and Ohio Canal National Historical Park,
P.O. Box 4,
Sharpsburg, MD 21782.

Chicago Portage National Historic Site,
c/o Cook County Forest Preserve,
Cummings Square,
River Forest, IL.

Chickamauga & Chattanooga National Military Park,
P.O. Box 2126,
Ft. Oglethorpe, GA 30742.

Chickasaw National Recreation Area,
P.O. Box 201,
Sulphur, OK 73086.

Chimney Rock National Historic Site,
c/o Nebraska State Historical Society,
1500 R Street,
Lincoln, NE 68508.

Chiricahua National Monument,
Dos Cabezas Star Route,
Willcox, AZ 85643.

Christiansted National Historic Site,
P.O. Box 160,
Christiansted, VI 00820.

Clara Barton Nat'l Hist Site,
c/o George Washington Memorial Parkway,
Turkey Run Park,
McLean, VA 22101.

Colonial National Historical Park,
P.O. Box 210,
Yorktown, VA 23690.

Colorado National Monument,
Fruita, CO 81521.

Congaree Swamp National Monument,
P.O. Box 11938,
Columbia, SC 29211.

Coronado National Memorial,
Rural Route 1,
Box 126,
Hereford, AZ 85615.

Coulee Dam National Recreation Area,
P.O. Box 37,
Coulee Dam, WA 99116.

Cowpens National Battlefield,
c/o Kings Mountain National Military Park,
P.O. Box 31,
Kings Mountain, NC 28086.

Crater Lake Administrative Office, NPS,
P.O. Box 128,
Klamath Falls, Oregon 97601.

Crater Lake National Park,
P.O. Box 7,
Crater Lake, OR 97604.

Craters of the Moon National Monument,
P.O. Box 29,
Arco, ID 83213.

Cumberland Gap National Historical Park,
P.O. Box 840,
Middlesboro, KY 40965.

Cumberland Island National Seashore,
P.O. Box 806,
Saint Marys, GA 31558.

Curecanti National Recreation Area,
P.O. Box 1040,
Gunnison, CO 81230.

Custer Battlefield National Monument,
P.O. Box 39,
Crow Agency, MT 59022.

Cuyahoga Valley Land Acquisition Office,
313 W. Boston Mills Road,
Peninsula, OH 44264.

Cuyahoga Valley National Recreation Area,
P.O. Box 158,
Peninsula, OH 44264.

Death Valley National Monument,
Death Valley, CA 92328.

Delaware National Scenic River,
c/o Delaware Water Gap National Recreation Area,
Bushkill, PA 18324.

Delaware Water Gap National Recreation Area,
Bushkill, PA 18324.

Denali National Monument,
c/o Mount McKinley National Park,
P.O. Box 9,
McKinley Park, AK 99755.

Denver Service Center,
National Park Service,
755 Parfet Street,
P.O. Box 25287,
Denver, CO 80225.

Desoto National Memorial,
National Park Service,
75th Street NW.,
Bradenton, FL 33505.

Devils Postpile National Monument,
c/o Sequoia and Kings Canyon National Parks,
Three Rivers, CA 93271.

Devils Tower,
National Monument,
Devils Tower, WY 82714.

Dinosaur National Monument,
P.O. Box 210,
Dinosaur, CO 81610.

Div of Cultural Research,
SW Cultural Resources Center,
National Park Service,
Albuquerque, N. Mex. 87125.

Div of Remote Sensing,
SW Cultural Resourcs Center,
National Park Service,
P.O. Box 26716,
Albuquerque, N. Mex. 87125.

Dorchester Heights National Historic Site,
P.O. Box 75,
South Boston, MA 02127.

Ebey's Landing National Historic Reserve,
P.O. Box 774,
Coupeville, WA 98239.

Edgar Allan Poe National Historic Site,

c/o Independence National Historical Park,
313 Walnut Street,
Philadelphia, PA 19106.

Edison National Historic Site,
Main Street and Lakeside Avenue,
West Orange, NJ 07052.

Effigy Mounds National Monument,
P.O. Box K,
McGregor, IA 52157.

Eisenhower National Historic Site,
c/o Gettysburg National Military Park,
Gettysburg, PA 17325.

El Morro National Monument,
Ramah, NM 87321.

Eleanor Roosevelt National Historic Site,
Hyde Park, NY 12538.

Ellis Island National Monument,
c/o Statue of Liberty National Monument,
Liberty Island, NY 10004.

Eugene O'Neill National Historic Site,
c/o John Muir National Historic Site,
4202 Alhambra Avenue,
Martinez, CA 94553.

Everglades National Park,
P.O. Box 279,
Homestead, FL 33030.

Father Marquette Memorial,
Straits State Park,
St. Ignace, MI 49781.

Federal Hall National Memorial,
26 Wall Street,
New York, NY 10005.

Fire Island National Seashore,
120 Laurel Street,
Patchogue, NY 11772.

Florissant Fossil Beds National Monument,
P.O. Box 185,
Florissant, CO 80816.

Ford's Theatre National Historic Site,
c/o National Capital Parks–Central,
900 Ohio Drive, SW.,
Washington, DC 20242.

Fort Bowie National Historic Site,
P.O. Box 158,
Bowie, AZ 85615.

Fort Caroline National Memorial,
12713 Ft. Caroline Road,
Jacksonville, FL 32225.

Fort Clatsop National Memorial,
Route 3,
Box 604–FC,
Astoria, OR 97103.

Fort Davis National Historic Site,
P.O. Box 1456,
Fort Davis, TX 79734.

Fort Donelson National Military Park,
P.O. Box F,
Dover, TN 37058.

Fort Donelson National Cemetery,
c/o Fort Donelson National Military Park,
P.O. Box F,
Dover, TN 37058.

Fort Frederica National Monument,
Route 4, Box 286–C,
St. Simons Island, GA 31522.

Fort Jefferson National Monument,
c/o Superintendent,
Everglades National Park,
P.O. Box 279,
Homestead, FL 33030.

Fort Laramie National Historic Site,
Fort Laramie, WY 82212.

Fort Larned National Historic Site,
Route 3,
Larned, KS 67550.

Fort Matanzas National Monument,
c/o Castillo De San Marcos NM,
1 Castillo Drive,
St. Augustine, FL 32084.

Fort McHenry National Monument and Historic Shrine,
East Fort Avenue,
Baltimore, MD 21230.

Fort Moultrie,
c/o Superintendent,
Fort Sumter National Monument,
1214 Middle Street,
Sullivan's Island, SC 29482.

Fort Necessity National Battlefield,
The National Pike,
Farmington, PA 15437.

Fort Point National Historic Site,
P.O. Box 29333,
Building 989,
Presidio of San Francisco, CA 94129.

Fort Pulaski National Monument,
P.O. Box 98,
Savannah Beach, GA 31328.

Fort Raleigh National Historic Site,
c/o Cape Hatteras National Seashore,
Route 1,
Box 457,
Manteo, NC 27954.

Fort Scott National Historic Site,
Old Fort Boulevard,
Fort Scott, KS 66701.

Fort Smith National Historic Site,
P.O. Box 1406,
Fort Smith, AR 72902.

Fort Stanwix National Monument,
112 East Park Street,
Rome, NY 13440.

Fort Sumter National Monument,
P.O. Drawer R,
Sullivan's Island, SC 29482.

Fort Union National Monument,
Watrous, NM 87753.

Fort Union Trading Post National Historic Site,
Buford Route,
Williston, ND 58801.

Fort Vancouver National Historic Site,
Vancouver, WA 98661.

Fort Washington Park,
c/o National Capital Region—East,
5210 Indian Head Highway,
Oxon Hill, MD 20021.

Fossil Butte National Monument,
P.O. Box 527,
Kemmerer, WY 83101.

Frederick Douglass Home,
c/o National Capital Region—East,
5210 Indian Head Highway,
Oxon Hill, MD 20021.

Fredericksburg and Spotsylvania National Military Park,
P.O. Box 679,
Fredericksburg, VA 22401.

Fredericksburg National Cemetery,
c/o Superintendent,
Fredericksburg,
P.O. Box 679,
Fredericksburg, VA 22401.

Frederick Law Olmstead National Historic Site,
99 Warren Street,
Brookline, MA 02146.

Friendship Hill National Historic Site,
c/o Fort Necessity National Battlefield,
The National Pike,
Farmington, PA 15437.

Gates of the Arctic National Monument,
c/o Alaska Area Office,
540 W. 5th Avenue,
Room 202,
Anchorage, AK 99501.

Gateway National Recreation Area,
Floyd Bennett Field,
Bldg. 69,
Brooklyn, NY 11234.

General Grant National Memorial,
Riverside Drive and 122nd Street,
New York, NY 10027.

George Rogers Clark National Historical Park,
401 South Second Street,
Vincennes, IN 47591.

George Washington Birthplace National Monument,
Washington's Birthplace,
VA 22575.

George Washington Carver National Monument,
P.O. Box 38,
Diamond, MO 64840.

George Washington Memorial Parkway,
Turkey Run Park,
McLean, VA 22101.

Georgia O'Keeffe,
National Historic Site,
Abiquie, NM.

Gettysburg National Military Park,
Gettysburg, PA 17325.

Gettysburg National Cemetery,
R.D. 1,
Gettysburg, PA 17325.

Gila Cliff Dwellings National Monument,
Route 11,
Box 100,
Silver City, NM 88061.

Glacier Bay National Monument,
P.O. Box 1089,
Juneau, AK 99802.

Glacier National Park,
West Glacier, MT 59936.

Glen Canyon National Recreation Area,
P.O. Box 1507,
Page, AZ 86040.

Glen Echo Park,
c/o George Washington Memorial Pkwy,
Turkey Run Park,
McLean, VA 22101.

Gloria Dei (Old Swedes) Church NHS,
c/o Independence NHP,
313 Walnut St.,
Philadelphia, PA 19106.

Golden Gate National Recreation Area,
Building 201,
Fort Mason,
San Francisco, CA 94123.

Golden Spike National Historic Site,
P.O. Box 394,
Brigham City, UT 84302.

Gran Quivira National Monument,
Route 1,
Mountainair, NM 87036.

Grand Canyon National Park,
P.O. Box 129,
Grand Canyon, AZ 86023.

Grand Portage National Monument,
P.O. Box 666,
Grand Marais, MN 55604.

Grand Teton National Park,
P.O. Drawer 170,
Moose, WY 83012.

Grant-Kohrs Ranch National Historic Site,
P.O. Box 790,
Deer Lodge, MT 59722.

Great Falls Park,
c/o George Washington Memorial Pkwy,
Turkey Run Park,
McLean, VA 22101.

Great Onyx Job Corps Civilian Conservation Center,
P.O. Box 8,
Mammoth Cave, KY 42259.

Great Sand Dunes National Monument,
P.O. Box 60,
Alamosa, CO 81101.

Great Smoky Mountains National Park,
Gatlinburg, TN 37738.

Greenbelt Park,
c/o Catoctin Mountain Park,
Thurmont, MD 21788.

Guadalupe Mountains Natl Park,
c/o Carlsbad Caverns Natl Park,
3225 Natl Parks Highway,
Carlsbad, NM 88220.

Guilford Courthouse National Military Park,
P.O. Box 9806,
Greensboro, NC 27408.

Gulf Islands National Seashore-Florida District,
P.O. Box 100,
Gulf Breeze, FL 32561.

Gulf Islands National Seashore-Headquarters,
P.O. Box 100,
Gulf Breeze, FL 32561.

Haleakala National Park,
P.O. Box 537,

Makawao, Maui, HI 96768.

Hamilton Grange National Memorial,
287 Convent Avenue,
New York, NY 10031.

Hampton National Historic Site,
c/o Fort McHenry Monument and Historic Shrine,
Baltimore, MD 21230.

Harpers Ferry Center,
Natl Park Service,
Harpers Ferry, WV 25425.

Harpers Ferry National Historical Park,
P.O. Box 65,
Harpers Ferry, WV 25425.

Hawaii Volcanoes National Park,
Hawaii Volcanoes National Park, HI 96718.

Herbert Hoover National Historic Site,
P.O. Box 607,
West Branch, IA 52358.

Hohokam Pima National Monument,
c/o Superintendent,
Casa Grande Ruins, NM,
P.O. Box 518,
Coolidge, AZ 85228.

Home of FDR Natl Historic Site,
Hyde Park, NY 12538.

Homestead National Monument of America,
R.F.D. 3,
Beatrice, NE 68310.

Hopewell Village National Historic Site,
R.D. 1,
Box 345,
Elverson, PA 19520.

Horsehoe Bend National Military Park,
Route 1,
Box 103,
Daviston, AL 36256.

Hot Springs National Park,
P.O. Box 1860,
Hot Springs, AR 71901.

Hovenweep National Monument,
c/o Mesa Verde National Park,
Mesa Verde National Park, CO 81330.

Hubbell Trading Post National Historic Site,
P.O. Box 150,
Ganado, AZ 86505.

Ice Age National Scientific Reserve,
c/o NPS Coordinator,
Midwest Regional Office,
National Park Service,
1709 Jackson Street,
Omaha, NE 68102.

Independence National Historical Park,
313 Walnut Street,
Philadelphia, PA 19106.

Indiana Dunes Land Acquisition Office,
Suite 551,
Marquette Mall,
Michigan City, IN 46360.

Indiana Dunes National Lakeshore,
Route 2,
Box 139A,
Chesterton, IN 46304.

International Peace Gardens,
c/o National Park Service,
655 Parfet St.,
Box 25287,
Denver, CO 80225.

Isle Royale National Park,
87 North Ripley Street,
Houghton, MI 49931.

Jamestown Natl Historic Site,
c/o Supt Colonial Natl Hist Park,
P.O. Box 210,
Yorktown, VA.

Jean Lafitte National Historical Park,
400 Royal Street,
Room 200,
New Orleans, LA 70130.

Jefferson Memorial,
c/o National Capital Parks-Central,
900 Ohio Drive,
S.W.,
Washington, D.C. 20242.

Jefferson National Expansion Memorial National Historic Site,
11 North Fourth Street,
St. Louis, MO 63102.

Jewel Cave National Monument,
c/o Superintendent,
Wind Cave National Park,
Hot Springs, SD 57747.

John D. Rockefeller, Jr.,
Memorial Parkway,
c/o Grand Teton National Park,
P.O. Drawer 170,
Moose, WY 83012.

John Day Fossil Beds National Monument,
P.O. Box 415,
John Day, OR 97845.

John F. Kennedy Center for the Performing Arts,
Washington, D.C. 20566.

John Fitzgerald Kennedy National Historic Site,
83 Beals Street,
Brookline, MA 02146.

John Muir National Historic Site,
4202 Alhambra Avenue,
Martinez, CA 94553.

Johnstown Flood National Memorial,
P.O. Box 247,
Cresson, PA 16630.

Joshua Tree National Monument,
74485 National Monument Drive,
Twentynine Palms, CA 92277.

Kaloko-Honokohau N.H.P.,
c/o Pacific Area Director,
300 Ala Moana Blvd.,
Honolulu, HI 96850.

Katmai National Monument,
P.O. Box 7,
King Salmon, AK 99613.

Kenai Fjords National Monument,
c/o Alaska Area Office,
540 W. 5th Avenue,
Room 202,
Anchorage, AK 99501.

Kennesaw Mountain National Battlefield Park,
P.O. Box 1167,
Marietta, GA 30061.

Kings Mountain National Military Park,
P.O. Box 31,
Kings Mountain, NC 28086.

Klamath Falls Group,
P.O. Box 128,
Klamath Falls, OR 97601.

Klondike Gold Rush Natl Hist Park—Seattle Unit,
Seattle, Wash 98104.

Klondike Gold Rush Natl Hist Park,
P.O. Box 517,
Skagway, AK 99840.

Knife River Indian Villages National Historic Site,
P.O. Box 175,
Stanton, ND 58571.

Kobuk Valley National Monument,
c/o Alaska Area Office,
540 W. 5th Avenue,
Room 202,
Anchorage, AK 99501.

Lake Chelan National Recreation Area,
Chelan, WA 98816.

Lake Clark National Monument,
c/o Alaska Area Office,
540 W. 5th Avenue,
Room 202,
Anchorage, AK 99501.

Lake Mead National Recreation Area,
601 Nevada Highway,
Boulder City, NV 89005.

Lake Meredith Recreation Area,
P.O. Box 1438,
Fritch, TX 79036.

Lassen Volcanic National Park,
Mineral, CA 96063.

Lava Beds Natl Monument,
P.O. Box 867,
Tulelake, CA 96134.

LBJ Mem Grove-on-the-Potomac,
c/o supt,
GW Memorial Pkwy,
Turkey Run Park,
McLean, VA 22101.

Lehman Caves National Monument,
Baker, NV 89311.

Lewis and Clark Natl Hist Trail,
c/o National Park Service,
1709 Jackson St.,
Omaha, NE 63102.

Lincoln Boyhood National Memorial,
Lincoln City, IN 47552.

Lincoln Home National Historic Site,
526 South 7th Street,
Springfield, IL 62703.

Lincoln Memorial,
c/o Central Visitor Services,
1100 Ohio Drive, S.W.,
Washington, D.C. 20242.

Longfellow National Historic Site,
105 Brattle Street,
Cambridge, MA 02135.

Los Angeles Field Office,
National Park Service,
300 North Los Angeles Street,
Room 1013,
Los Angeles, CA 90012.

Lowell National Historical Park,
171 Merrimack Street,
P.O. Box 1098,
Lowell, MA 01853.

Lower Saint Croix River,
P.O. Box 708,
Saint Croix Falls, WI 54024.

Lyndon B. Johnson National Historic Site,
P.O. Box 329,
Johnson City, TX 78636.

Maggie L. Walker National Historic Site,
c/o Richmond National Battlefield Park,
3215 East Broad Street,
Richmond, VA 23223.

Mammoth Cave National Park,
Mammoth Cave, KY 42259.

Manassas National Battlefield Park,
P.O. Box 1830,
Manassas, VA 22110.

Manhattan Sites,
26 Wall Street,
New York, NY 10005.

Mar-A-Lago National Historic Site,
P.O. Box 2527,
Palm Beach, FL 33480.

Martin Van Buren National Historic Site,
P.O. Box 545,
Kinderhook, NY 12106.

McLoughlin House Natl Hist Site,
c/o Supt,
Ft Vancouver Natl Hist Site,
Vancouver, WA 98661.

Mesa Verde National Park,
Mesa Verde National Park, CO 81330.

Mid-Atlantic Regional Office, NPS,
143 South Third St.,
Philadelphia, PA 19106.

Midwest Regional Office, NPS,
1709 Jackson St.,
Omaha, NE 68102.

Minute Man National Historic Site,
P.O. Box 160,
Concord, MA 01742.

Monacacy Natl Battlefield,
c/o C and O Canal NHP,
P.O. Box 158,
Sharpsburg, MD 21782.

Montezuma Castle National Monument,
c/o Tuzigoot National Monument,
P.O. Box 68,
Clarkdale, AZ 86324.

Moores Creek Natl Battlefield,
P.O. Box 69,
Currie, NC 28435.

Mormon Pioneer Natl Hist Trail,
c/o National Park Service,
Box 25287,
Denver, CO 80225.

Morristown National Historic Park,
P.O. Box 1136R,
Morristown, NJ 07960.

Mound City Group National Monument,
Route 1,
Box 1,
Chillicothe, OH 45601.

Mount McKinley National Park,
P.O. Box 9,
McKinley Park, AK 99755.

Mount Rainier National Park,
Tahoma Woods,
Star Route,
Ashford, WA 98304.

Mount Rushmore National Memorial,
Keystone, SD 57751.

Muir Woods National Monument,
Mill Valley, CA 94941.

Natchez Trace Parkway,
Rural Route 1,
NT-143,
Tupelo, MS 38801.

National Capital Parks-Central,
900 Ohio Drive SW.,
Washington, DC 20242.

National Capital Parks-East,
5210 Indian Head Highway,
Oxon Hill, MD 20021.

National Park Service,
US Department of the Interior,
Washington, DC 20240.

National Visitor Center,
50 Massachusetts Avenue NE.,
Washington, DC 20002.

Natl Capital Regional Office, NPS,
1100 Ohio Drive SW.,
Washington, DC 20242.

Natural Bridges National Monument,
c/o Canyonlands National Park,
446 South Main Street,
Moab, UT 84532.

Navajo Lands Group, NPS,
111 N. Behrend Ave.,
Farmington, NM 87401.

Navajo National Monument,
Tonalea, AZ 86044.

New River Gorge Natl River,
P.O. Drawer V,
Oak Hill, WV 25901.

Nez Perce National Historic Park,
P.O. Box 93,
Spalding, ID 83551.

Ninety Six National Historic Site,
P.O. Box 496,
Ninety Six, SC 29666.

Noatak National Monument,
c/o Alaska Area Office,
540 W. 5th Avenue,
Room 202,
Anchorage, AK 99501.

North Atlantic Regional Office, NPS,
15 State St.,
Boston, MA 02109.

North Cascades National Park Service Complex,
800 State Street,
Sedro Woolley, WA 98284.

Obed Wild and Scenic River,
P.O. Drawer 630,
Oneida, TN 37841.

Ocmulgee National Monument,
1207 Emery Highway,
Macon, GA 31201.

Oconaluftee Job Corps Civilian Conservation Center,
Cherokee, NC 28719.

Office of Fire Management, National Park Service,
Boise Interagency Fire Center,
3905 Vista Avenue,
Boise, ID 83705.

Olympic National Park,
600 East Park Avenue,
Port Angeles, WA 98362.

Oregon Caves National Monument,
c/o Klamath Falls Group,
P.O. Box 128,
Klamath Falls, OR 97601.

Oregon National Historic Trail,
c/o National Park Service,
Fourth and Pike Bldg.,
Seattle, WA 98101.

Organ Pipe Cactus National Monument,
P.O. Box 38,
Ajo, AZ 85321.

Ozark National Scenic Riverways,
P.O. Box 490,
Van Buren, MO 63965.

Pacific Area Director, NPS,
300 Ala Moana Blvd.,
P.O. Box 50165,
Honolulu, HI 96850.

Pacific Northwest Regional Office,
National Park Service,
601 Fourth and Pike Bldg.,
Seattle, WA 98101.

Padre Island National Seashore,
9405 South Padre Island Drive,
Corpus Christi, TX 78418.

Palo Alto Battlefield National Historic Site,
P.O. Box 191,
Brownsville, TX 78520.

Pea Ridge National Military Park,
Pea Ridge, AR 72751.

Pecos National Monument,
P.O. Drawer 11,
Pecos, NM 87552.

Penn. Ave. Natl Historic Site,
c/o Supt. Natl Cap Park-Central,
900 Ohio Drive, SW,
Wash., DC 20242.

Perry's Victory & International Peace Memorial,
P.O. Box 78,
Put-in-Bay, OH 43456.

Petersburg National Battlefield,
P.O. Box 549,
Petersburg, VA 23803.

Petrified Forest National Park,
Petrified Forest National Park, AZ 86028.

Pictured Rocks National Lakeshore,
P.O. Box 40,
Munising, MI 49862.

Pinnacles National Monument,
Paicines, CA 95043.

Pipe Spring National Monument,
c/o Zion National Park,
Springdale, UT 84767.

Pipestone National Monument,
P.O. Box 727,
Pipestone, MN 56164.

Piscataway Park,
c/o National Capital Region-East,
5210 Indian Head Hwy.,
Oxon Hill, MD 20021.

Point Reyes National Seashore,
Point Reyes, CA 94956.

Poplar Grove National Cemetery,
P.O. Box 549,
Petersburg, VA 23803.

Prince William Forest Park,
P.O. Box 208,
Triangle, VA 22172.

Pu'uhonua O Honaunau National Historical Park,
P.O. Box 128,
Honaunau, Kona, HI 96726.

Puukohola Heiau National Historic Site,
P.O. Box 4963,
Kawaihae, HI 96743.

Rainbow Bridge National Monument,
c/o Glen Canyon National Recreation Area,
P.O. Box 1507,
Page, AZ 86040.

Redwood National Park,
Drawer N,
Crescent City, CA 95531.

Richmond National Battlefield Park,
3215 East Broad Street,
Richmond, VA 23223.

Rio Grande Wild and Scenic River,
c/o Big Bend Natl Park,
Big Bend Natl Park, TX 79834.

Rock Creek Park,
5000 Glover Road, N.W.,
Washington, D.C. 20015.

Rocky Mountain National Park,
Estes Park, CO 80517.

Rocky Mountain Regional Office,
National Park Service,
655 Parfet St.,
P.O. Box 25287,
Denver, CO 80225.

Roger Williams National Memorial,
P.O. Box 367 Annex,
Providence, RI 02901.

Roosevelt Campabello International Park,
P.O. Box 97,
Lubec, ME 04652.

Ross Lake National Recreation Area,
c/o North Cascades National Park Service,
311 State Street,
Sedro Woolley, WA 98284..

Russell Cave National Monument,
Route 1,
Box 175,
Bridgeport, AL 35740.

Sagamore Hill National Historic Site,
Cove Neck Road,
Box 304,
Oyster Bay, NY 11771.

Saguaro National Historic P.O. Box 17210,
Tucson, AZ 85731.

Saint Croix Island National Monument,
c/o Acadia National Park,
Route 1,
Box 1,
Bar Harbor, ME 04609.

Saint Croix National Scenic Riverway,
P.O. Box 708,
Saint Croix Falls, WI 54024.

Saint Paul's Church National Hist Site,
c/o Manhattan Sites,
26 Wall St.,
NY, NY 10005.

Saint-Gaudens National Historic Site,
RR 2 (Cornish, NH),
P.O. Windsor, VT 05089.

Salem Maritime National Historic Site,
Custom House,
Derby Street,
Salem, MA 01970.

San Antonio Missions National Hist Park,
727 E Durango,
Room A612,
San Antonio, TX 78206.

San Jose Mission National Historic Park,
6539 San Jose Drive,
San Antonio, TX 78214.

San Juan Island National Historical Park,
P.O. Box 549,
Friday Harbor, WA 98250.

San Juan National Historic Site,
PO Box 712,
Old San Juan, PR 00902.

Santa Monica Mountains National Recreation Area,
23018 Ventura Blvd.,
Woodland Hills, CA 91364.

Saratoga National Historical Park,
R.D. 1,
Box 113-C,
Stillwater, NY 12170.

Saugus Iron Works National Historic Site,
244 Central Street,
Saugus, MA 01906.

Scotts Bluff National Monument,
P.O. Box 427,
Gering, NE 69341.

Sequoia & Kings Canyon National Parks,
Three Rivers, CA 93271.

Sewall-Belmont House National Historic Site,
c/o National Capital Region-East,
5210 Indian Head Hwy.,
Oxon Hill, MD 20021.

Shenandoah National Park,
Luray, VA 22835.

Shiloh National Cemetary,
c/o Shiloh Natl Military Park,
Shiloh, TN 38376.

Shiloh National Military Park,

Shiloh, TN 38376.

Sitka National Historical Park,
P.O. Box 738,
P.O. Box 738,
Sitka, AK 99835.

Sleeping Bear Dunes National Lakeshore,
400½ Main Street,
Frankfort, MI 49635.

Southeast Regional Office, NPS,
75 Spring St. SW,
Atlanta, GA 30303.

Southern Arizona Group,
1115 North 1st Street,
Phoenix, AZ 85004.

Southwest Regional Office,
National Park Service,
P.O. Box 728,
Santa Fe, NM 87501.

Springfield Armory National Historic Site,
One Armory Square,
Springfield, MA 01105.

Statute of Liberty National Monument,
Liberty Island,
New York, NY 10004.

Stones River National Battlefield & Cemetery,
Route 10,
Box 401,
Old Nashville Hwy.,
Murfreesboro, TN 37120.

Sunset Crater National Monument,
Route 3,
Box 149,
Flagstaff, AZ 86001.

Thaddeus Kosciuszko National Memorial,
c/o Independence National Historical Park,
313 Walnut Street,
Philadelphia, PA 19106.

Theodore Roosevelt Birthplace,
National Historic Site,
c/o Manhattan Site,
26 Wall St.,
NY, NY 10005.

Theodore Roosevelt Inaugural Natl Hist Site,
641 Delaware Ave,
Buffalo, NY 14202.

Theodore Roosevelt Island,
c/o George Washington Memorial Parkway,
Turkey Run Park,
McLean, Va 22101.

Theodore Roosevelt National Park,
Medora, ND 58645.

Thomas Stone National Historic Site,
c/o George Washington Birthplace National Monument,
Washington's Birthplace, VA 22575.

Timpanogos Cave National Monument,
Route 3,
Box 200,
American Fork, UT 84003.

Tonto National Monument,
P.O. Box 707,
Roosevelt, AZ 85545.

Touro Synagogue Natl Hist Site,
85 Touro St,
Newport, RI 02840.

Tumacacori National Monument,
P.O. Box 67,
Tumacacori, AZ 85640.

Tupelo National Battlefield,
c/o Superintendent,
Natchex Trace Parkway,
R.R. 1,
NT-143,
Tupelo, MS 38801.

Turkey Run Farm,
c/o George Washington Memorial Parkway,
Turkey Run Park,
McLean, Va 22101.

Tuskegee Institute National Historic Site,
399 Old Montgomery Road,
Tuskegee Institute, AL 36088.

Tuzigoot National Monument,
P.O. Box 68,
Clarkdale, AZ 86324.

Upper Delaware National Scenic River,
Nationaal Park Service,
143 South Third Street,
Philadelphia, PA 19106.

USS Arizona Memorial,
National Park Service,
P.O. Box 50165,
Honolulu, HI 96850.

Utah Mining and Minerals Office,
National Park Service,
125 South State Street,
Room 3422,
Federal Bldg.,
Salt Lake City, UT 84138.

Valley Forge National Historical Park,
Valley Forge, PA 19481.

Vanderbilt Mansion National Historic Site,
c/o Home of Franklin D. Roosevelt and Vanderbilt Mansion
National Historic Site,
Hyde Park, NY 12538.

Vicksburg National Cemetary,
c/o Vicksburg Natl Mil Park,
P.O. Box 349,
Vicksburg, MS 39181.

Vicksburg National Military Park,
P.O. Box 349,
Vicksburg, MS 39180.

Virgin Islands National Park,
P.O. Box 806,
Charlotte Amalie,
St. Thomas, VI 00801.

Voyageurs Land Acquisition Office,
1026 3rd Street,
International Falls, MN 56649.

Voyageurs National Park,
P.O. Box 50,
International Falls, MN 56649.

Walnut Canyon National Monument,
Route 1,
Box 25,
Flagstaff, AZ 86001.

War in the Pacific Natl Hist Park,
P.O. Box FA,
Agana, Guam 96910.

Washington Monument,
c/o National Capital Parks-Central,

900 Ohio Drive, S.W.,
Washington, D.C. 20242.

Western Regional Office, NPS,
450 Golden Gate Avenue,
P.O. Box 36063,
San Francisco, CA 94102.

Whiskeytown Unit,
Whiskeytown-Shasta-Trinity National Recreation Area,
P.O. Box 188,
Whiskeytown, CA 96095.

White House,
National Capital Region,
1100 Ohio Drive, S.W.,
Washington, D.C. 20242.

White Sands National Monument,
P.O. Box 458,
Alamogordo, NM 88310.

Whitman Mission National Historic Site,
Route 2,
Walla Walla, WA 99362.

William Howard Taft National Historic Site,
2038 Auburn Avenue,
Cincinnati, OH 45219.

Wilson's Creek National Battlefield,
521 North Highway 60,
Republic, MO 65738.

Wind Cave National Park,
Hot Springs, SD 57747.

Wolf Trap Farm Park for the Performing Arts,
1551 Trap Road,
Vienna, VA 22180.

Wrangell-St. Elias National Monument,
c/o Alaska Area Office,
540 W. 5th Avenue,
Room 202,
Anchorage, AK 99501.

Wright Brothers National Memorial,
c/o Cape Hatteras National Seashore,
P.O. Box 457,
Manteo, NC 27954.

Wupatki National Monument,
Tuba Star Route,
Flagstaff, AZ 86001.

Yellowstone National Park,
Yellowstone National Park, WY 82190.

Yorktown National Cemetery,
c/o Colonial National Historical Park,
P.O. Box 210,
Yorktown, VA 23690.

Yosemite National Park,
P.O. Box 577,
Yosemite National Park, CA 95389.

Yucca House National Monument,
c/o Mesa Verde National Park,
Mesa Verde National Park, CO 81330.

Yukon-Charlie National Monument,
c/o Alaska Area Office,
540 W. 5th Avenue,
Room 202,
Anchorage, AK 99501.

Zion National Park,
Springdale, UT 84767.

XV. [Reserved]

XVI. Bureau of Reclamation

Headquarters Offices
  Bureau of Reclamation, Department of the Interior, 18th and C Streets, NW., Washington, D.C. 20240
Engineering and Research Center
  Bureau of Reclamation, Building 67, Denver Federal Center, P.O. Box 25007, Denver, Colorado 80225
Pacific Northwest Regional Office
  Bureau of Reclamation, Federal Building, U.S. Courthouse, Box 043, 550 West Fort Street, Boise, Idaho 83724
Mid-Pacific Regional Office
  Bureau of Reclamation, Federal Office Building, 2800 Cottage Way, Sacramento, California 95825
Lower Colorado Regional Office
  Bureau of Reclamation, P.O. Box 427, Boulder City, Nevada 89005
Upper Colorado Regional Office
  Bureau of Reclamation, 125 South State Street, P.O. Box 11568, Salt Lake City, Utah 84147
Southwest Regional Office
  Bureau of Reclamation, Commerce Building, Suite 201, 714 South Tyler, Amarillo, Texas 79101
Upper Missouri Regional Office
  Bureau of Reclamation, Federal Office Building, 316 North 26th Street, P.O. Box 2553, Billings, Montana 59103
Lower Missouri Regional Office
  Bureau of Reclamation, Building 20, Denver Federal Center, P.O. Box 25247, Denver, Colorado 80225

XIX. [Reserved]

Title 43-Public Lands: Interior

Subtitle A-Office of the Secretary of Interior

PART 2-RECORDS AND TESTIMONY

Subpart D—Privacy Act

Authority: 5 U.S.C. 301, 552 and 552a; 31 U.S.C. 483a; and 43 U.SC 1460

Source: 40 FR 44505, Sept. 26, 1975, unless otherwise noted.

§ 2.45 Purpose and scope.

This subpart contains the regulations of the Department of the Interior implementing section 3 of the Privacy Act. Secions 2.47 through 2.57 describe the procedures and policies of the Department concerning maintenance of records which are subject to the Act. Sections 2.60 through 2.66 describe the procedure under which individuals may determine whether systems of records subject to the Act contain records relating to them and the procedure under which they may seek access to existing records. Sections 2.70 through 2.77 describe the procedure under which individuals may petition for amendment of records subject to the Act relating to them. Section 2.79 lists records systems that have been exempted from certain requirements of the Act.

[48 FP 56583, Dec. 22, 1983]

§ 2.46 Definitions.

(a) *Act.* As used in this subpart, "Act" means section 3 of the Privacy Act, 5 U.S.C. 552a.

(b) *Bureau.* For purposes of this subpart, a "bureau" is any constituent bureau or office of the Department, including the Office of the Secretary and any other Departmental office.

(c) *Individual.* As used in this subpart, "individual" means a citizen of the United States or an alien lawfully admitted for permanent residence.

(d) *Maintain.* As used in this subpart, the term "maintain" includes maintain, collect, use or disseminate.

(e) *Record.* As used in this subpart, "record" means any item, collection, or grouping of information about an individual that is maintained by the Department or a bureau thereof, including, but not limited to, education, financial transactions, medical history, and criminal or employment history and that contains the individual's name, or the identifying number, symbol, or other identifying particular assigned to the individual, such as a finger or voice print, or a photograph.

(f) *System of records.* As used in this subpart, "System of records" means a group of any records under the control of the Department or a bureau thereof from which information is retrieved by the name of the individual or by some identifying number, symbol, or other identifying particular assigned to the individual.

(g) *Medical records.* As used in this subpart, "medical records" means records which relate to the identification, prevention, cure or alleviation of any disease, illness or injury including psychological disorders, alcoholism and drug addiction.

(h) *Civil Service Commission personnel records.* As used in this subpart, "Civil Service Commission personnel records" means records maintained for the Civil Service Commission by the Department and used for personnel management programs or processes such as staffing, employee development, retirement, and grievances and appeals.

(i) *Statistical records.* As used in this subpart, "statistical records" means records in a system of records maintained for statistical research or reporting purposes only and not used in whole or in part in making any determination about an identifiable individual.

(j) *Routine use.* As used in this subpart, "routine use" means a use of a record for a purpose which is compatible with the purpose for which it was collected.

(k) *System notice.* As used in this subpart, "system notice" means the notice describing a system of records required by 5 U.S.C. 552a(e)(4) to be published in the **Federal Register** upon establishment or revision of the system of records.

(l) *System manager.* As used in this subpart, "system manager" means the official designated in a system notice as having administrative responsibility for a system of records.

(m) *Departmental Privacy Act Officer.* As used in this subpart, "Departmental Privacy Act Officer" means the official in the Office of the Assistant Secretary—Policy, Budget and Administration charged with responsibility for assisting the Assistant Secretary—Policy, Budget and Administration in carrying out the functions assigned in this subpart and for coordinating the activities of the bureaus of the Department in carrying out the functions which they are assigned in this subpart.

(n) *Bureau Privacy Act Officer.* As used in this subpart, "Bureau Privacy Act Officer" means the official within each bureau assigned responsibility for bureau implementation of the Act and the regulations of this subpart.

(o) *Working day.* As used in this subpart, "working day" means a regular Federal work day. It does not include Saturdays, Sundays or public legal holidays.

[40 FR 44505, Sept. 26, 1975, as amended at 47 FR 38327, Aug. 3, 1982; 48 FR 56583, Dec. 22, 1983; 53 FR 3749, Feb. 8, 1988]

§ 2.47 Records subject to Privacy Act.

The Privacy Act applies to all "records," as that term is defined in § 2.46(e), which the Department maintains in a "system of records," as that term is defined in § 2.46(f).

§ 2.48 Standards for maintenance of records subject to the Act.

(a) *Content of records.* Records subject to the Act shall contain only such information about an individual as is relevant and necessary to accomplish a purpose of the agency required to be accomplished by statute or Executive Order of the President.

(b) *Standards of accuracy.* Records subject to the Act which are used in making any determination about any individual shall be maintained with such accuracy, relevance, timeliness, and completeness as is reasonably necessary to assure fairness to the individual in making the determination.

(c) *Collection of information.* (1) Information which may be used in making determinations about an individual's rights, benefits, and privileges under Federal programs shall, to the greatest extent practicable, be collected directly from that individual.

(2) In deciding whether collection of information from an individual, as opposed to a third party source, is practicable, the following factors, among others, may be considered:

(i) Whether the nature of the information sought is such that it can only be obtained from a third party;

(ii) Whether the cost of collecting the information from the individual is unreasonable when compared with the cost of collecting it from a third party;

(iii) Whether there is a risk that information collected from third parties, if inaccurate, could result in an adverse determination to the individual concerned;

(iv) Whether the information, if supplied by the individual, would have to be verified by a third party; or

(v) Whether provisions can be made for verification, by the individual, of information collected from third parties.

(d) *Advice to individuals concerning uses of information.* (1) Each individual who is asked to supply information about him or herself which will be added to a system of records shall be informed of the basis for requesting the information, how it may be used, and what the consequences, if any, are of not supplying the information.

(2)At a minimum, the notice to the individual must state:

(i)The authority (whether grantd by statute or Executive Order of the President) which authorizes the solicitation of the information and whether disclosure of such information is mandatory or voluntary;

(ii)The principal purpose or purposes for which the information is intended to be used;

(iii)The routine uses which may be made of the information; and

(iv) The effects on the individual, if any, of not providing all or any part of the requested information.

(3)(i) When information is collected on a standard form, the notice to the individual shall be provided on the form, on a tear-off sheet attached to the form, or on a separate sheet, whichever is most practical.

(ii) When information is collected by an interviewer, the interviewer shall privide the individual with a written notice which the individual may retain. If the interview is conducted by telephone, however, the interviewer may summarize the notice for the individual and need not provide a copy to the individual unless the individual requests a copy.

(iii) An individual may be asked to acknowledge, in writing, that the notice required by this section has been provided.

(e) *Records concerning activity protected by the First Amendment.* No record may be maintained describing how any individual exercises rights guaranteed by the First Amendment to the Constitution unless the maintenance of the record is (1) expressly authorized by statute or by the individual about whom the record is maintained or (2) pertinent to and within the scope of an authorized law enforcement activity.

[40 FR 44505, Sept. 26, 1975, as amended at 48 FR 56583, Dec. 22, 1983]

§ 2.49 [Reserved]

§ 2.50 Federal Register notices describing systems of records.

(a) The Privacy Act requires publication of a notice in the **Federal Register** describing each system of records subject to the Act. Such notice will be published prior to the establishment or a revision of the system of records. 5 U.S.C. 552a(e)(4).

(b) Each bureau shall notify the Departmental Privacy Act Officer promptly of any modifications or amendments which are required in the then-current notice describing a system of records for which it is responsible.

(c) A bureau desiring to establish a new system of records or a new use for an existing system of records shall notify the Departmental Privacy Act Officer, no fewer than ninety (90) calendar days in advance.

[48 FR 56583, Dec. 22, 1983]

§ 2.51 Assuring integrity of records.

(a) *Statutory requirement.* The Privacy Act requires that records subject to the Act be maintained with appropriate administrative, technical and physical safeguards to insure the security and confidentiality of records and to protect against any anticipated threats or hazards to their security or integrity which could result in substantial harm, embarassment, inconvenience, or unfairness to any individual on whom information is maintained, 5 U.S.C. 552a(e)(10).

(b) *Records maintained in manual form.* When maintained in manual form, records subject to the Privacy Act shall be maintained in a manner commensurate with the sensitivity of the information contained in the system of records. The following minimum safeguards, or safeguards affording comparable protection, are applicable to Privacy Act systems of records containing sensitive information:

(1) Areas in which the records are maintained or regularly used shall be posted with an appropriate warning stating that access to the records is limited to authorized persons. The warning also shall summarize the requirements of § 2.52 and state that the Privacy Act contains a criminal penalty for the unauthorized disclosure of records to which it applies.

(2)During working hours, (i) the area in which the records are maintained or regularly used shall be occupied by authorized personnel or (ii) access to the records shall be restricted by their storage in locked metal file cabinets or a locked room.

(3)During non–working hours, access to the records shall be restricted by their storage in locked metal file cabinets or a locked room.

(4) Where a locked room is the method of security provided for a system, the bureau responsible for the system shall supplement that security by (i) providing lockable file cabinets or containers for the records or (ii) changing the lock or locks for the room so that they may not be opened with a master key. For the purposes of this paragraph, a master key is a key which may be used to open rooms other than the room containing records subject to the Privacy Act, unless those rooms are utilized by officials or employees authorized to have access to the records subject to the Privacy Act.

(c) *Records maintained in computerized form.* When maintained in computerized form, records subject to the Privacy Act shall be maintained, at a minimum, subject to safeguards based on those recommended in the National Bureau of Standard's booklet "Computer Security Guidelines for Implementing the Privacy Act of 1974" (May 30, 1975), and any supplements thereto, which are adequate and appropriate to assuring the integrity of records in the system.

(d) *Office of Personnel Management personnel records.* A system of records made up of Office of Personnel Management personnel records shall be maintained under the security requirements set out in 5 CFR 293.106 and 293.107.

(e) *Bureau responsibility.* (1) The bureau responsible for a system of records shall be responsible for assuring that specific procedures are developed to assure that the records in the system are maintained with security meeting the requirements of the Act and this section.

[40 FR 44505, Sept. 26, 1975, as amended at 48 FR 56583, Dec. 22, 1983]

§ 2.52 Conduct of employees.

(a) *Handling of records subject to the Act.* Employees whose duties require handling of records subject to the Privacy Act shall, at all times, take care to protect the integrity, security and confidentiality of these records.

(b) *Disclosure of records.* No employee of the Department may disclose records subject to the Privacy Act unless disclosure is permitted under § 2.56 or is to the individual to whom the record pertains.

(c) *Alteration of records.* No employee of the Department may alter or destroy a record subject to the Privacy Act unless (1) such alteration or destruction is properly undertaken in the course of the employee's regular duties or (2) such alteration or destruction is required by a decision under §§ 2.70–2.75 or the decision of a court of competent jurisdiction.

(d) *Bureau responsibility.* The bureau responsible for a system of records shall be responsible for assuring that employees with access to the system are made aware of the requirements of this section and of 5 U.S.C. 552a(i)(1), which imposes criminal penalties for knowingly and willfully disclosing a record about an individual without the written request or consent of that individual unless disclosure is permitted under one of the exceptions listed in § 2.56 (b) and (c).

§ 2.53 Government contracts.

(a) *Required contract provisions.* When a contract provides for the operation by or on behalf of the Department of a system of records to accomplish a Department function, the contract shall, consistent with the Department's authority, cause the requirements of 5 U.S.C. 552a and the regulations contained in this subpart to be applied to such system.

(b) *System manager.* The head of the bureau responsible for the contract shall designate a regular employee of the bureau to be the manager for a system of records operated by a contractor.

§§ 2.54–2.55 [Reserved]

§ 2.56 Disclosure of Records.

(a) *Prohibition of disclosure.* No record contained in a system of records may be disclosed by any means of communication to any person, or to another agency, except pursuant to a written request by, or with the prior written consent of, the individual to whom the record pertains.

(b) *General exceptions.* The prohibition contained in paragraph (a) does not apply where disclosure of the record would be:

(1) To those officers or employees of the Department who have a need for the record in the performance of their duties; or

(2) Required by the Freedom of Information Act, 5 U.S.C. 552.

(c) *Specific exceptions.* The prohibition contained in paragraph (a) does not apply where disclosure of the record would be:

(1) For a routine use as defined in § 2.46(j) which has been described in a system notice published in the **Federal Register;**

(2) To the Bureau of the Census for purposes of planning or carrying out a census or survey or related activity pursuant to the provisions of title 13, United States Code.

(3) To a recipient who has provided the system manager responsible for the system in which the record is maintained with advance adequate written assurance that the record will be used solely as a statistical research or reporting record, and the record is to be transferred in a form that is not individually identifiable;

(4) To the National Archives and Records Administration as a record which has sufficient historical or other value to warrant its continued preservation by the United States Government, or for evaluation by the Archivist of the United States or the designee of the Archivist to determine whether the record has such value;

(5) To another agency or to an instrumentality of any governmental jurisdiction within or under the control of the United States for a civil or criminal law enforcement activity if the activity is authorized by law, and if the head of the agency or instrumentality has made a written request to the Department specifying the particular portion desired and the law enforcement activity for which the record is sought;

(6) To a person pursuant to a showing of compelling circumstances affecting the health or safety of an individual if upon such disclosure notification is transmitted to the last known address of such individual;

(7) To either House of Congress, or, to the extent of matter within its jurisdiction, any committee or subcommittee thereof, any joint committee of Congress or subcommittee of any such joint committee;

(8) To the Comptroller General, or any of his authorized representatives, in the course of the performance of the duties of the General Accounting Office;

(9) Pursuant to the order of a court of competent jurisdiction; or

(10) To a consumer reporting agency in accordance with section 3(d) of the Federal Claims Collection Act of 1966, as amended (31 U.S.C. 3711(f)).

(d) *Reviewing records prior to disclosure.* (1) Prior to any disclosure of a record about an individual, unless disclosure is required by the Freedom of Information Act, reasonable efforts shall be made to assure that the records are accurate, complete, timely and relevant for agency purposes.

(2) When a record is disclosed in connection with a Freedom of Information request made under Subpart B of this part and it is appropriate and administratively feasible to do so, the requester shall be informed of any information known to the Department indicating that the record may not be fully accurate, complete, or timely.

[40 FR 44505, Sept. 26, 1875, as amended at 48 FR 56584, Dec. 22, 1963; 50 FR 45114, Oct. 30, 1985]

§ 2.57 Accounting for disclosures.

(a) *Maintenance of an accounting.* (1) Where a record is disclosed to any person, or to another agency, under any of the specific exceptions provided by § 2.56 (c), an accounting shall be made.

(2) The accounting shall record (i) the date, nature, and purpose of each disclosure of a record to any person or to another agency and (ii) the name and address of the person or agency to whom the disclosure was made.

(3) Accountings prepared under this section shall be maintained for at least five years or the life of the record, whichever is longer, after the disclosure for which the accounting is made.

(b) *Access to accountings.* (1) Except for accountings of disclosures made under § 2.56(c)(5), accountings of all disclosures of a record shall be made available to the individual to whom the record relates at the individual's request.

(2) An individual desiring access to an accounting of disclosures of a record pertaining to the individual shall submit a request by following the procedures of § 2.63.

(c) *Notification of disclosure.* When a record is disclosed pursuant to § 2.56(c)(9) as the result of the order of a court of competent jurisdiction, reasonable efforts shall be made to notify the individual to whom the record pertains as soon as the order becomes a matter of public record.

[40 FR 44505, Sept. 26, 1975, as amended at 48 FR 56584, Dec. 22, 1983]

§§ 2.58–2.59 [Reserved]

§ 2.60 Request for notification of existence of records: Submission.

(a) *Submission of requests.* (1)(i) Individuals desiring to determine under the Privacy Act whether a system of records contains records pertaining to them shall address inquiries to the system manager having responsibility for the system unless the system notice describing the system prescribes or permits submission to some other official or officials.

(ii) If a system notice describing a system requires individuals to contact more than two officials concerning the existence of records in the system, individuals desiring to determine whether the system contains records pertaining to them may contact the system manager for assistance in determining which official is most likely to be in possession of records pertaining to those individuals.

(2) Individuals desiring to determine whether records pertaining to them are maintained in two or more systems shall make a separate inquiry concerning each system.

(b) *Form of request.* (1) An inquiry to determine whether a system of records contains records pertaining to an individual shall be in writing.

(2) To insure expeditious handling, the request shall be prominently marked, both on the envelope and on the face of the request, with the legend "PRIVACY ACT INQUIRY."

(3) The request shall state that the individual is seeking information concerning records pertaining to him or herself and shall supply such additional identifying information, if any, as is called for in the system notice describing the system.

(4) Individuals who have reason to believe that information pertaining to them may be filed under a name other than the name they are currently using (e.g., maiden name), shall include such information in the request.

[40 FR 44505, Sept. 26, 1975, as amended at 48 FR 56584, Dec. 22, 1983]

§ 2.61 Requests for notification of existence of records: Action on.

(a) *Decisions on Request.* (1) Individuals inquiring to determine whether a system of records contains records pertaining to them shall be promptly advised whether the system contains records pertaining to them unless (i) the records were compiled in reasonable anticipation of a civil action or proceeding or (ii) the system of records is one which has been excepted from the notification provisions of the Privacy Act by rulemaking (Section 2.79).

(2) If the records were compiled in reasonable anticipation of a civil action or proceeding or the system of records is one which has been excepted from the notification provisions of the Privacy Act by rulemaking, the individuals will be promptly notified that they are not entitled to notification of whether the system contains records pertaining to them.

(b) *Authority to deny requests.* A decision to deny a request for notification of the existence of records shall be made by the system manager responsible for the system of records concerning which inquiry has been made and shall be concurred in by the bureau Privacy Act officer for the bureau which maintains the system, provided, however that the head of a bureau may, in writing, require (1) that the decision be made by the bureau Privacy Act officer and/or (2) that the bureau head's own concurrence in the decision be obtained.

(c) *Form of decision.* (1) No particular form is required for a decision informing individuals whether a system of records contains records pertaining to them.

(2) A decision declining to inform an individual whether or not a system of records contains records pertaining to him or her shall be in writing and shall:

(i) State the basis for denial of the request.

(ii) Advise the individual that an appeal of the declination may be made to the Assistant Secretary—Policy, Budget and Administration pursuant to § 2.65 by writing to the Privacy Act Officer, Office of the Assistant Secretary—Policy, Budget and Administration, U.S. Department of the Interior, Washington, DC 20240.

(iii) State that the appeal must be received by the foregoing official within twenty (20) working days of the date of the decision.

(3) If the decision declining a request for notification of the existence of records involves Department employee records which fall under the jurisdiction of the Office of Personnel Management, the individual shall be informed in a written response which shall:

(i) State the reasons for the denial.

(ii) Include the name, position title, and address of the official responsible for the denial.

(iii) Advise the individual that an appeal of the declination may be made only to the Assistant Director for Workforce Information, Personnel Systems Oversight Group, Office of Personnel Management, 1900 E Street NW., Washington, DC 20415.

(4) Copies of decisions declining a request for notification of the existence or records made pursuant to paragraphs (c)(2) and (c)(3) of this section shall be provided to the Departmental and Bureau Privacy Act Officers.

[48 FR 56584, Dec. 22, 1983; as amended by 53 FR 3749, Feb. 9, 1988]

§ 2.62 Requests for access to records.

The Privacy Act permits individuals, upon request, to gain access to their records or to any information pertaining to them which is contained in a system and to review the records and have a copy made of all or any portion thereof in a form comprehensive to them. 5 U.S.C. 552a(d)(1). A request for access shall be submitted in accordance with the procedures in this subpart.

[48 FR 56584, Dec. 22, 1983]

§ 2.63 Requests for access to records: Submission.

(a) *Submission of requests.* (1) (i) Requests for access to records shall be submitted to the system manager having responsibility for the system in which the records are maintained unless the system notice describing the system prescribes or permits submission to some other official or officials.

(ii) If a system notice describing a system requires individuals to contact more than two officials concerning access to records in the system, individuals desiring to request access to records pertaining to them may contact the system manager for assistance in determining which official is most likely to be in custody of records pertaining to that individual.

(2) Individuals desiring access to records maintained in two or more separate systems shall submit a separate request for access to the records in each system.

(b) *Form of request.* (1) A request for access to records subject to the Privacy Act shall be in writing.

(2) To insure expeditious handling, the request shall be prominently marked, both on the envelope and on the face of the request, with the legend "PRIVACY ACT REQUEST FOR ACCESS."

(3) Requesters shall specify whether they seek all of the records contained in the system which relate to them or only some portion thereof. If only a portion of the records which relate to the individual are sought, the request shall reasonably describe the specific record or records sought.

(4) If the requester seeks to have copies of the requested records made, the request shall state the maximum amount of copying fees which the requester is willing to pay. A request which does not state the amount of fees the requester is willing to pay will be treated as a request to inspect the requested records. Requesters are further notified that under § 2.64(d) the failure to state willingness to pay fees as high as are anticipated by the Department will delay processing of a request.

(5) The request shall supply such identifying information, if any, as is called for in the system notice describing the system.

(6) Requests failing to meet the requirements of this paragraph shall be returned to the requester with a written notice advising the requester of the deficiency in the request.

[40 FR 44505, Sept. 26, 1975, as amended at 47 FR 38328, Aug. 31, 1982;48 FR 56585, Dec. 22, 1983]

§ 2.64 Requests for access to records: Initial decision.

(a) *Decisions on requests.* A request made under this subpart for access to a record shall be granted promptly unless (1) the record was compiled in reasonable anticipation of a civil action or proceeding or (2) the record is contained in a system of records which has been excepted from the access provisions of the Privacy Act by rulemaking (§ 2.79).

(b) *Authority to deny requests.* A decision to deny a request for access under this subpart shall be made by the system manager responsible for the system of records in which the requested record is located and shall be concurred in by the bureau Privacy Act officer for the bureau which maintains the system, provided, however, that the head of a bureau may, in writing, require (1) that the decision be made by the bureau Privacy Act officer and/or (2) that the bureau head's own concurrence in the decision be obtained.

(c) *Form of decision.* (1) No particular form is required for a decision granting access to a record. The decision shall, however, advise the individual requesting the record as to where and when the record is available for inspection or, as the case may be, where and when copies will be available. If fees are due under § 2.64(d), the individual requesting the record shall also be notified of the amount of fees due or, if the exact amount has not been determined, the approximate amount of fees due.

(2) A decision denying a request for access, in whole or part, shall be in writing and shall:

(i) State the basis for denial of the request.

(ii) Contain a statement that the denial may be appealed to the Assistant Secretary—Policy, Budget and Administration pursuant to § 2.65 by writing to the Privacy Act Officer, Office of the Assistant Secretary—Policy, Budget and Administration, U.S. Department of the Interior, Washington, DC 20240.

(iii) State that the appeal must be received by the foregoing official within twenty (20) working days of the date of the decision.

(3) If the decision denying a request for access involves Department employee records which fall under the jurisdiction of the Office of Personnel Management, the individual shall be informed in a written response which shall:

(i) State the reasons for the denial.

(ii) Include the name, position title, and address of the official responsible for the denial.

(iii) Advise the individual that an appeal of the denial may be made only to the Assistant Director for Workforce Information, Personnel Systems and Oversight Group, Office of Personnel Management, 1900 E Street NW., Washington, DC 20415.

(4) Copies of decisions denying requests for access made pursuant to paragraphs (c)(2) and (c)(3) of this section will be provided to the Departmental and Bureau Privacy Act Officers.

(d) *Fees.* (1) No fees may be charged for the cost of searching for or reviewing a record in response to a request made under § 2.63.

(2) Fees for copying a record in response to a request made under § 2.63 shall be charged in accordance with the schedule of charges contained in Appendix A to this part, unless the official responsible for processing the request determines that reduction or waiver of fees is appropriate.

(3) Where it is anticipated that fees chargeable in connection with a request will exceed the amount the person submitting the request has indicated a willingness to pay, the official processing the request shall notify the requester and shall not complete processing of the request until the requester has agreed, in writing, to pay fees as high as are anticipated.

[40 FR 44505, Sept. 26, 1975, as amended at 47 FR 38328, Aug. 31, 1982;48 FR 56585, Dec. 22, 1983; 53 FR 3749, Feb. 9, 1988]

§ 2.65 Requests for notification of existence of records and for access to records: Appeals.

(a) *Right of appeal.* Except for appeals pertaining to Office of Personnel Management records, individuals who have been notified that they are not entitled to notification of whether a system of records contains records pertaining to them or have been denied access, in whole or part, to a requested record may appeal to the Assistant Secretary—Policy, Budget and Administration.

(b) *Time for appeal.* (1) An appeal must be received by the Privacy Act Officer no later than twenty (20) working days after the date of the initial decision on a request.

(2) The Assistant Secretary—Policy, Budget and Administration may, for good cause shown, extend the time for submission of an appeal if a written request for additional time is received within twenty (20) working days of the date of the initial decision on the request.

(c) *Form of appeal.* (1) An appeal shall be in writing and shall attach copies of the initial request and the decision on the request.

(2) The appeal shall contain a brief statement of the reasons why the appellant believes the decision on the initial request to have been in error.

(3) The appeal shall be addressed to Privacy Act Officer, Office of the Assistant Secretary-Management, U.S. Department of the Interior, Washington, D.C. 20240.

(d) *Action on appeals.* (1) Appeals from decisions on initial requests made pursuant to §§ 2.61 and 2.63 shall be decided for the Department by the Assistant Secretary—Policy, Budget and Administration or an official designated by the Assistant Secretary after consultation with the Solicitor.

(2) The decision on an appeal shall be in writing and shall state the basis for the decision.

[40 FR 44505, Sept. 26, 1975, as amended at 48 FR 56585, Dec. 22, 1983; 53 FR 5749, Feb. 9, 1988]

§ 2.66 Requests for access to records: Special situations.

(a) *Medical records.* (1) Medical records shall be disclosed to the individual to whom they pertain unless it is determined, in consultation with a medical doctor, that disclosure should be made to a medical doctor of the individual's choosing.

(2) If it is determined that disclosure of medical records directly to the individual to whom they pertain could have an adverse effect on that individual, the individual may designate a medical doctor to receive the records and the records will be disclosed to that doctor.

(b) *Inspection in presence of third party.* (1) Individuals wishing to inspect records pertaining to them which have been opened for their inspection may, during the inspection, be accompanied by a person of their own choosing.

(2) When such a procedure is deemed appropriate, individuals to whom the records pertain may be required to furnish a written statement authorizing discussion of their records in the accompanying person's presence.

[40 FR 44505, Sept. 26, 1975, as amended at 48 FR 56585, Dec. 22, 1983]

§§ 2.67–2.69 [Reserved]

§ 2.70 Amendment of records.

The Privacy Act permits individuals to request amendment of records pertaining to them if they believe the records are not accurate, relevant, timely or complete. 5 U.S.C. 552a(d)(2). A request for amendment of a record shall be submitted in accordance with the procedures in this subpart.

[48 FR 56585, Dec. 22, 1983]

§ 2.71 Petitions for amendment: Submission and form.

(a) *Submission of petitions for amendment.* (1) A request for amendment of a record shall be submitted to the system manager for the system of records containing the record unless the system notice describing the system prescribes or permits submission to a different official or officials. If an individual wishes to request amendment of records located in more than one system, a separate petition must be submitted to each system manager.

(2) A petition for amendment of a record may be submitted only if the individual submitting the petition has previously requested and been granted access to the record and has inspected or been given a copy of the record.

(b) *Form of petition.* (1) A petition for amendment shall be in writing and shall specifically identify the record for which amendment is sought.

(2) The petition shall state, in detail, the reasons why the petitioner believes the record, or the objectionable portion thereof, is not accurate, relevant, timely or complete. Copies of documents or evidence relied upon in support of these reasons shall be submitted with the petition.

(3) The petition shall state, specifically and in detail, the changes sought in the record. If the changes involve rewriting the record or portions thereof or involve adding new language to the record, the petition shall propose specific language to implement the changes.

[48 FR 56585, Dec. 22, 1983]

§ 2.72 Petitions for amendment: Processing and initial decision.

(a) *Decisions on petitions.* In reviewing a record in response to a petition for amendment, the accuracy, relevance, timeliness and completeness of the record shall be assessed against the criteria set out in § 2.48. In addition, personnel records shall be assessed against the criteria for determining record quality published in the Federal Personnel Manual and the Departmental Manual addition thereto.

(b) *Authority to decide.* An initial decision on a petition for amendment may be made only by the system manager responsible for the system of records containing the challenged record. If the system manager declines to amend the record as requested, the bureau Privacy Act officer for the bureau which maintains the system must concur in the decision, provided, however, that the head of a bureau may, in writing, require (1) that the decision be made by the bureau Privacy Act officer and/or (2) that the bureau head's own concurrence in the decision be obtained.

(c) *Acknowledgement of receipt.* Unless processing of a petition is completed within ten (10) working days, the receipt of the petition for amendment shall be acknowledged in writing by the system manager to whom it is directed.

(d) *Inadequate petitions.* (1) If a petition does not meet the requirements of § 2.71, the petitioner shall be so advised and shall be told what additional information must be submitted to meet the requirements of § 2.71.

(2) If the petitioner fails to submit the additional information within a reasonable time, the petition may be rejected. The rejection shall be in writing and shall meet the requirements of paragraph (e) of this section.

(e) *Form of decision.* (1) A decision on a petition for amendment shall be in writing and shall state concisely the basis for the decision.

(2) If the petition for amendment is rejected, in whole or part, the petitioner shall be informed in a written response which shall:

(i) State concisely the basis for the decision.

(ii) Advise the petitioner that the rejection may be appealed to the Assistant Secretary—Policy, Budget and Administration by writing to the Privacy Act Officer, Office of the Assistant Secretary—Policy, Budget and Administration, U.S. Department of the Interior, Washington, DC 20240.

(iii) State that the appeal must be received by the foregoing official within twenty (20) working days of the decision.

(3) If the petition for amendment involves Department employee records which fall under the jurisdiction of the Office of Personnel Management and is rejected, in whole or part, the petitioner shall be informed in a written response which shall:

(i) State concisely the basis for the decision.

(ii) Advise the petitioner that an appeal of the rejection may be made pursuant to 5 CFR 297.306 only to the Assistant Director for Workforce Information, Personnel Systems and Oversight Group, Office of Personnel Management, 1900 E Street NW., Washington, DC 20415.

(4) Copies of rejections of petitions for amendment made pursuant to paragraphs (e)(2) and (e)(3) of this section will be provided to the Departmental and Bureau Privacy Act Officers.

(f) *Implementation of initial decision.* If a petition for amendment is accepted, in whole or part, the bureau maintaining the record shall:

(1) Correct the record accordingly and,

(2) Where an accounting of disclosures has been made pursuant to § 2.57, advise all previous recipients of the record that the correction was made and the substance of the correction.

[40 FR 44505, Sept. 26, 1975, as amendedat 48 FR 56586, Dec. 22, 1983; 53 FR 3750, Feb. 9, 1988]

§ 2.73 Petitions for amendment: Time limits for processing.

(a) *Acknowledgement of receipt.* The acknowledgement of receipt of a petition required by § 2.72(c) shall be dispatched not later than ten (10) working days after receipt of the petition by the system manager responsible for the system containing the challenged record, unless a decision on the petition has been previously dispatched.

(b) *Decision on petition.* A petition for amendment shall be processed promptly. A determination whether to accept or reject the petition for amendment shall be made within thirty (30) working days after receipt of the petition by the system manager responsible for the system containing the challenged record.

(c) *Suspension of time limit.* The thirty (30) day time limit for a decision on a petition shall be suspended if it is necessary to notify the petitioner, pursuant to § 2.72(d), that additional information in support of the petition is required. Running of the thirty (30) day time limit shall resume on receipt of the additional information by the system manager responsible for the system containing the challenged record.

(d) *Extensions of time.* (1) The thirty (30) day time limit for a decision on a petition may be extended if the official responsible for making a decision on the petition determines that an extension is necessary for one of the following reasons:

(i) A decision on the petition requires analysis of voluminous record or records;

(ii) Some or all of the challenged records must be collected from facilities other than the facility at which the official responsible for making the decision is located.

(iii) Some or all of the challenged records are of concern to another bureau of the Department or another agency of the Federal Government whose assistance and views are being sought in processing the request.

(2) if the official responsible for making a decision on the petition determines that an extension is necessary, the official shall promptly inform the petitioner of the extension and the date on which a decision is expected to be dispatched.

[40 FR 44505, Sept. 26, 1975, as amended at 48 FR 56586, Dec. 22, 1983; 53 FR 3750, Feb. 9, 1988]

§ 2.74 Petitions for amendment: Appeals.

(a) *Right of appeal.* Except for appeals pertaining to Office of Personnel Management records, where a petition for amendment has been rejected in whole or in part, the individual submitting the petition may appeal the denial to the Assistant Secretary—Policy, Budget and Administration.

(b) *Time for appeal.* (1) An appeal must be received no later than twenty (20) working days after the date of the decision on a petition.

(2) The Assistant Secretary—Policy, Budget and Administration may, for good cause shown, extend the time for submission of an appeal if a written request for additional time is received within twenty (20) working days of the date of the decision on a petition.

(c) *Form of appeal.* (1) An appeal shall be in writing and shall attach copies of the initial petition and the decision on that petition.

(2) The appeal shall contain a brief statement of the reasons why the appellant believes the decision on the petition to have been in error.

(3) The appeal shall be addressed to Privacy Act Officer, Office of the Assistant Secretary-Management, U.S. Department of the Interior, Washington, D.C. 20240.

[40 FR 44505, Sept. 26, 1975, as amended at 47 FR 38328, Aug. 31, 1982;48 FR 56586, Dec. 22, 1983; 53 FR 3750, Feb. 9, 1988]

§ 2.75 Petitions for amendment: Action on appeals.

(a) *Authority.* Appeals from decisions on initial petitions for amendment shall be decided for the Department by the Assistant Secretary—Policy, Budget and Administration or an official designated by the Assistant Secretary, after consultation with the Solicitor.

(b) *Time limit.* (1) A final determination on any appeal shall be made within thirty (30) working days after receipt of the appeal.

(2) The thirty (30) day period for decision on an appeal may be extended, for good cause shown, by the Secretary of the Interior. If the thirty (30) day period is extended, the individual submitting the appeal shall be notified of the extension and of the date on which a determination on the appeal is expected to be dispatched.

(c) *Form of decision.* (1) The final determination on an appeal shall be in writing and shall state the basis for the determination.

(2) If the determination upholds, in whole or part, the initial decision rejecting the petition for amendment, the determination shall also advise the individual submitting the appeal:

(i) Of his or her right to file a concise statement of the reasons for disagreeing with the decision of the agency;

(ii) Of the procedure established by § 2.77 for the filing of the statement of disagreement;

(iii) That the statement which is filed will be made available to anyone to whom the record is subsequently disclosed together with, at the discretion of the Department, a brief statement by the Department summarizing its reasons for refusing to amend the record;

(iv) That prior recipients of the challenged record will be provided a copy of any statement of dispute to the extent that an accounting of disclosure was maintained; and

(v) Of his or her right to seek judicial review of the Department's refusal to amend the record.

(3) If the determination reverses, in whole or in part, the initial decision rejecting the petition for amendment, the system manager responsible for the system containing the challenged record shall be directed to:

(i) Amend the challenged record accordingly; and

(ii) If an accounting of disclosures has been made, advise all previous recipients of the record of the amendment and its substance.

[40 FR 44505, Sept. 26, 1975, as amended at 48 FR 56586, Dec. 22, 1983; 53 FR 3750, Feb. 9, 1988]

§ 2.76 [Reserved]

§ 2.77 Statements of disagreement.

(a) *Filing of statement.* If the determination of the Assistant Secretary—Policy, Budget and Administration under § 2.75 rejects in whole or part, a petition for amendment, the individual submitting the petition may file with the system manager for the system containing the challenged record a concise written statement setting forth the reasons for disagreement with the determination of the Department.

(b) *Disclosure of statements.* In any disclosure of a record containing information about which an individual has filed a statement of disagreement under this section which occurs after the filing of the statement, the disputed portion of the record will be clearly noted and the recipient shall be provided copies of the statement of disagreement. If appropriate, a concise statement of the reasons of the Department for not making the requested amendments may also be provided to the recipient.

(c) *Maintenance of statements.* System managers shall develop procedures to assure that statements of disagreement filed with them shall be maintained in such a way as to assure dissemination of the statements to recipients of the records to which the statements pertain.

[48 FR 56586, Dec. 22, 1983]

§ 2.78 [Reserved]

§ 2.79 Exemptions.

(a) *Criminal law enforcement records exempt under 5 U.S.C. 552a(j)(2).* Pursuant to 5 U.S.C 552a(j)(2) the following systems of records have been exempted from all of the provisions of 5 U.S.C. 552a and the regulations in the subpart except paragraphs (b), (c) (1) and (2), (e)(4) (A) through (F), (e) (6), (7), (9), (10), and (11), and (i) of 5 U.S.C. 552a and the portions of the regulations in this subpart implementing these paragraphs:

(1) Investigative Case File System, Interior/FWS-20.

(2) Law Enforcement Services System, Interior/BIA-18.

(3) Law Enforcement Statistical Reporting System, Interior/NPS-19.

(4)Investigative Records, Interior/Office of Inspector General-2.

(b) *Law enforcement records exempt under 5 U.S.C. 552a(k)(2).* Pursuant to 5 U.S.C. 552a(k)(2), the following systems of records have been exempted from paragraphs (c)(3), (d), (e)(1), (e)(4) (G), (H), and (I), and (f) of 5 U.S.C. 552a and the provisions of the regulations in this subpart implementing these paragraphs:

(1) Investigative Records, Interior/Office of Inspector General-2.

(2) Permits System, Interior/FWS-21.

(3) Criminal Case Investigation System, Interior/BLM-18.

(4) Civil Trespass Case Investigations, Interior/BLM-19.

(5) Employee Conduct Investigations, Interior/BLM-20.

(6)[Reserved]

(7)[Reserved]

(8) Employee Financial Irregularities, Interior/NPS-17.

(9) Trespass Cases, Interior/Reclamation-37.

(10) Litigation, Appeal and Case Files System, Interior/Office of the Solicitor-1 to the extent that it consists of investigatory material compiled for law enforcement purposes.

(11) Endangered Species Licenses System, Interior/FWS-19.

(12) Investigative Case File, Interior/FWS-20.

(13) Timber Cutting and Trespass Claims Files, Interior/BIA-24.

(c) *Investigatory records exempt under 5 U.S.C. 552a(k)(5).* The following systems of records have been exempted from subsections (c)(3), (d), (e)(1), (e) (4) (G), (H), and (I) and (f) of 5 U.S.C. 552a and the provisions of the regulations in this subpart implementing these subsections:

(1)[Reserved]

(2) National Research Council Grants Program, Interior/GS–9.

(3) Committee Management Files, Interior/Officeof the Secretary–68.

[40 FR 44505, Sept. 26, 1975, as amended at 40 FR 54790, Nov. 26, 1975; 47 FR 38328, Aug. 31, 1982;48 FR 37412, Aug. 18, 1983; 48 FR 56586,Dec. 22, 1983; 49 FR 6907, Feb. 24, 1984]

Subpart E—Compulsory Process and Testimony of Employees

§ 2.80 Compulsory process.

(a) If the production of any record of the Department is sought by compulsory process and if it is determined in accordance with the provisions of § 2.13 that the record should not be disclosed, the person making such determination shall immediately report the matter to the Solicitor. The person to whom the compulsory process is directed shall appear in answer to the process and respectfully decline to produce the record on the ground that the disclosure, pending the receipt of instructions from the Secretary of the Interior, is prohibited by the regulations in this Subpart.

(b) The solicitor of the Department of the Interior is authorized to exercise all of the authority of the Secretary of the Interior under this section.

§ 2.82 Testimony of employees.

(a) An officer or employee of the Department shall not testify in any judicial or administrative proceeding concerning matters related to the business of the Government without the permission of the head of the bureau, or his designee, or of the Secretary of the Interior, or his designee. If the head of a bureau or his designee, concludes that permission should be withheld, he shall report the matter immediately to the Solicitor for a determination, and the officer or employee shall appear in answer to process and respectfully decline to testify, pending the receipt of instructions from the Secretary, on the ground that testimony is prohibited by the regulations in this part. Pending instructions from the Secretary or his designee, an officer or employee in the Office of the Secretary shall follow the same procedure.

(b) Any person (including a public agency) wishing an officer or employee of the Department to testify in a judicial or administrative proceeding concerning a matter related to the business of the Government may be required to submit a statement setting forth the interest of the litigant and the information with respect to which the testimony of the officer or employee of the Department is desired, before permission to testify will be granted under this section.

(c) The Solicitor of the Department of the Interior is authorized to exercise all of the authority of the Secretary of the Interior under this section.

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JUSTICE/BOP-008, Inmate Safety and Accident Compensation Record System.
JUSTICE/BOP-009, Federal Tort Claims Act Record System.
JUSTICE/BOP-101, National Institute of Corrections Technical Assistance Resource Persons Directory.
JUSTICE/BOP-102, National Institute of Corrections Field Readers List.
JUSTICE/BOP-999, Appendix of Field Locations for the Bureau of Prisons.

Civil Division

JUSTICE/CIV-001, Civil Division Case File System.
JUSTICE/CIV-002, Civil Division Case File System:Customs Litigation.
JUSTICE/CIV-003, Office of Alien Property File System.
JUSTICE/CIV-004, Swine Flu Administrative Clainm File System.
JUSTICE/CIV-005, Freedom of Information/Privacy Acts File.
JUSTICE/CIV-006, Consumer Inquiry/Investigatory System.
JUSTICE/CIV-007, Congressional and Citizen Correspondence File.

Civil Rights Division

JUSTICE/CRT-001, Central Civil Rights Division Index File and Associated Records System.
JUSTICE/CRT-002, Files of Applications for the Position of Attorneys with the Civil Rights Division.
JUSTICE/CRT-003, Civil Rights Case Load Evaluation System–Time Reporting System.
JUSTICE/CRT-004, Registry of Names of Interested Persons Desiring Notification of Submissions under Section 5 of the Voting Rights Act.
JUSTICE/CRT-007, Files on Employment Civil Rights Matters Referred by the Equal Employment Opportunity Commission.
JUSTICE/CRT-008, Files on Correspondence Relating to Civil Rights Matters from Persons Outside the Department of Justice.
JUSTICE/CRT-009, Civil Rights Division Travel Reports.
JUSTICE/CRT-010, Freedom of Information; Privacy Act Records.

Community Relations Service

JUSTICE/CRS-001, Operational Data Information System.

Criminal Division

JUSTICE/CRM-001, Central Criminal Division Index File and Associated Records.
JUSTICE/CRM-002, Criminal Division Witness Security File.
JUSTICE/CRM-003, File of Names Checked to Determine If Those Individuals Have Been the Subject of an Electronic Surveillance.
JUSTICE/CRM-004, General Litigation and Legal Advice Section, Criminal Division, Central Index File and Associated Records.
JUSTICE/CRM-005, Index to Name of Attorneys, Employed by the Criminal Division, U.S. Department of Justice, Indicating the Subject of the Memoranda on Criminal Matters They Have Written.
JUSTICE/CRM-006, Information File on Individuals and Commercial Entities Known or Suspected of Being Involved in Fraudulent Activities.
JUSTICE/CRM-007, Name Card File on Criminal Division Personnel Authorized to Have Access to the Central Criminal Division Records.
JUSTICE/CRM-008, Name Card File on Department of Justice Personnel Authorized to Have Access to Classified Files of the Department of Justice.
JUSTICE/CRM-012, Organized Crime and Racketeering Section, General Index File and Associated Records.
JUSTICE/CRM-014, OrganizedCrime and Racketeering Section, Intelligence and Special Services Unit, Information Request System.
JUSTICE/CRM-017, Registration and Propaganda Files Under the Foreign Agents Registration Act of 1938, As Amended.
JUSTICE/CRM-018, Registration Files of Individuals Who Have Knowledge of, or Have Received Instruction or Assignment in Espionage, Counterespionage, or Sabotage Service or Tactics of a Foreign Government or of a Foreign Political Party.
JUSTICE/CRM-019, Requests to the Attorney General for Approval of Application to Federal Judges for Electronic Interceptions.
JUSTICE/CRM-021, The Stocks and Bonds Intelligence Control Card File System.
JUSTICE/CRM-022, Witness Immunity Records.
JUSTICE/CRM-023, Weekly Statistical Report.
JUSTICE/CRM-024, Freedom of Information/Privacy Act Records.
JUSTICE/CRM-025, Tax Disclosure Index File and Associated Records
JUSTICE/CRM-026, Index of Prisoners Transferred Under Prisoner Transfer Treaties
JUSTICE/CRM-027, Office of Special Investigations (OSI) Displaced Persons Listings
JUSTICE/CRM-999, Appendix to Criminal Division's Systems of Records; Field Office Addresses of Organized Crime and Racketeering Sections where Records May be Located.

Drug Enforcement Administration

JUSTICE/DEA-001, Air Intelligence Program.
JUSTICE/DEA-003, Automated Records and Consolidated Orders System/Diversion Analysis and Detection System (ARCOS/DADS).
JUSTICE/DEA-004, Congressional Correspondence File.
JUSTICE/DEA-005, Controlled Substances Act Registration Records (CSA).
JUSTICE/DEA-006, Freedom of Information/Privacy Act Records.
JUSTICE/DEA-007, International Intelligence Data Base.
JUSTICE/DEA-008, Investigation Reporting and Filing System.
JUSTICE/DEA-009, Medical Records.
JUSTICE/DEA-010, Planning and Inspection Division Records.
JUSTICE/DEA-011, Operations Files.
JUSTICE/DEA-012, Registration Status/Investigation Records.
JUSTICE/DEA-013, Security Files.
JUSTICE/DEA-014, System to Retrieve Information from Drug Evidence (STRIDE/Ballistics).
JUSTICE/DEA-015, Training Files.
JUSTICE/DEA-016, Drug Enforcement Administration Accounting System (DEAAS II).
JUSTICE/DEA-017, Grants of Confidentiality Files (GCF).
JUSTICE/DEA-018, Applicant Investigations (DAI).
JUSTICE/DEA-020, Essential Chemical Reporting System.
JUSTICE/DEA-021, DEA Aviation Unit Reporting System.
JUSTICE/DEA-023, Clerical, Technical and Professional (CTAP) Program Files.
JUSTICE/DEA-027, DEA Employee Profile System (DEPS).
JUSTICE/DEA-028, Regional Automated Intelligence Data System (RAIDS).
JUSTICE/DEA-030, Agent Recruit Assessment Program.
JUSTICE/DEA-111, Automated Intelligence Records System (Pathfinder)

JUSTICE/DEA-999, DEA Appendix 1—List of Record Location Addresses

Executive Office for Immigration Review

JUSTICE/EOIR-001, Records and Management Information Systems.
JUSTICE/EOIR-999, Appendix to Executive Office for Immigration Review System of Records.

Federal Bureau of Investigation

JUSTICE/FBI-001, National Crime Information Center (NCIC).
JUSTICE/FBI-002, The FBI Central Records System.
JUSTICE/FBI-003, Bureau Mailing Lists.
JUSTICE/FBI-004, Routine Correspondence Handled by Preprinted Form.
JUSTICE/FBI-005, Routine Correspondence Prepared Without Yellow File.
JUSTICE/FBI-006, Electronic Surveillance (ELSUR) Indices.
JUSTICE/FBI-007, FBI Automated Payroll System.
JUSTICE/FBI-008, Personnel Information Network System (PINS).
JUSTICE/FBI-009, Indentification Division Records System.
JUSTICE/FBI-010, Employee Travel Vouchers and Individual Earning Records.
JUSTICE/FBI-011, Employee Health Records.
JUSTICE/FBI-012, Time Utilization Record-Keeping (TURK) System.
JUSTICE/FBI-013, Security Access Control System (SACS).
JUSTICE/FBI-014, FBI Alcoholism Program.
JUSTICE/FBI-015, National Center for the Analysis of Violent Crime (NCAVC).
JUSTICE/FBI-999, Appendix of Field Divisions and Legal Attaches for the Federal Bureau of Investigation Field Divisions.

Foreign Claims Settlement Commission

JUSTICE/FCSC-1. Indexes of Claimants (Alphabetical).
JUSTICE/FCSC-2. Bulgaria, Claims Against (1st Program).
JUSTICE/FCSC-3. Bulgaria, Claims Against (2nd Program).
JUSTICE/FCSC-4. Certifications of Awards.
JUSTICE/FCSC-5. China, Claims Against.
JUSTICE/FCSC-6. Civilian Internees (Vietnam).
JUSTICE/FCSC-7. Correspondence (General).
JUSTICE/FCSC-8. Correspondence (Inquiries Concerning Claims in Foreign Countries).
JUSTICE/FCSC-9. Cuba, Claims Against.
JUSTICE/FCSC-10. Czechoslovakia, Claims Against.
JUSTICE/FCSC-11. East Germany, Registration of Claims Against.
JUSTICE/FCSC-12. Federal Republic of Germany, Questionnaire Inquiries from.
JUSTICE/FCSC-13. Payroll Records.
JUSTICE/FCSC-14. General Personnel Records.
JUSTICE/FCSC-15. General Financial Records.
JUSTICE/FCSC-16. Hungary, Claims Against (1st Program).
JUSTICE/FCSC-17. Hungary, Claims Against (2nd Program).
JUSTICE/FCSC-18. Italy, Claims Against (1st Program).
JUSTICE/FCSC-19. Italy, Claims Against (2nd Program).
JUSTICE/FCSC-20. Micronesia, Claims Arising in.
JUSTICE/FCSC-21. Panama, Claims Against.
JUSTICE/FCSC-22. Poland, Registration of Claims.
JUSTICE/FCSC-23. Poland, Claims Against.
JUSTICE/FCSC-24. Prisoners of War (Pueblo).
JUSTICE/FCSC-25. Prisoners of War (Vietnam).
JUSTICE/FCSC-26. Romania, Claims Against (1st Program).
JUSTICE/FCSC-27. Romania, Claims Against (2nd Program).
JUSTICE/FCSC-28. Soviet Union, Claims Against.
JUSTICE/FCSC-29. Yugoslavia, Claims Against (1st Program).
JUSTICE/FCSC-30. Yugoslavia, Claims Against (2nd Program).
JUSTICE/FCSC-31. German Democratic Republic, Claims Against.
JUSTICE/FCSC-32. General War Claims Program, Claims Filed in.
JUSTICE/FCSC-33. Vietnam, Claims for Losses Against.
JUSTICE/FCSC-34. Ethiopia, Claims for Losses Against.
JUSTICE/FCSC-35. Egypt, Claims Against.

Immigration and Naturalization Service

JUSTICE/INS-001, The Immigration and Naturalization Service Index System.
JUSTICE/INS-001A, The Immigration and Naturalization Service (INS) Alien File (A-File) and Central Index System (CIS).
JUSTICE/INS-002, Application/Petition Tracking System (APTS).
JUSTICE/INS-003, Position Accounting/Control System (PACS).
JUSTICE/INS-004, Top Priority Program (TPP).
JUSTICE/INS-005, Case Control System.
JUSTICE/INS-006, Alien Address Reports.
JUSTICE/INS-007, Orphan Petitioner Index and Files.
JUSTICE/INS-008, Bond Accounting and Control System (BACS).
JUSTICE/INS-009, Alien Status Verification Index.
JUSTICE/INS-010, Freedom of Information Act/Privacy Act (FOIA/PA) Case Tracking and Reporting System.
JUSTICE/INS-011, Password Issuance and Control System (PICS).
JUSTICE/INS-012, Deportable Alien Control System (DACS).
JUSTICE/INS-013, Fees and Application Receipt and Entry System (FARES).
JUSTICE/INS-999, INS Appendix: List of principal offices of Immigration and Naturalization Service.

INTERPOL—United States National Central Bureau

JUSTICE/Interpol-001, The INTERPOL—United States National Central Bureau (INTERPOL—USNCB) (Department of Justice) INTERPOL—USNCB Records System.

Justice Management Division

JUSTICE/JMD-001, Background Investigation Check-off Card.
JUSTICE/JMD-002, Controlled Substances Act Nonpublic Records.
JUSTICE/JMD-003, Department of Justice Payroll System.
JUSTICE/JMD-004, Bookstream.
JUSTICE/JMD-005, Grievance Records.
JUSTICE-JMD-006, Debt Collection Management System.
JUSTICE/JMD-007, Accounting System for the Offices, Boards and Divisions and the United States Marshals Service.
JUSTICE/JMD-008, Security Clearance Information System (SCIS).
JUSTICE/JMD-010, Document Information System (DIS).
JUSTICE/JMD-012, Executive Biography.
JUSTICE/JMD-013, Employee Locator File.
JUSTICE/JMD-014, Department of Justice Relocation Management Services Information System.
JUSTICE/JMD-017, Department of Justice Controlled Parking Records.
JUSTICE/JMD-018, Delegations of Procurement Authority./
JUSTICE/JMD-019, Freedom of Information Act/Privacy Act (FOIA/PA) Records System.
JUSTICE/JMD-020, Freedom of Information Act/Privacy Act (FOIA/PA) Request Letters.

Land and Natural Resources Division

JUSTICE/LDN-001, Appraisers File.
JUSTICE/LDN-002, Congressional Correspondence File.
JUSTICE/LDN-003, Lands Docket Tracking System.
JUSTICE/LDN-004, Title Abstractors, Attorneys and Insurance Corporations File.
JUSTICE/LDN-005, Freedom of Information Act and Privacy Act Records System.
JUSTICE/LDN-006, Citizens' Mail File.

Office of the Attorney General

JUSTICE/OAG-001, General Files Systems of the Office of the Attorney General.

Office of the Associate Attorney General

JUSTICE/AAG-001, General Files System of the Office of the Associate Attorney General.
JUSTICE/AAG-002, Drug Enforcement Task Force Evaluation and Reporting System of the Office of the Associate Attorney General.

Office of the Deputy Attorney General

JUSTICE/DAG-002, Appointed Assistant United States Attorneys Personnel System.
JUSTICE/DAG-003, Assistant United States Attorney Applicant Records System.
JUSTICE/DAG-004, Honor Program Applicant System.
JUSTICE/DAG-005, Master Index File of Names.
JUSTICE/DAG-006, Presidential Appointee Candidate Records System.
JUSTICE/DAG-007, Presidential Appointee Records System.
JUSTICE/DAG-008, Special Candidates for Presidential Appointments Records System.
JUSTICE/DAG-009, Summer Intern Program Records System.
JUSTICE/DAG-010, United States Judge and Department of Justice Presidential Appointee Records.
JUSTICE/DAG-011, Miscellaneous Attorney Personnel Records System.
JUSTICE/DAG-012, Executive Secretariat Correspondence Control System.

JUSTICE/DAG-013, General Files System of the Office of the Deputy Attorney General.

Office of Justice Programs

JUSTICE/OJP-001, Equipment Inventory.
JUSTICE/OJP-004, Grants Management Information System (PROFILE).
JUSTICE/OJP-005, Financial Management System.
JUSTICE/OJP-006, Congressional and Public Affairs System.
JUSTICE/OJP-007, Public Information System.
JUSTICE/OJP-008, Civil Rights Investigative System.
JUSTICE/OJP-009, Federal Advisory Committee Membership Files.
JUSTICE/OJP-010, Technical Assistance Resource Files.
JUSTICE/OJP-011, Registered Users File–National Criminal Justice Reference Service (NCJRS).
JUSTICE/OJP-012, Public Safety Officers Benefits System.

Office of Legal Counsel

JUSTICE/OLC-001, Attorney Assignment Reports.
JUSTICE/OLC-002, Office of Legal Counsel Central File.

Office of Legislative Affairs

JUSTICE/OLA-001, Congressional Committee Chairman Correspondence File.
JUSTICE/OLA-002, Congressional Correspondence File.
JUSTICE/OLA-003, Citizen Correspondence File.

Office of Legal Policy

JUSTICE/OLP-001, Freedom of Information and Privacy Appeals Index.
JUSTICE/OLP-002, United States Judges Records System.
JUSTICE/OLP-003, General Files System of the Office of Legal Policy.

Office of Pardon Attorney

JUSTICE/OPA-001, Executive Clemency Files.
JUSTICE/OPA-002, Miscellaneous Correspondence File.
JUSTICE/OPA-003, Freedom opf Information/Privacy Acts (FOI/PA) Request File.

Office of Professional Responsibility:

JUSTICE/OPR-001, Office of Professional Responsibility Record Index.

Office of Public Information

JUSTICE/OPI, News Release, Document and Index System.

U.S. Parole Commission

JUSTICE/PRC-001, Docket, Scheduling and Control.
JUSTICE/PRC-002, Freedom of Information Act Records System.
JUSTICE/PRC-003, Inmate and Supervision Files.
JUSTICE/PRC-004, Labor and Pension Case, Legal File and General Correspondence System.
JUSTICE/PRC-005, Office Operation and Personnel System.
JUSTICE/PRC-006, Statistical, Educational and Developmental System.
JUSTICE/PRC-007, Workload Records, Decision Result, and Annual Report System.

Office of Special Counsel for Immigration-Related Unfair Employment Practices (OSC)

JUSTICE/OSC 001, Central Index File and Associated Records.
JUSTICE/OSC-002, Files on Correspondence Relating to Immigration Related Unfair Employment Practices from Persons Outside the Department of Justice.
JUSTICE/OSC-003, Special Counsel for Immigration Related Unfair Employment Practices Travel Reports.
JUSTICE/OSC-004, Freedom of Information; Privacy Acts Records.

Tax Division

JUSTICE/TAX-001, Tax Division Central Classification Cards, Index Docket Cards, and Associated Records–Criminal Tax Cases.
JUSTICE/TAX-002, Tax Division Central Classification Cards, Index Docket Cards, and Associated Records–Civil Tax Cases.
JUSTICE/TAX-003, Files of Applications for the Position of Attorney with the Tax Division.
JUSTICE/TAX-004, Freedom of Information –Privacy act Request Files.
JUSTICE/TAX-005, Tax Division Special Projects Files.

United States Attorneys' Office

JUSTICE/USA-001, Administrative File.
JUSTICE/USA-002, A. U.S.A. Applicant Files.
JUSTICE/USA-003, Citizen Complaint Files.
JUSTICE/USA-004, Citizens Correspondent Files.
JUSTICE/USA-005, Civil Case Files.
JUSTICE/USA-006, Consumer Complaints.
JUSTICE/USA-007, Criminal Case Files.
JUSTICE/USA-008, Freedom of Information Act/Privacy Act Files.
JUSTICE/USA-009, Kline–District of Columbia and Maryland – Stock and Land Fraud Interrelatioinship Filing System.
JUSTICE/USA-010, Major Crimes Division Investigative Files.
JUSTICE/USA-011, Prosecutor's Management Information System (PROMIS).
JUSTICE/USA-012, Security Clearance Forms for Grand Jury Reporters.
JUSTICE/USA-013, U.S. Attorney, District of Columbia Superior Court Operation, Criminal Files, including but not limited to the following subsystems: (a) Criminal file folder (USA–S–1), (b) Criminal File Folder (USA–33), (c) Criminal Docket Card (USA–T7), and (d) Index.
JUSTICE/USA-014, Pre-Trial Diversion Program Files.
JUSTICE/USA-015, Debt Collection Enforcement System.
JUSTICE/USA-999, Appendix of United States Attorney Office Locations.

U.S. Marshals Service

JUSTICE/USM-001, U.S. Marshals Service Badge and Credentials File.
JUSTICE/USM-002, Internal Inspections System.
JUSTICE/USM-003, U.S. Marshals Service Prisoner Transportation System.
JUSTICE/USM-004, Special Deputy File.
JUSTICE/USM-006, United States Marshals Service Training Files.
JUSTICE/USM-007, Warrant Information System.
JUSTICE/USM-008, Witness Security Files Information System.
JUSTICE/USM-009, U.S. Marshals Service Threat Analysis Information System.
JUSTICE/USM-010, Judicial Facility Security Index System.
JUSTICE/USM-011, Judicial Protection Information System.
JUSTICE/USM-012, U.S. Marshals Service Freedom of Information Act/Privacy Act (FOIA/PA) Files.
JUSTICE/USM-013, U.S. Marshals Service Administrative Proceedings, Claims and Civil Litigation Files.
JUSTICE/USM-999, Appendix to U.S. Marshals Systems of Records.

U.S. Trustees

JUSTICE/UST-001, Bankruptcy Case Files and Associated Records.
JUSTICE/UST-002, Panel Trustee Application File.
JUSTICE/UST-003, U.S. Trustee Timekeeping System.
JUSTICE/UST-004, U. S. Trustee Program Case Referral System.
JUSTICE/UST-999, U.S. Trustee Appendix I—List of Record Retention Addresses.

JUSTICE/ATR-001

System name:

Antitrust Division Expert Witness File.

System location:

U.S. Department of Justice; 10th & Constitution Avenue, NW., Washington, DC 20530.

Categories of individuals covered by the system:

Individuals who have served in the capacity of an expert" for the Department of Justice in Connection with civil or criminal antitrust litigation.

Categories of records in the system:

This system contains the names of persons used by the Antitrust Division in an expert capacity and also indicates the area of their specialty, the type of service rendered, the fees paid, and the dates on or during which such services were performed.

Authority for maintenance of the system:

Authority for the establishment and maintenance of this system exists under 44 U.S.C. 3101 and 28 U.S.C. 522.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

This system is routinely used by trial attorneys of the Antitrust Division when considering the selection of experts as witnesses for the development or presentation of specific antitrust cases. The system also serves as a reference resource for Division personnel in compiling statistical information or reports regarding the actual or anticipated costs of litigation.

A record maintained in this system, or any facts derived therefrom, may be disseminated in a proceeding before a court or adjudicative body before which the Antitrust Division is authorized to appear, when (1) the Antitrust Division, or any subdivision thereof; or (2) any employee of the Antitrust Division in his or her official capacity; or (3) any employee of the Antitrust Division in his or her individual capacity where the Department of Justice has agreed to represent the employee; or (4) the United States, or any agency or subdivision thereof; or (5) the United States, where the Antitrust Division determines that the litigation is likely to affect it or any of its subdivisions, is a party to litigation or has an interest in litigation and such records are determined by the Antitrust Division to be arguably releveant to the litigation.

Release of information to the news media:

Information permitted to be released to the news medias and the public pursuant to 28 CFR 50.2 may be made available from systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Release of information to members of Congress:

Information contained in systems of records maintained by the Department of Justice, not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on the individual who is the subject of the record.

Release of information to the National Archives and Records Administration:

A record from a system of records may be disclosed as a routine use to the National Archives and Records Administration (NARA) in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Information maintained in this system is contained in documents organized in individual file folders.

Retrievability:

Information is retrieved primarily by using the name of the individual called as an expert witness for the Government in antitrust cases brought by the Department.

Safeguards:

Information contained in the system is unclassified. During working hours access to the system is controlled and monitored by Antitrust Division personnel in the area where the system is maintained; during non-duty hours all doors to that area are locked.

Retention and disposal:

Indefinite.

System manager(s) and address:

Executive Officer, Antitrust Division; U.S. Department of Justice; 10th & Constitution Avenue, NW., Washington, DC 20530.

Notification procedure:

Address inquiries to the Assistant Attorney General; Antitrust Division; U.S. Department of Justice; 10th & Constitution Avenue NW., Washington, DC 20530.

Record access procedures:

Requests for access to a record from this system shall be in writing and be clearly identified as a "Privacy Access Request". Including in the request should be the name of the person presented as an expert witness for the Government and the name of the case in which such services were rendered. The requester should indicate a return address. Requests will be directed to the System Manager shown above.

Contesting record procedures:

Individuals desiring to contest or amend information maintained in the system should direct their requests to the System Manager and state clearly and concisely when information is being contested, the reasons for contesting it and the proposed amendment to the information sought.

Record source categories:

Sources of information maintained in this system are those records reflecting the commitment between the individual and the Department of Justice (including matters of compensation etc.) and staff attorneys or other employees directly involved with the individual in the preparation or conduct of the litigation.

Systems exempted from certain provisions of the act:

None.

JUSTICE/ATR-002

System name:

Congressional and White House Referral Correspondence Log File.

System location:

U.S. Department of Justice; 10th & Constitution Avenue, NW., Washington, DC 20530.

Categories of individuals covered by the system:

Present and former members of Congress, and citizens whose correspondence is referred by members of Congress or Congressional or White House staff.

Categories of records in the system:

This system contains an index record to correspondence from members of the Congress and White House staff.

Authority for maintenance of the system:

Authority for the establishment and maintenance of this system exist under 44 U.S.C. 3101 and 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

This system is maintained as a record of inquires or referrals by members or committees of the Congress and by White House staff. Routine use is made of this file by Antitrust Division personnel incident to monitoring the response status of or identifying other material related to such inquiries or referrals.

A record maintained in this system, or any facts derived therefrom, may be disseminated in a proceeding before a court or adjudicative body before which the Antitrust Divison is authorized to appear, when (1) the Antitrust Division, or any subdivision thereof; or (2) any employee of the Antitrust Division in his or her official capacity; or (3) any employee of the Antitrust Division in his or her individual capacity where the Department of Justice has agreed to represent the employee; or (4) the United States, or any agency or subdivision thereof; or (5) the United States, where the Antitrust Division determines that the litigation is likely to affect it or any of its subdivisions, is a party to ligitation and such records are determined by the Antitrust Division to be arguably relevant to the litigation.

Release of information to the news media: Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available from systems of records maintained by the Department of Justice unless it is determined the release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Release of information to Members of Congress. Information contained in systems of records maintained by the Department of Justice, not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and at the request of the individual who is the subject of the record.

Release of information to the National Archives and Records Administration (NARA) and to the General Services Administration (GSA): A record from a system of records may be disclosed as a routine use to NARA and GSA in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper documents are stored in loose-leaf binders and file folders; abbreviated or summarized information is stored in a computerized tracking system.

Retrievability:

Inquiry and response documents are retrieved by date or through manual and automated indexes which are accessed by name, subject matter, control number, etc. Summary data on inquiries received pror to March 7, 1983, is retrieved from the manual index cards; as of March 7, 1983, summary data is retrieved from magnetic disks and tapes. Summary data consists of such data elements as Congressional Member or constituent name, subject matter, date of inquiry, date assigned, date of response, etc.

Safeguards:

Information contained in the system is unclassified. During working hours access to the system is controlled and monitored by Antitrust Division personnel in the area where the system is maintained; during non-duty hours all doors to such area are locked. In addition, only Antitrust Division personnel who have a need for the information contained in the system have the appropriate password for access to the system.

Retention and disposal:

Indefinite.

System manager(s) and address:

Chief, Legislative Unit; Antitrust Division; U.S. Department of Justice; 10th & Constitution Avenue, NW., Washington, DC 20530.

Notification procedure:

Address inquiries to the Assistant Attorney General; Antitrust Division; Department of Justice; 10th & Constitution Avenue, NW., Washington, DC 20530.

Record access procedures:

Requests for access for a record from this system shall be written and clearly identified as "Privacy Access Request". The request should include the name of the member of Congress or White House staff originating a request or referral and the date thereof. Requester should indicate a return address.

Contesting record procedures:

Individuals desiring to contest or amend information maintained in the system should state clearly and concisely what information is being contested, the reasons for contesting it and the proposed amendment to the information sought.

Record source categories:

Source of informaton maintained in the system are those records (e.g., that Congressional or White House correspondence), reflecting inquiries or referrals of citizen correspondence by members of Congress or White House staff.

Systems exempted from certain provisions of the act:

None.

JUSTICE/ATR-003

System name:

Index of Defendants in Pending and Terminated Antitrust Cases.

System location:

U.S. Department of Justice, 10th and Constitution Avenue, NW, Washington, DC 20530.

Categories of individuals covered by the system:

Individual defendants in pending and terminated criminal and civil cases brought by the United States under the antitrust laws.

Categories of records in the system:

This system contains an index reference to the case in which an individual (or corporation) is or was a defendant; included in information is proper case name, the judicial district and number of the case, and the date filed.

Authority for maintenance of the system:

Authority for the establishment and maintenance of this index system exists under 28 U.S.C. 522 and 44 U.S.C. 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine use of this cross index system is generally made by Department personnel for reference to proper case name. In addition a compilation of antitrust cases filed is prepared semi-annually showing the names of all defendants in pending civil and criminal Government antitrust cases. This compilation is utilized within the Department and distributed to some 30 other Government agencies for reference and statistical purposes.

A record maintained in this system, or any facts derived therefrom, may be disseminated in a proceeding before a court or adjudicative body before which the Antitrust Division is authorized to appear, when (1) the Antitrust Division, or any subdivision thereof; or (2) any employee of the Antitrust Division in his or her official capacity; or (3) any employee of the Antitrust Division in his or her individual capacity where the Department of Justice has agreed to represent the employee; or (4) the United States, or any agency or subdivision thereof; or (5) the United States, where the Antitrust Division determines that the litigation is likely to affect it or any of its subdivisions, is a party to litigation or has an interest in litigation and such records are determined by the Antitrust Division to be arguably relevant to the litigation.

Release of information to the news media: Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available from systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Release of information to Members of Congress. Information contained in systems of records maintained by the Department of Justice, not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and at the request of the individual who is the subject of the record.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Information in the system is maintained on index cards.

Retrievability:

Information in the system is retrieved by reference to the name of individual or corporate defendants in antitrust cases.

Safeguards:

Information contained in the system is unclassified and of a public nature. During working hours access to the index is monitored by Antitrust Division personnel; during non-duty hours the area in which the system is maintained is locked.

Retention and disposal:

Indefinite.

System manager(s) and address:

Chief, Legal Procedure Unit, Antitrust Division, U.S. Department of Justice, 10th and Constitution Avenue, NW, Washington, DC 20530.

Notification procedure:

Address inquiries to the Assistant Attorney General, Antitrust Division, U.S. Department of Justice, Washington, DC 20530.

Record access procedures:

Requests for access to a record from this system shall be in writing and be clearly identified as a "Privacy Access Request". Included in the request should be the name of the defendant in pending or terminated Government antitrust litigation. Requesters should indicate a return address. Requests will be directed to the System Manager shown above.

Contesting record procedures:

Individuals desiring to contest or amend information maintained in the index should direct their request to the System Manager and state clearly and concisely what information is being contested, the reasons for contesting it, and the proposed amendment to the information sought.

Record source categories:

Sources of information contained in this index are complaints filed under the antitrust laws by the United States and from Department records relating to such cases.

Systems exempted from certain provisions of the act:

None.

JUSTICE/ATR-004

System name:

Statements by Antitrust Division Officials (ATD Speech File).

System location:

U.S. Department of Justice, 10th and Constitution Avenue NW, Washington, DC 20530.

Categories of individuals covered by the system:

Past and present employees of the Antitrust Division.

Categories of records in the system:

This system contains an index record for each public statement or speech issued or made by employees of the Antitrust Division.

Authority for maintenance of the system:

Authority for maintaining this system exists under 44 U.S.C. 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

This index is maintained for ready reference by Department personnel for the identification of the subject matter of and persons originating public statements by Antitrust Division employees; such reference is utilized in aid of compliance with requests from the public and within the agency for access to texts of such statements.

A record maintained in this system, or any facts derived therefrom, may be disseminated in a proceeding before a court or adjudicative body before which the Antitrust Division is authorized to appear, when (1) the Antitrust Division, or any subdivision thereof; or (2) any employee of the Antitrust Division in his or her official capacity; or (3) any employee of the Antitrust Division in his or her individual capacity where the Department of Justice has agreed to represent the employee; or (4) the United States, or any agency or subdivision thereof; or (5) the United States, where the Antitrust Division determines that the litigation is likely to affect it or any of its subdivisions, is a party to litigation or has an interest in litigation and such records are determined by the Antitrust Division to be arguably relevant to the litigation.

Release of information to the news media: Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available from systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Release of information to Members of Congress: Information contained in systems of records maintained by the Department of Justice, not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and at the request of the individual who is the subject of the record.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Information contained in the index system is maintained on index cards.

Retrievability:

This reference index utilizes name of present and former employees making or issuing statements as well as the subject matter or title of the statement.

Safeguards:

Information contained in the system is unclassified. During duty hours personnel monitor access to this index; the area is locked during non-duty hours.

Retention and disposal:

Indefinite.

System manager(s) and address:

Chief, Legal Procedure Unit, Antitrust Division, U.S. Department of Justice, 10th and Constitution Avenue NW, Washington, D.C. 20530.

Notification procedure:

Address inquiries to the Assistant Attorney General, Antitrust Division, U.S. Department of Justice, 10th and Constitution Avenue NW, Washington, D.C. 20530.

Record access procedures:

Request for access to a record from this system should be made in writing and be clearly identified as a "Privacy Access Request". Included in the request should be the name of the Antitrust Division employee making or issuing a public statement. Requesting should indicate a return address. Requests will be directed to the System Manager shown above.

Contesting record procedures:

Individuals desiring to contest or amend information maintained in the index should direct their request to the System Manager and state clearly and concisely what information is being contested, the reasons for contesting it, and the proposed amendment to the information sought.

Record source categories:

Sources of information maintained in the index are those records reflecting public statements issued or made by Antitrust Division employees.

Systems exempted from certain provisions of the act:

None.

JUSTICE/ATR-005

System name:

Antitrust Information Management System (AMIS)—Time Reporter.

System location:

U.S. Department of Justice, 10th and Constitution Ave., NW., Washington, D.C. 20530.

Categories of individuals covered by the system:

Professional employees of the Antitrust Division of the U.S. Department of Justice.

Categories of records in the system:

The file contains the employees' name and allocations of his/her work time.

Authority for maintenance of the system:

The file will be established and maintained pursuant to the following authorities: 28 CFR 0.40(f), 28 U.S.C. 522, 31 U.S.C. 11, 31 U.S.C. 66a, 5 U.S.C. 301, and 2 U.S.C. 601.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The file is used by Antitrust Division personnel to keep track of resources and as a basis for determining Antitrust Division allocations of resources (professional time) to particular products and industries (e.g., oil, auto, chemicals) and to broad categories of resource use such as conspiratorial conduct, oligopoly and monopoly, civil cases, criminal cases, and proceedings before regulatory agencies. In addition, the file will be employed in the preparation of reports for the Division's budget requests and to the Attorney General and Congress.

A record maintained in this system, or any facts derived therefrom, may be disseminated in a proceeding before a court or adjudicative body before which the Antitrust Division is authorized to appear, when (1) the Antitrust Division, or any subdivision thereof; or (2) any employee of the Antitrust Division in his or her official capacity; or (3) any employee of the Antitrust Division in his or her individual capacity where the Department of Justice has agreed to represent the employee; or (4) the United States, or any agency or subdivision thereof; or (5) the United States, where the Antitrust Division determines that the litigation is likely to affect it or any of its subdivisions, is a party to litigation or has an interest in litigation and such records are determined by the Antitrust Division to be arguably relevant to the litigation.

Release of information to Members of Congress: Information contained in systems of records maintained by the Department of Justice, not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and at the request of the individual who is the subject of the record.

Release of information to the National Archives and Records Administration (NARA) and to the General Services Administration (GSA): A record from the system of records may be disclosed to NARA and GSA for records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are maintained electronically in the AMIS computerized information system.

Retrievability:

Information is retrieved by a variety of key words, including names of individuals.

Safeguards:

Information contained in the system is unclassified. It is safeguarded and protected in accordance with Department rules and procedures governing the handling of computerized information. Access to the file is limited to those employees whose official duties require such access.

Retention and disposal:

Information contained in the file is retained indefinitely.

System manager(s) and address:

Chief, Information Systems Support Group, Antitrust Division, U.S. Department of Justice, 555 4th Street NW., Room 11-854, Washington, DC 20001.

Notification procedure:

Same as System Manager.

Record access procedures:

Same as Notification.

Contesting record procedures:

Same as Notification.

Record source categories:

Information on time allocation is provided by Antitrust Division section and field office chiefs.

Systems exempted from certain provisions of the act:

None.

JUSTICE/ATR-006

System name:

Antitrust Information Management System (AMIS)—Matter Report.

System location:

U.S. Department of Justice, 10th and Constitution Avenue, NW., Washington, DC 20530.

Categories of individuals covered by the system:

Professional employees of the Antitrust Division of the U.S. Department of Justice and individual defendants and investigation targets involved in past and present Antitrust investigations and cases.

Categories of records in the system:

The system contains the names of Division employees and their case/investigation assignments and the names of individual defendants/investigation targets as they relate to a specific case/investigation. In addition, information reflecting the current status and handling of Antitrust cases/investigations is included within this system.

Authority for maintenance of the system:

The file is established and maintained pursuant to 28 CFR 40(f), 28 U.S.C. 522, and 44 U.S.C. 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The file is used by Antitrust Division personnel as a basis for determining Antitrust Division allocation of resources to particular products and industries (e.g., oil, autos, chemicals), to broad categories of resource use such as civil cases, criminal cases, regulatory agency cases, and Freedom of Information Act requests. It is employed by the section chiefs, the Director and Deputy Director of Operations, and other Division personnel to ascertain the progress and current status of cases and investigations within the Division. In addition, the files will be employed in the preparation of reports for the Division's budget requests and to the Attorney General and Congress.

A record maintained in this system, or any facts derived therefrom, may be disseminated in a proceeding before a court or adjudicative body before which the Antitrust Division is authorized to appear, when (1) the Antitrust Division, or any subdivision thereof; or (2) any employee of the Antitrust Division in his or her official capacity; or (3) any employee of the Antitrust Division in his or her individual capacity where the Department of Justice has agreed to represent the employee; or (4) the United States, or any agency or subdivision thereof; or (5) the United States, where the Antitrust Division determines that the litigation is likely to affect it or any of its subdivisions, is a party to litigation or has an interest in litigation and such records are determined by the Antitrust Division to be arguably relevant to the litigation.

Release of Information to the News Media:

Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available from systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Release of Information to Members of Congress:

Information contained in systems of records maintained by the Department of Justice, not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and at the request of the individual who is the subject of the record.

Release of information to the National Archives and Records Administration (NARA) and to the General Services Administration (GSA):

A record from a system of records may be disclosed as a routine use to NARA and GSA in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are maintained electronically in the Information systems support group's AMIS Computerized information system.

Retrievability:

Information is retrieved by a variety of key words.

Safeguards:

Information contained in the system is unclassified. It is safeguarded and protected in accordance with Department rules and procedures governing the handling of computerized information. Access to the file is limited to those persons whose official duties require such access and employees of the Antitrust Division.

Retention and disposal:

Information contained in the file is retained indefinitely.

System manager(s) and address:

Chief, Information Systems Support Group; Antitrust Division; U.S. Department of Justice; 555 4th Street NW., Room 11-854, Washington, DC 20001.

Notification procedure:

Address inquiries to the Assistant Attorney General, Antitrust Division, U.S. Department of Justice, 10th and Constitution Avenue, Washington, DC 20530.

Record source categories:

Information for the monthly reports is provided by the Antitrust Division section and filed office chiefs.

Systems exempted from certain provisions of the act:

The Attorney General has exempted this system from subsections (c)(3), (d), (e)(4)(G)-(H), and (f) of the Privacy Act pursuant to 5 U.S.C. 552a(k)(2). Rules have been promulgated in accordance with the requirements of 5 U.S.C. 553 (b), (c), and (e) and have been published in the Federal Register.

JUSTICE/ATR-007

System name:

Antitrust Division Case Cards.

System location:

U.S. Department of Justice, 10th and Constitution Avenue, NW., Washington, DC 20530.

Categories of individuals covered by the system:

Individual defendants in pending and terminated criminal and civil cases brought by the United States under the antitrust laws where the defendant's name appears in the case title.

Categories of records in the system:

This system contains an index reference to the case in which an individual (or corporation) is or was a defendant; included information is proper case name, the judicial district, number of the case, the commodity involved, each alleged violation, the section of the Antitrust Division responsible for the matter, and the disposition of the case.

Authority for maintenance of the system:

Authority for maintaining this system exists under 44 U.S.C. 3101 and 28 U.S.C. 522.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

This index is maintained for ready reference by Department personnel. It is utilized for referrals to case names, the preparation of speeches and to aid in determinations of the antitrust histories of companies.

A record maintained in this system, or any facts derived thereform, may be disseminated in a proceeding before a court or adjudicative body before which the Antitrust Division is authorized to appear, when (1) the Antitrust Division, or any subdivision thereof; or (2) any employee of the Antitrust Division in his or her official capacity; or (3) any employee of the Antitrust Division in his or her individual capacity where the Department of Justice has agreed to represent the employee; or (4) the United States, or any agency or subdivision thereof; or (5) the United States, where the Antitrust Division determines that the litigation is likely to affect it or any of its subdivisions, is a party to litigation or has an interest in litigation and such records are determined by the Antitrust Division to be arguably relevant to the litigation.

Release of information to the news media: Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available from systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Release of information to Members of Congress. Information contained in systems of records maintained by the Department of Justice, not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member of staff requests the information on behalf of and at the request of the individual who is the subject of the record.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Information contained in this system is maintained on index cards.

Retrievability:

Information is retrieved by case name.

Safeguards:

Information contained in the system is unclassified. During duty hours access to this system is monitored and controlled by Antitrust Division personnel in the area where the system is maintained. This area is locked during non-duty hours.

Retention and disposal:

Indefinite.

System manager(s) and address:

Chief, Freedom of Information Act/Privacy Act Unit, Antitrust Division, U.S. Department of Justice, 10th and Constitution Avenue, NW., Washington, DC 20530

Notification procedure:

Address inquiries to the Assistant Attorney General, Antitrust Division, U.S. Department of Justice, 10th and Constitution Avenue, NW., Washington, DC 20530.

Record access procedures:

Request for access to a record from this system should be made in writing and be clearly identified as a "Privacy Access Request." Included in the request should be the name of the defendant appearing in the title of the pending or terminated Government antitrust litigation. Requester should indicate a return address. Requests will be directed to the System Manager above.

Contesting record procedures:

Individuals desiring to contest or amend information maintained in the index should direct their request to the System Manager and state clearly and concisely what information is being contested, the reasons for contesing it, and the proposed amendment to be information sought.

Record source categories:

Sources of information maintained in the index are those records reflecting litigation conducted by the Antitrust Division.

Systems exempted from certain provisions of the act:

None.

JUSTICE/ATR-008

System name:

Freedom of Information/Privacy Requester/Subject Index File.

System location:

U.S. Department of Justice, 10th and Constitution Avenue, NW, Washington, DC 20530.

Categories of individuals covered by the system:

Individuals who have requested information under the Freedom of Information and Privacy Acts from files maintained by the Antitrust Division and individuals about whom material has been requested under the above acts.

Categories of records in the system:

This system contains a record of every FOIA/PA request made, along with the response, copies of documents which have been requested, and internal memoranda or other records related to the initial processing of such request, subsequent appeals and/or litigation.

Authority for maintenance of the system:

44 U.S. 3101 to implement the provisions of 5 U.S.C. 552 and 5 U.S.C. 552a.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

This index is maintained for ready reference by Division personnel for the identification of the subject matter of and persons originating Freedom of Information and Privacy Act requests. Such reference is utilized in aid of access to files, maintained by the Freedom of Information and Privacy Unit, for purposes of reference to requests on appeal, questions concerning pending or terminated requests, and compliance with requests similar or identical to past requests.

Release of information to the news media: Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available from the systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

A record maintained in this system, or any facts derived therefrom, may be disseminated in a proceeding before a court or adjudicative body before which the Antitrust Division is authorized to appear, when (1) the Antitrust Division, or any subdivision thereof; or (2) any employee of the Antitrust Division in his or her official capacity; or (3) any employee of the Antitrust Division in his or her individual capacity where the Department of Justice has agreed to represent the employee; or (4) the United States, or any agency or subdivision thereof; or (5) the United States, where the Antitrust Division determines that the litigation is likely to affect it or any of its subdivisions, is a party to litigation or has an interest in litigation and such records are determined by the Antitrust Division to be arguably relevant to the litigation.

Release of information to Members of Congress: Information contained in systems of records maintained by the Department of Justice not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and at the request of the individual who is the subject of the record.

Release of information to the National Archives and Records Administration: A record from a system of records may be disclosed as a routine use to the National Archives and Records Administration (NARA) in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper documents are stored in file folders; abbreviated or summarized information is stored on manual index cards and on magnetic disks and tapes.

Retrievability:

Request files are retrieved by case number or through a cross reference to the manual and automated indexes which are accessed by name. Summary data on requests received through July 31, 1983, is retrieved from the index cards; summary data as of August 1, 1983, is retrieved from magnetic disks and tapes. Summary data consists of such data elements as name of requester, date and subject of request, date assigned, response date (and a brief description of the response), case number, and date appealed, if applicable.

Safeguards:

Information contained in the system is unclassified. During duty hours access to this system is monitored and controlled by Antitrust Division personnel in the area where the system is maintained. The area is locked during non-duty hours. In addition, only Antitrust Division personnel who have a need for the information contained in the system have the appropriate password for access to the system.

Retention and disposal:

Indefinite.

System manager(s) and address:

Freedom of Information and Privacy Acts Control Officer, Antitrust Division, U.S. Department of Justice, 10th and Constitition Avenue, NW, Washington, D.C. 20530.

Notification procedure:

Address inquiries to the Assistant Attorney General, Antitrust Division, U.S. Department of Justice, 10th and Constitution Avenue, NW, Washington, D.C. 20530.

Record access procedures:

Request for access to a record from this system should be made in writing and be clearly identified as a "Privacy Access Request." Included in the request should be the name of the individuals having made the Freedom of Information request and/or the individual about whom the records were requested. Requesters should indicate a return address. Requesters will be directed to the System Manager shown above.

Contesting record procedures:

Individuals desiring to contest or amend information maintained in the index should direct their request to the System Manager and state clearly and concisely what information is being contested, the reasons for contesting it, and the proposed amendment to the information sought.

Record source categories:

Source of the information maintained in the system are those records derived from the receipt and processing of Freedom of Information and Privacy Act requests.

Systems exempted from certain provisions of the act:

The Attorney General has examined this system of records from subsections (c)(3), (d), (e)(4)(G) and (H), and (f) of the Privacy Act. This system is exempted pursuant to 5 U.S.C. 552a(k)(2) to the extent that the records contained in the system reflect Antitrust Division law enforcement and investigative information. Rules have been promulgated in accordance with the requirements of 5 U.S.C. 553(b), (c), and (e) and have been published in the Federal Rgister.

JUSTICE/ATR-009

System name: Public Compliants and Inquiries File

System location: U.S. Department of Justice, Washington, D.C. 20530 and field office locations as follows: 1776 Peachtree St., N.W., Suite 420, Atlanta, GA 30309; 2634 Everett M. Dirksen Bldg., 219 S. Dearborn St., Chicago, IL 60604; 995 Celebrezze Federal Bldg., 1240 E. 9th St., Cleveland, OH 44199; Earl Cabell Federal Bldg., Room 3101 Federal Bldg., Los Angeles, CA 90012; Room 3630, 26 Federal Plaza, New York, NY 10007; 3430 U.S. Courthouse, Independence Mall West, 601 Market St., Philadelphia, PA 19106; and 450 Golden Gate Ave., Box 36046, San Francisco, CA 94102.

Categories of individuals covered by the system: Members of the public who submit unsolicited complaints and inquiries to the Division on official business.

Categories of records in the system: The file will contain letters or notes of other contacts by members of the public.

Authority for maintenance of the system: The file will be established and maintained pursuant to 44 U.S.C. 3101 and 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The file will be used by Antitrust Division personnel to assure adequate response to initial and subsequent contacts by the same individuals or to other contacts regarding the same subject. Some of these contracts will also serve to further ongoing Antitrust investigations or to initiate an investigation for enforcement purposes. Complaints/inquiries may be referred to other federal or state and local agencies, only if deemed appropriate to assure complete action on the matter.

Release of information to members of Congress: Information contained in systems of records maintained by the Department of Justice, not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and at the request of the individual who is he subject of the record.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records will be maintained in the form in which they are originated, i.e., paper letters, notes and log sheets.

Retrievability: Information will be retrieved by name, subject matter and date.

Safeguards: Information contained in the system will be unclassified. Records will be maintained only in the offices of the Antitrust Division and accessed only by Division employees whose official duties require such access.

Retention and disposal: Records of contacts will be kept by individual name for one year, after which they will be destroyed. Copies of these contact records may be placed in a subject matter or case file if they contain substantive information on antitrust enforcement matters. Case and subject mater files are normally maintained for thirty years.

System manager(s) and address: Executive Officer, Antitrust Division, U.S. Department of Justice, Washington, D.C. 20530.

Notification procedure: Same as System Manager.

Record access procedures: Same as Notification.

Contesting record procedures: Same as Notification.

Record source categories: All information will be obtained from the complaining individuals themselves.

Systems exempted from certain provisions of the act: None.

BOARD OF IMMIGRATION APPEALS

JUSTICE/BIA-001

System name:

Decisions of the Board of Immigration Appeals.

System location:

5203 Leesburg Pike, Falls Church, Virginia 22041.

Categories of individuals covered by the system:

(a) Aliens, including those previously admitted for lawful permanent residence, in deportation proceedings; (b) Aliens and alleged aliens in exclusion proceedings; (c) Aliens seeking waivers of inadmissibility; (d) Aliens in bond determination proceedings; (e) Aliens in whose behalf a preference classification is sought.

Categories of records in the system:

This system of records consists of the formal orders and decisions of the Board of Immigration Appeals, including the indices and logs pertaining thereto.

Authority for maintenance of the system:

This system is established and maintained under the authority granted the Attorney General by sections 103 and 292 of the Immigration and Nationality Act, 8 U.S.C. 1103 and 1362. Such authority has been delegated to the Board of Immigration Appeals by 8 CFR Part 3.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The Decisions of the Board of Immigration Appeals are disseminated to the following categories of users for the purposes indicated:

(a) Parties appearing before the Board, (including the Immigration and Naturalization Service), their attorneys or other representatives. Purpose: Parties are entitled to the decision as a matter of due process; and in accordance with the requirements of 8 CFR 3.1(g).

(b) Other lawyers, organizations recognized to appear before the Immigration and Naturalization Service and their representatives. Purpose: To permit these users to be informed of current case law and general maintenance of open system of jurisprudence.

(c) Members of Congress. Purpose: Constituent inquires.

(d) General public. Purpose: Selected decisions, designated as precedent decisions pursuant to 8 CFR are published in bound volumes of Administrative Decisions Under Immigration and Nationality Laws of the United States. These are published to provide the public with guidance on the administrative interpretation of the immigration laws and to facilitate open and uniform adjudication of cases.

Release of information to the news media:

Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available from systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Release of information to Members of Congress.

Information contained in systems of records maintained by the Department of Justice, not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and at the request of the individual who is the subject of the record.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Information in the system is kept in typed form and stored in loose leaf binders.

Retrievability:

Each decision is indexed by name and a numerical identifier.

Safeguards:

Information contained in the records is unclassified and intended for wide dissemination. No specific safeguards to prevent unauthorized disclosure are employed since no type of disclosure is presently regarded as "unauthorized". Access to buildings in which records are stored is controlled by guards provided by GSA.

Retention and disposal:

Records are retained indefinitely and are not disposed of.

System manager(s) and address:

Executive Assistant, Board of Immigration Appeals, Department of Justice, Washington, D.C. 20530.

Notification procedure:

Same as the above.

Record access procedures:

Decisions of the Board of Immigration Appeals are available to anyone upon request pursuant to 5 U.S.C. 552a(b)(2).

Contesting record procedures:

Decisions of the Board of Immigration Appeals constitute official opinions and are not subject to correction or amendment except in accordance with accepted standards of due process. Decisions have been exempted from the correction provisions of 5 U.S.C. 552a(d).

Record source categories:

Sources of information contained in this system are provided primarily by the record of proceedings forwarded by the Immigration and Naturalization Service. Additionally, the person concerned and his representative provide information.

Systems exempted from certain provisions of the act:

The Attorney General has exempted this system from subsection (d)(2), (3) and (4) of the Privacy Act pursuant to 5 U.S.C. 552a(k)(2). Rules have been promulgated in accordance with the requirements of 5 U.S.C.553 (b), (c) and (e) and have been published in the Federal Register.

JUSTICE/BIA-002

System name: Roster of Organizations and their Accredited Representatives Recognized by the Board of Immigration Appeals.

System location: 5203 Leesburg Pike, Falls Church, Virginia 22041.

Categories of individuals covered by the system: (a) Persons associated in an official capacity with a recognized organization; (b) Persons who have applied for, have been granted or have been denied accreditation as representatives of recognized organizations.

Categories of records in the system: This system consists of (a) a roster of charitable, social service and similar organizations, and of their accredited representatives; (b) applications and related documents submitted by such organizations and their representatives and (c) orders of the Board of Immigration Appeals granting or denying recognition to such organizations and their representatives. Recognized organizations and their accredited representatives are authorized to practice before the Immigration and Naturalization Service and Board of Immigration Appeals.

Authority for maintenance of the system: This system is established and maintained under the authority granted the Attorney General by sections 103 and 292 of the Immigration and Nationality Act, 8 U.S.C. 1103 and 1362. Such authority has been delegated to the Board of Immigration Appeals by 8 CFR Part 292.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Copies of decisions granting or denying applications for recognition and accreditation are sent to (a) the organization seeking recognition and (b) the Immigration and Naturalization Service.

Release of information to the news media: Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available from systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Release of information to Members of Congress. Information contained in systems of records maintained by the Department of Justice, not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and at the request of the individual who is the subject of the record.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Information contained in the system is stored in file folders.

Retrievability: Information is retrieved by use of the name of the organization or person accredited.

Safeguards: Information contained in this record system is unclassified. Access to building in which records are stored is controlled by guards provided by GSA. No specific safeguards are employed.

Retention and disposal: Records in this system are retained indefinitely.

System manager(s) and address: Executive Assistant; Board of Immigration Appeals; Department of Justice; Washington, D.C. 20530.

Notification procedure: Address inquiries to: Chairman; Board of Immigration Appeals; Department of Justice; Washington, D.C. 20530.

Record access procedures: A request for access to a record from this system shall be made in writing, with the envelope and letter clearly marked "Privacy Access Request." Include in the request(s) the name of the organization which has sought, or has been granted or denied recognition and the name of the individual who has sought accreditation as a representative of such organization, or, where no organization is concerned, the name of the individual who has sought accreditation or recognition. The requester will provide a return address for transmitting the information. Access requests will be directed to the System Manager listed above.

Contesting record procedures: The procedures for contesting or amending information contained in this system of records is governed by 8 CFR Part 292. The procedures require that organizations seeking accreditation of their representatives be notified of adverse information and be given an opportunity to rebut such information.

Record source categories: Sources of information contained in this system are supplied by the organization seeking recognition, individuals seeking accreditation, and reports supplied by the Immigration and Naturalization Service.

Systems exempted from certain provisions of the act: None.

BUREAU OF PRISONS

JUSTICE/BOP-001

System name: Custodial and Security Record System.

System location: Records may be retained at any of the Bureau's facilities, the Regional Offices and the Central Office. All requests for records may be made to the Central Office: U.S. Bureau of Prisons, 320 First Street NW., Washington, D.C. 20534.

Categories of individuals covered by the system: Current and former inmates unde the custody of the Attorney General.

Categories of records in the system: (1)Conduct Records;(2) Escape Information; (3) Assault Information; (4) Disturbance Information; (5) Investigative Reports; (6) Social Data; (7) Bus Movements; (8) Transfers; (9) Emergency Plans; (10) Daily Activity Sheet; (11) Intelligence Information; (12) Segregation Reports and Log Book; (13) Special Offender List; (14) Physical Health Data; (15) Personal Property Records; (16) Identification and Sentence Data; (17) Records of Work and Housing Assignments; (18) Visiting and Mail Records; (19) Confidential Informant Information from Inmates, Staff, and Others; (20) Work and Study Release Information; (21) FBI Referral Record; (22) Rectal and X-ray Examination Record; (23) Phone Call Record.

Authority for maintenance of the system: This system is established and maintained under authority of 18 U.S.C. 4003, 4042, 4082.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of this system are (a) to provide information source and documented records of the protection given Federal inmates, and security in Federal penal facilities; (b) to provide information source to officers and employees of the Department of Justice who have a need for the information in the performance of their duties; (c) to provide information source to state and federal law enforcement officials for investigations, possible criminal prosecutions, civil court actions, or regulatory proceedings; (d) to provide information source for responding to inquiries from federal inmates involved or Congressional inquiries; (e) to provide information source for contracting or consulting correctional agencies who provide services to federal inmates; (f) to provide information relating to federal offenders to federal and state courts, court personnel, and probation officials.

Release of information to the news media: Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available from systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Release of information to Members of Congress: Information contained in systems of records maintained by the Department of Justice, not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and at the request of the individual who is the subject of the record.

Release of information to the National Archives and Records Administration: A record from a system of records may be disclosed as a routine use to the National Archives and Records Administration (NARA) in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Information maintained in the system is stored on documents.

Retrievability: Documents are indexed by name and/or register number.

Safeguards: Information is safeguarded in accordance with Bureau of Prisons rules governing access and release.

Retention and disposal: Records in this system are retained for a period of thirty (30) years after expiration of sentence, then destroyed by shredding.

System manager(s) and address: Chief, Management and Information Systems Group; U.S. Bureau of Prisons; 320 First Street NW., Washington, D.C. 20534.

Notification procedure: Address inquiries to: Director; Bureau of Prisons, 320 First Street NW., Washington, D.C. 20534. The major part of this system is exempt from this requirement under 5 U.S.C. 552a (j). Inquiries concerning this system should be directed to the System Manager listed above.

Record access procedures: The major part of this system is exempt from this requirement under 5 U.S.C. 552a (j). To the extent that this system of records is not subject to exemption, it is subject to access and contest. A determination as to exemption shall be made at the time a request for access is received.

Contesting record procedures: Same as the above.

Record source categories: (1) Inmates; (2) Federal Law Enforcement Agencies; (3) State and Federal Probation Services; (4) Non-Federal Law Enforcement Agencies; (5) Educational Institution (Study Release); (6) Relatives, friends, and other interested community individuals; (7) Former or Future Employers; (8) Evaluation, Observations, and Findings of Institutional Staff; (9) Foreign Law Enforcement Agencies.

Systems exempted from certain provisions of the act: The Attorney General has exempted this system from subsections (c)(3) and (4), (d), (e)(2) and (3), (e)(4)(H), (e)(8), (f) and (g) of the Privacy Act pursuant to 5 U.S.C. 552a (j). Rules have been promulgated in accordance with the requirements of 5 U.S.C. 553(b), (c) and (e) and have been published in the Federal Register.

JUSTICE/BOP-002

System name: Freedom of Information Act Record System

System location: Records may be retained at any of the Bureau's facilities, the Regional Offices and the Central Office. All requests for records may be made to the Central Office: U. S. Bureau of Prisons; 320 First Street, NW, Washington, D.C. 20534.

Categories of individuals covered by the system: Current and former inmates under the custody of the Attorney General.

Categories of records in the system: (1) Administrative requests and responses to requests for information and records under 5 U.S.C. 552; (2) Personal data; (3) Litigation reports; (4) Litigation pleadings and court decisions; (5) Reports made in preparation for litigation.

Authority for maintenance of the system: This system is established and maintained under authority of 5 U.S.C. 552.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of this system are: (a) To maintain public records concerning the processing and determination of requests for information made pursuant to the Freedom of Information Act 5 U.S.C. 552; (b) to provide documentation of receipt and processing requests for information made pursuant to the Freedom of Information Act for purposes of litigation of contested denial of release of information; (c) to furnish information to employees of the Department of Justice who have a need for information from the system in performance of their duties; (d) to provide information relating to federal offenders and state courts, court personnel, and probation officials.

Release of information to the news media: Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available from systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Release of information to Members of Congress. Information contained in systems of records maintained by the Department of Justice, not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and at the request of the individual who is the subject of the record.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Release of information to the National Archives and Records Administration: A record from a system of records may be disclosed as a routine use to the National Archives and Records Administration (NARA) in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Information maintained in the system is stored on documents.

Retrievability: Documents are indexed by name and/or register number.

Safeguards: Information is safeguarded in accordance with Bureau of Prisons rules governing access and release.

Retention and disposal: Records in this system are retained for a period of ten (10) years after expiration of sentence, then destroyed by shredding.

System manager(s) and address: Chief, Management and Information Systems Group; U. S. Bureau of Prisons; 320 First Street, NW, Washington, D.C. 20534.

Notification procedure: Address inquiries to: Director; Bureau of Prisons; 320 First Street, NW, Washington, D.C. 20534.

Record access procedures: Same as the above.

Contesting record procedures: Same as the above.

Record source categories: (1) Inmates; (2) Department of Justice Employees; (3) State and Federal Law Enforcement Agencies; (4) Courts; (5) Attorneys.

Systems exempted from certain provisions of the act: None.

JUSTICE/BOP-003

System name: Industrial Inmate Employment Record System.

System location: Records may be retained at any of the Bureau's facilities, the Regional Offices and the Central Office. All requests for records may be made to the Central Office: U.S. Bureau of Prisons; 320 First Street NW, Washington, D.C. 20534.

Categories of individuals covered by the system: Current and former inmates under the custody of the Attorney General.

Categories of records in the system: (1) Inmate assignment records; (2) Time and Attendance Reports; (3) Work Performance Reports; (4) Payroll Records.

Authority for maintenance of the system: This system is established and maintained under authority of 31 U.S.C. 841; 18 U.S.C. 4002, 4121 et seq.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of this system are: (a) To determine compensation of inmates pursuant to 18 U.S.C 4002, 4126, 4125, 4121 et seq.; (b) to record employment history of an inmate within the Federal Prison Industries, Inc.; (c) to record disbursement of Federal Prison Industries, Inc., funds for payroll purposes; (d) to evaluate effectiveness of industrial training of inmates; (e) to evaluate authenticity of Federal Prison Industries, inc., accounting records; (f) to provide information source to officers and employees of the Department of Justice who have need for information in the performance of their duties; (g) to provide information sources to state and federal law enforcement officials for investigations, possible criminal prosecution, civil court actions, or regulatory proceedings; (h) to provide information relating to federal offenders to federal and state courts, court personnel, and probation officials.

Release of information to the news media: Information permitted to be released to news media and the public pursuant to 28 CFR 50.2 may be made available from systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Release of information to Members of Congress: Information contained in systems of records maintained by the Department of Justice, not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and at the request of the individual who is the subject of the record.

Release of information to the National Archives and Records Service: A record from a system of records may be disclosed as a routine use to the National Archives and Records Administration (NARA) in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Information maintained in the system is stored on documents, magnetic tape, magnetic disk, tab cards, and microfilm.

Retrievability: (1) Documents, Tab Cards and Microfilm—Information is indexed by name and/or register number. (2) Magnetic Tape and Disk—information is indexed by Name, Register Number, Social Security Number, and FBI Number.

Safeguards: Information is safeguarded in accordance with Bureau of Prisons rule governing access and release.

Retention and disposal: Records in this system are retained for a period of thirty (30) years after expiration of sentence, then destroyed by shredding.

System manager(s) and address: Chief, Management and Information Systems Group; U.S. Bureau of Prisons; 320 First Street, NW, Washington, D.C. 20534.

Notification procedure: Address inquiries to: Director; Bureau of Prisons, 320 First Street, NW, Washington, D.C. 20534. The major part of this system is exempt from this requirement under 5 U.S.C. 552a (j). Inquiries concerning this system should be directed to the System Manager listed above.

Record access procedures: The major part of this system is exempt from this requirement under 5 U.S.C. 552a (j). To the extent that this system of records is not subject to exemption, it is subject to access and contest. A determination as to exemption shall be made at the time a request for access is received.

Contesting record procedures: Same as the above.

Record source categories: (1) The inmate; (2) Bureau of Prisons/ Federal Prison Industries staff members; (3) U.S. Treasury Department.

Systems exempted from certain provisions of the act: The Attorney General has exempted this system from subsections (c)(3) and (4), (d), (e)(2) and (3), (e)(4)(H), (e)(8), (f) and (g) of the Privacy Act pursuant to 5 U.S.C. 552a (j). Rules have been promulgated in accordance with the requirements of 5 U.S.C. 553 (b), (c) and (e) and have been published in the Federal Register.

JUSTICE/BOP-004

System name: Inmate Administrative Remedy Record System.

System location: Records may be retained at any of the Bureau's facilities, the Regional Offices and the Central Office. All requests for records may be made to the Central Office: U.S. Bureau of Prisons, 320 First Street NW, Washington, D.C. 20534.

Categories of individuals covered by the system: Current and former inmates under the custody of the Attorney General.

Categories of records in the system: (1) ARS records include information on the current offense and sentence; (2) Prior criminal record; (3) Social background; (4) Institution adjustment; (5) Institution program data; (6) Medical information; (7) Personal property data.

Authority for maintenance of the system: The system is established and maintained under authority of 18 U.S.C. 4042.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of this system are: (a) To maintain records of receipt, processing and responses to grievances filed by inmates; (b) to provide source of information for reconsideration or amendment of Federal Prison System policy with regard to its operation; (c) to maintain source of information as to the exhaustion of administrative remedies for purposes of civil suits filed against the Federal Prison System by inmates; (d) to provide source of information for purposes of defending civil actions filed against the Federal Prison System by inmates; (e) to provide source of infomration for statistical reports furnished to Federal Courts for purpose of determining effectiveness of the Administrative Remedy Program in reducing the baclog of cases in Federal Court; (f) furnished to employees of the Department of Justice who have a need for the information in the performance of their duties; (g) furnished to appropriate law enforcement authorities, state and federal, for investigation and possible criminal prosecution, civil court action, or regulatory proceedings.

Release of information to the news media: Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available from systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Release of information to Members of Congress: Information contained in systems of records maintained by the Department of Justice, not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and at the request of the individual who is the subject of the record.

Release of information to the National Archives and Records Administration: A record from a system of reords may be disclosed as a routine use to the National Archives and Records Adminostration (NARA) in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Information maintained in the system is stored on documents.

Retrievability: Documents are indexed by name and/or register number.

Safeguards: Information is safeguarded in accordance with Bureau of Prisons rules governing access and release.

Retention and disposal: Records in this system are retained for a period of thirty (30) years after expiration of sentence, then destroyed by shredding.

System manager(s) and address: Chief, Management and Information Systems Group, U.S. Bureau of Prisons, 320 First Street NW, Washington, D.C. 20534.

Notification procedure: Address inquiries to: Director, Bureau of Prisons; 320 First Street NW., Washington, D.C. 20534. The major part of this system is exempt from this requirement under 5 U.S.C. 552a (j). Inquiries concerning this system shoud be directed to the System Manager listed above.

Record access procedures: The major part of this system is exempt from this requirement under 5 U.S.C. 552a (j). To the extent that this system of records is not subject to exemption, it is subject to access and contest. A determination as to exemption shall be made at the time a request for access is received.

Contesting record procedures: Same as the above.

Record source categories: (1) ARS records sources include inmates, employees; (2) U.S. Department of Justice and its Bureaus; (3) U.S. Courts.

Systems exempted from certain provisions of the act: The Attorney General has exempted this system from subsections (c) (3) and (4), (d), (e) (2) and (3), (e)(4)(H), (e)(8), (f) and (g) of the Privacy Act pursuant to 5 U.S.C. 552a (j). Rules have been promulgated in accordance with the requirements of 5 U.S.C. 553 (b), (c) and (e) and have been published in the Federal Register.

JUSTICE/BOP-005

System name:

Inmate Central Records System.

System location:

Records may be retained at any of the Bureau's facilities, the Regional Offices and the Central Office. All requests for records may be made to the Central Office: U.S. Bureau of Prisons (BOP), 320 First Street, NW, Washington, D.C. 20534.

Categories of individuals covered by the system:

Current and former inmates under the custody of the Attorney General.

Categories of records in the system:

(1) Computation of sentence and supporting documentation; (2) Correspondence concerning pending charges, and wanted status, including warrants; (3) Requests from other federal and non-federal law enforcement agencies for notification prior to release; (4) Records of the allowance, forfeiture, withholding and restoration of good time; (5) Information concerning present offense, prior criminal background, sentence and parole from the U.S. Attorneys, the Federal courts, and federal prosecuting agencies; (6) Identification data, physical description, photograph and fingerprints; (7) Order of designation of institution of original commitment; (8) Records and reports of work and housing assignments; (9) Program selection, assignment and performance adjustment/progress reports; (10) Conduct Records; (11) Social background; (12) Educational data; (13) Physical and mental health data; (14) Parole Board orders actions and related forms; (15) Correspondence regarding release planning, adjustment and violations; (16) Transfer orders; (17) Mail and visit records; (18) Personal property records; (19) Safety reports and rules; (20) Release processing forms and certificates; (21) Interview request forms from inmates; (22) General correspondence; (23) Copies of inmate court petitions.

Authority for maintenance of the system:

This system is established and maintained under authority of 18 U.S.C. 4003, 4042, 4082.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

This system contains records of the classification, care, subsistence, protection, discipline, and programs, and other information relating to persons committed to the custody of the Attorney General. The routine uses of this system are (a) to provide an information source to officers and employees of the Department of Justice who have a need for the information in the performance of their duties; (b) to provide an information source to law enforcement officials for investigations, criminal prosecutions, civil court actions, or regulatory proceedings; (c) to provide an information source for disclosure of information on matters solely of general public record, such as name, offense, sentence data, and release date; (d) to disclose information to contracting or consulting or correctional agencies that provide correctional services for federal inmates; (e) to provide an information source for responding to inquiries from federal inmates invlved or congressional inquiries; (f) to provide information relating to federal offenders to the courts, including court officials and probation officers; (g) to provide victims and/or witnesses, pursuant to victim/witness federal legislation and policy, information relating to an inmate's furlough, parole (including appearance before the Parole Commission), transfer to a community treatment facility, mandatory release, expiration of sentence, escape (including apprehension), death, and other such release-related information; (h) to provide state agencies or authorities, pursuant to Pub. L. 98–135, identifying data of BOP inmates for the purpose of matching the data against state records to review the eligibility of these inmates for unemployment compensation; the requesting state is to erase the BOP data after this determination has been made; (i) to provide the Social Security Administration (SSA), pursuant to Pub. L. 96–473, identifying data of BOP inmates for the purpose of matching the data against SSA records to enable the SSA to determine the eligibility of BOP inmates to receive benefits under the Social Security Act; SSA is to erase the BOP data after the match has been made; (j) to provide the Veterans Administration (VA), pursuant to Pub. L. 96–385, identifying data of BOP inmates for the purpose of matching the data against VA records to determine the eligibility of BOP inmates to receive veterans' benefits; the VA is to erase the BOP data after the match has been made; (k) to provide information from an inmate record to an employee, former employee, or his or her designated representative when such information is included in the employee's or former employee's adverse or disciplinary personnel action file with respect to proposed adverse or disciplinary personnel action against that employee or former employee; the employee's or former employee's adverse or disciplinary personnel action file is covered by a government-wide system of records published by the Office of Personnel Management (OPM) entitled "Adverse Action Records, OPM/GOVT–3;" to protect the privacy of the inmate, information transferred to the employee's or former employee's adverse or disciplinary personnel action file will be sanitized as warranted and/or appropriate protective orders may be requested to prevent further dissemination; and (l) to provide an employee, former employee, or his or her designated representative information from an inmate record pursuant to regulations or order of any body properly trying the merits of an adverse or disciplinary personnel action, including an administrative agency, arbitrator, or court of competent jurisdiction; to protect the privacy of the inmate, information provided the employee, former employee, or his or her designated representative will be sanitized as warranted and/or appropriate protective orders may be requested to prevent further dissemination.

Release of information to the news media:

Information which may be released to the news media and the public pursuant to 28 CFR 50.2 may be made available from systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Release of information to members of congress:

Information contained in systems of records maintained by the Department of Justice, not otherwise required to be released pursuant to 5 U.S.C. 552 may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and at the request of the individual who is the subject of the record.

Release of information to the National Archives and Records Administration:

A record from a system of records may be disclosed as a routine use to the National Archives and Records Administration (NARA) in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Information maintained in the system is stored on documents, magnetic tape, magnetic disk, tab cards, and microfilm.

Retrievability:

(1) Documents, Tab Cards and Microfilm--Information is indexed by name and/or register number. (2) Magnetic Tape and Disk—Information is indexed by Name, Register Number, Social Security Number, and FBI Number.

Safeguards:

Information is safeguarded in accordance with Bureau of Prisons rule governing access and release.

Retention and disposal:

Records of a sentenced inmate are retained for a period of thirty (30) years after expiration of sentence, then destroyed by shredding. Records of an unsentenced inmate are retained for a period of ten (10) years after the inmate's release from confinement, then destroyed by shredding.

System manager(s) and address:

Chief, Management and Information Systems Group; U.S. Bureau of Prisons; 320 First Street, NW, Washington, D.C. 20534.

Notification procedure:

Address inquiries to: Director, Bureau of Prisons; 320 First Street, NW, Washington, D.C. 20534. The major part of this system is exempt from this requirement under 5 U.S.C. 552a(j). Inquiries concerning this system should be directed to the System Manager listed above.

Record access procedures:

The major part of this system is exempt from the requirements of 5 U.S.C. 552a(j). To the extent that this system of records is not subject to exemption, it is subject to access and contest. A determination as to exemption shall be made at the time a request for access is received.

Contesting record procedures:

Same as the above.

Record source categories:

(1) Individual inmate: (2) Federal law enforcement agencies and personnel; (3) State and federal probation services; (4) Non-federal law enforcement agencies; (5) Educational institutions; (6) Hospital or medical sources; (7) Relatives, friends and other interested individuals or groups in the community; (8) Former or future employers; (9) Evaluations, observations, reports, and findings of institution supervisors, counselors, boards and committees.

Systems exempted from certain provisions of the act:

The Attorney General has exempted this system from subsections (c) (3) and (4), (d), (e) (2) and (3), (e)(4)(H), (e)(8), (f) and (g) of the Privacy Act pursuant to 5 U.S.C. 552a(j). Rules have been promulgated in accordance with the requirements of 5 U.S.C. 553 (b), (c) and (e) and have been published in the Federal Register.

JUSTICE/BOP–006

System name: Inmate Commissary Accounts Record System

System location: Records may be retained at any of the Bureau's facilities, the Regional Offices and the Central Office. All requests for records may be made to the Central Office: U. S. Bureau of Prisons; 320 First Street, NW, Washington, D.C. 20534.

Categories of individuals covered by the system: Current and former inmates under the custody of the Attorney General.

Categories of records in the system: (1) Financial data; (2) Identification data. Both categories of records will be automated. The Bureau facilities will have responsibility for their maintenance. The records will be accessible by the telecommunications means of BOP facilities, Regional Offices and the Central Office.

Authority for maintenance of the system: This system is established and maintained under authority of 18 U.S.C. 4042.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of this system are: (a) To maintain financial accounting of payments into and out of inmate trust fund accounts; (b) to provide accounts of inmate trust fund accounts for purposes of verifying pauper status under 28 U.S.C. 1915; (c) to provide information source to officers and employees of the Department of Justice who have need for information in the performance of their duties; (d) to provide information source to state and federal law enforcement officials for investigations, possible criminal prosecutions, civil court actions, or regulatory proceedings.

Release of information to the news media: Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available from systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Release of information to Members of Congress. Information contained in systems of records maintained by the Department of Justice, not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and at the request of the individual who is the subject of the record.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Release of information to the National Archives and Records Administration: A record from a system of records may be disclosed as a routine use to the National Archives and Records Administration (NARA) in records management inspections conducted under the authorities of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Information maintained in the system will be stored on documents electronically on the Department of Justice Computer System separate from the BOP Central Office.

Retrievability: Information on the automated system will be indexed by name and/or register number.

Safeguards: The Inmate Commissary Accounts Record System will be protected by both physical security methods and dissemination and access controls. Access to this information will be limited to those persons with a demonstrated and lawful need to know, in order to perform assigned functions.

Protection of the automated system will be provided by physical, procedural and electronic means. The files will reside on the Department of Justice Computer System which is physically attended or guarded on a full-time basis. For retrieval purpose, access to active telecommunications terminals will be limited to those persons with a demonstrated need to know. For update purposes, access to the files will be limited to BOP facilities employees, as required in the performance of their assigned duties. Surreptitious access to an unattended terminal will be precluded by a complex authentication procedure. The procedure will be provided only to authorized BOP employees.

An automated log of queries will be maintained for each terminal. Improper procedure will result in no access, and under certain conditions complete lockout of the terminal, pending restoration by the master controller at the BOP Central Office after appropriate verification has been received. Unattended terminals, after normal office hours, will be electronically disconnected by the master controller at the BOP Central Office. All terminals will have key locks and will be located in lockable facilities.

Retention and disposal: Records in this system will be retained for a period of ten (10) years after expiration of sentence, then destroyed by electronic means.

System manager(s) and address: Chief, Management and Information Systems Group; U. S. Bureau of Prisons; 320 First Street, NW, Washington, D.C. 20534.

Notification procedure: Address inquiries to: Director; Bureau of Prisons; 320 First Street, NW, Washington, D.C. 20534. The major part of this system is exempt from this requirement under 5 U.S.C. 552a(j). Inquiries concerning this system should be directed to the System Manager listed above.

Record access procedures: The major part of this system is exempt from this requirement under 5 U.S.C. 552a (j). To the extent that this system of records is not subject to exemption, it is subject to access and contest. A determination as to exemption shall be made at the time a request for access is received.

Contesting record procedures: Same as the above.

Record source categories: (1) Inmates;(2) Department of Justice employees.

Systems exempted from certain provisions of the act: The Attorney General has exempted this system from subsections (c)(3) and (4), (d), (e)(2) and (3), (e)(4)(H), (e)(8), (f) and (g) of the Privacy Act pursuant to 5 U.S.C. 552a (j). Rules have been promulgated in accordance with the requirements of 5 U.S.C. 553(b), (c) and (e) and been published in the Federal Register.

JUSTICE/BOP-007

System name: Inmate Physical and Mental Health Record System.

System location: Records may be retained at any of the Bureau's facilities, the Regional Offices and the Central Office. All requests for records may be made to the Central Office: U.S. Bureau of Prisons, 320 First Street NW, Washington, D.C. 20534.

Categories of individuals covered by the system: Current and former inmates under the custody of the Attorney General.

Categories of records in the system: (1) Medical history and examination (past and present); (2) Dental history and examination (past and present); (3) Medical information concerning deaths of inmates; (4) Offense; (5) Mental Health and Drug Abuse interview and testing data, generated in Bureau of Prisons; (6) Mental Health information generated outside Bureau of Prisons by other corrections agencies, mental hospitals, private therapists, etc.; (7) information as per (5) and (6) above on unsentenced individuals committed under Title 18, sections 4244 and 4246; (8) Mental Health Treatment progress notes and observations made by other staff members; (9) Urine surveillance reports of drug program participants.

Authority for maintenance of the system: The system is established and maintained under authority of 18 U.S.C. 4003, 4042, 4082.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of this system are: (a) To provide documented records of the diagnosis, treatment, and cure of illnesses of persons committed to the custody of the Attorney General pursuant to 18 U.S.C. 4082; (b) to provide documented records and background medical, mental, or dental history to contracting, or consulting physicians, psychologists and psychiatrists, and dentists, or other specialists, for diagnosis, treatment and care of federal inmates; (c) to provide information source to officers and employees of the Department of Justice who have a need for the information in the performance of their duties; (d) to provide information source for disclosure to state and federal law enforcement officials for investigations, possible criminal prosecutions, civil court actions, or regulatory proceedings; (e) to provide information source for responding to inquiries from federal inmates or Congressional inquiries; (f) to provide information relating to federal offenders to federal and state courts, court personnel, and probation officials; (g) to provide medical information relevant to the treatment being provided by physicans, psychiatrists, psychologists, state and federal medical facility personnel, other medical agencies and etc., providing treatment for a pre-existing condition for ex-federal offenders.

Release of information to the news media: Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available from systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Release of information to Members of Congress: Information contained in systems of records maintained by the Department of Justice, not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and at the request of the individual who is the subject of the record.

Release of information to the National Archives and Records Administration: A record from a system of records may be disclosed as a routine use to the National Archives and Records Administrartion (NARA) in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Information maintained in the system is stored on documents, magnetic tape, magnetic disk, tab cards, and microfilm.

Retrievability: (1) Documents, Tab Cards, and Microfilm—Information is indexed by name and/or register number—(2) Magnetic Tape and Disk—Information is indexed by name, register number, social security number, and FBI number.

Safeguards: Information is safeguarded in accordance with Bureau of Prisons rules governing access and release.

Retention and disposal: Records in this system are retained for a period of thirty (30) years after expiration of sentence, then destroyed by shredding.

System manager(s) and address: Chief, Management and Information Systems Group, U.S. Bureau of Prisons; 320 First Street NW, Washington, D.C. 20534.

Notification procedure: Address inquiries to: Director, Bureau of Prisons; 320 First Street NW, Washington, D.C. 20534. The major part of this system is exempt from this requirement under 5 U.S.C. 552a (j). Inquiries concerning this system shoud be directed to the System Manager listed above.

Record access procedures: The major part of this system is exempt from this requirement under 5 U.S.C. 552a (j). To the extent that this system of records is not subject to exemption, it is subject to access and contest. A determination as to exemptions shall be made at the time a request for access is received.

Contesting record procedures: Same as the above.

Record source categories: (1) Individual; (2) Hospital and/or medical sources; (3) Pre-sentence reports; (4) Other mental health care giving agencies; (5) Observation reports from other Bureau of Prisons staff.

Systems exempted from certain provisions of the act: The Attorney General has exempted this system from subsections (c)(3) and (4), (d), (e)(2) and (3), (e)(4)(H), (e)(8), (f) and (g) of the Privacy Act pursuant to 5 U.S.C. 552a (j). Rules have been promulgated in accordance with the requirements of 5 U.S.C. 553(b), (c) and (e) and have been published in the Federal Register.

JUSTICE/BOP-008

System name: Inmate Safety and Accident Compensation Record System.

System location: Records may be retained at any of the Bureau's facilities, the Regional Offices and the Central Office. All requests for records may be made to the Central Office: U.S. Bureau of Prisons; 320 First Street, NW, Washington, D.C. 20534.

Categories of individuals covered by the system: Current and former inmates under the custody of the Attorney General.

Categories of records in the system: Inmate accident/injuries data sustained by: (a) Work related accidents; (b) Recreational injuries; (c) Vehicle accidents; (d) Assaults; (e) Other non-work accident/injuries.

Authority for maintenance of the system: This system is established and maintained under authority of 18 U.S.C. 4003, 4042, 4082.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of this system are: (a) To provide a documented record of inmate accidents, injuries, for the purpose of measuring safety programs effectiveness; (b) to provide information source for compliance with the Occupational Safety and Health Act; (c) to provide documented records of inmate accidents, injuries, and disabilities for adjudication of claims by inmates filed pursuant to the Inmate Accident Compensation System, 18 U.S.C. 4126; Chapter III, Federal Prisons Industries, 28 CFR Part 301; (d) furnished to employees of the Department of Justice who require information from these records for performance of their duty; (e) to provide background information and litigation reports to United States Attorneys for purpose of defending civil actions filed against the Bureau of Prisons; (f) furnished to consultant physicians treating inmates following release from custody for the purpose of providing prior medical history in conjunction with further treatment of the individual inmate; (g) to provide documented records for disclosure to appropriate law enforcement authorities, state or federal, for investigation and possible criminal prosecution, civil court action, or regulatory proceeding; (h) to provide information source for responding to inquiries from the inmate involved or Congrressional inquiries; (i) to provide information relating to federal offenders to federal and state courts, court personnel, and probation officials.

Release of information to the news media: Information permitted to be released to news media and the public pursuant to 28 CFR 50.2 may be made available from systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Release of information to Members of Congress: Information contained in systems of records maintained by the Department of Justice, not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and at the request of the individual who is the subject of the record.

Release of information to the National Archives and Records Administration: A record from a system of records may be disclosed as a routine use to the National Archives and Records Administration (NARA) in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Information maintained in the system is stored on documents, magnetic tape, magnetic disk, tab cards, and microfilm.

Retrievability: Documents are indexed by name and/or register number.

Safeguards:

Information is safeguarded in accordance with Bureau of Prisons rule governing access and release.

Retention and disposal: Records in this system are retained for a period of thirty (30) years after expiration of sentence, then destroyed by shredding.

System manager(s) and address: Chief, Management and Information Systems Group; U.S. Bureau of Prisons; 320 First Street, NW, Washington, D.C. 20534.

Notification procedure: Address inquiries to: Director; Bureau of Prisons; 320 First Street, NW, Washington, D.C. 20534. The major part of this system is exempt from this requirement under 5 U.S.C. 552a (j). Inquiries concerning this system should be directed to the System Manager listed above.

Record access procedures: The major part of this system is exempt from this requirement under 5 U.S.C. 552a(j). To the extent that this system of records is not subject to exemption, it is subject to access and contest. A determination as to exemption shall be made at the time a request for access is received.

Contesting record procedures: Same as the above.

Record source categories: (1) The inmate; (2) Bureau of Prisons staff members; (3) Medical staff members and medical consultants; (4) U.S. Probation Officers; (5) Attorneys; (6) Relatives of inmates; (7) Inquiries and replies to Congressmen; (8) U.S. Attorneys.

Systems exempted from certain provisions of the act: The Attorney General has exempted this system from subsections (c)(3) and (4), (d), (e)(2) and (3), (e)(4)(H), (e)(8), (f) and (g) of the Privacy Act pursuant to 5 U.S.C. 552a (j). Rules have been promulgated in accordance with the requirements of 5 U.S.C. 553(b), (c) and (e) and have been published in the Federal Register.

JUSTICE/BOP-009

System name: Federal Tort Claims Act Record System.

System location: Records may be retained at any of the Bureau's facilities, the Regional Offices and the Central Office. All requests for records may be made to the Central Office: U.S. Bureau of Prisons; 320 First Street NW, Washington, D.C 20534.

Categories of individuals covered by the system: Current and former inmates under the custody of the Attorney General.

Categories of records in the system: (1) Administrative Tort claims and supporting documents; (2) Personal data; (3) Investigative reports; (4) Medical reports; (5) Property records; (6) Litigation reports; (7) Reports made in preparation of litigation; (8) Social and Criminal Background; (9) Employment History; (10) Correspondence; (11) Litigation Pleadings and Court Decisions.

Authority for maintenance of the system: The system is established and maintained under authority of 28 U.S.C. 2671 et seq. FTCA.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of this system are: (a) To provide information source for purposes of adjudicating claims for personal injury and property damages pursuant to the Federal Tort Claims Act, 28 U.S.C. 2675; (b) to provide information source for purposes of preparing reports concerning litigation in United States Courts under the Federal Tort Claims Act, 28 U.S.C. 2671 et seq; (c) to provide information source that is furnished to counsel for claimants under the Federal Tort Claims Act; (d) to provide information source that is furnished to medical officials when requested by claimants under the Federal Tort Claims Act; (e) to provide information source that is disclosed to employees of the Department of Justice who have a need for the information in the performance of their duties; (f) to provide information source to state and federal law enforcement officials for the purpose of investigations, possible criminal prosecutions, civil court actions, or regulatroy proceedings; (g) to provide information relating to federal offenders to federal and state courts, court personnel, and probation officials.

Release of information to the news media: Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available from systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Release of information to Members of Congress: Information contained in systems of records maintained by the Department of Justice, not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and at the request of the individual who is the subject of the record.

Release of information to the National Archives and Records Administration: A record from a system of records may be disclosed as a routine use to the National Archives and Records Administration (NARA) in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Information maintained in the system is stored on documents.

Retrievability: Documents are indexed by name and/or register number.

Safeguards: Information is safeguarded in accordance with Bureau of Prisons rules governing access and release.

Retention and disposal: Records in this system are retained for a period of thirty (30) years after expiration of sentence, then destroyed by shredding.

System manager(s) and address: Chief, Management and Information Systems Group; U.S. Bureau of Prisons; 320 First Street NW, Washington, D.C. 20534.

Notification procedure: Address inquiries to: Director, Bureau of Prisons; 320 First Street NW, Washington, D.C. 20534. The major part of this system is exempt from this requirement under 5 U.S.C. 552a(j). Inquiries concerning this system shoud be directed to the System Manager listed above.

Record access procedures: The major part of this system is exempt from this requirement under 5 U.S.C. 552a (j). To the extent that this system of records is not subject to exemption, it is subject to access and contest. A determination as to exemptions shall be made at the time a request for access is received.

Contesting record procedures: Same as the above.

Record source categories: (1) Inmates; (2) Department of Justice Employees; (3) U.S. Probation Service; (4) Contract and Consulting Physicians Including Hospitals; (5) Attorneys; (6) Relatives and friends of Inmates; (7) Congress; (8) State and Federal Law Enforcement Agencies.

Systems exempted from certain provisions of the act: The Attorney General has exempted this system from subsections (c)(3) and (4), (d), (e)(2) and (3), (e)(4)(H), (e)(8), (f) and (g) of the Privacy Act pursuant to 5 U.S.C. 552a(j). Rules have been promulgated in accordance with the requirements of 5 U.S.C. 553(b), (c) and (e)

JUSTICE/BOP-101

System name:

National Institute of Corrections Technical Assistance Resource Persons Directory.

System location:

Records will be retained at either the National Institute of Corrections (NIC), 320 First Street, NW, Washington, D.C. 20534 or at 1790 30th Street, Suite 140, Boulder, Colorado 80301.

Categories of individuals covered by the system:

Persons who have been identified and have agreed to provide technical assistance to state and local correctional agencies in order to strengthen and improve the practice of corrections.

Categories of records in the system:

(1) Resume of individual including educational and work experience information; (2) Expertise checklist completed by named individual; and (3) Salary statement provided by named individual.

Authority for maintenance of the system:

This system is established and maintained under the authority of 18 U.S.C. 4352(a).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The routine uses of this system are: (a) To provide an information source to officers and employees of the Department of Justice who have a need for the information in the performance of their duties; (b) to provide an information source to Federal, state, and local correctional and law enforcement officials who have a need for technical assistance in corrections; and (c) to provide an information source for individuals or groups who request information or technical assistance in corrections, including, but not limited to, members of Congress, architects of prisons, newspaper reporters, public and private social service organizations, and students.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Information maintained in the system may be stored on documents, magnetic tape, and magnetic disk.

Retrievability:

Information is indexed by name and areas of expertise.

Safeguards:

Information is safeguarded in accordance with Bureau of Prisons rules governing access and release.

Retention and disposal:

All records will be maintained until either the individual notifies NIC that he or she no longer desires to provide technical assistance or until NIC determines to delete a name from the list. If deleted for any reason, records will be destroyed by shredding.

System manager(s) and address:

Technical Assistance Manager, National Institute of Corrections, 320 First Street, NW, Washington, D.C. 20534.

Notification procedure:

Address inquiries to: Director, National Institute of Corrections, 320 First Street, NW, Washington, D.C. 20534.

Record access procedures:

Same as notification procedure.

Contesting record procedures:

Same as notification procedure.

Record source categories:

All information is obtained from the individual named in the list.

Systems exempted from certain provisions of the act:

None.

JUSTICE/BOP-102

System name:

National Institute of Corrections Field Readers List.

System location:

Records will be retained at the National Institute of Corrections (NIC); 320 First Street, NW, Washington, D.C. 20534.

Categories of individuals covered by the system:

Persons with expertise in a field of corrections who have been approved by the Advisory Board of NIC and who have agreed to review applications for grants where the amount of the award exceeds 100,000 dollars or where a substantial personal conflict of interest is indicated.

Categories of records in the system:

(1) Resume of individual including educational and work experience information; and (2) expertise checklist completed by the individual.

Authority for maintenance of the system:

This system is established and maintained under the authority of 18 U.S.C. 4352(a).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The routine uses of this system are: (a) To provide an information source to officers and employees of the Department of Justice who have a need for the information in the performance of their duties; and (b) to provide the Advisory Board of NIC with a list of individuals who have the expertise to review applications for grants where the amount of the award exceeds 100,000 dollars or where a substantial personal conflict of interest is indicated.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Information maintained in the system may be stored on documents, magnetic tape, and magnetic disk.

Retrievability:

Information is indexed by name and areas of expertise.

Safeguards:

Information is safeguarded in accordance with Bureau of Prisons rules governing access and release.

Retention and disposal:

All records will be maintained until either the individual notifies NIC that he or she no longer desires to provide assistance or until the Advisory Board of NIC determines that a name should be deleted from the list. If deleted for any reason, the records will be destroyed by shredding.

System manager(s) and address:

Administrative Officer, National Institute of Corrections, 320 First Street, NW, Room 200, Washington, D.C 20534.

Notification procedure:

Address inquiries to: Director, National Institute of Corrections, 320 First Street, NW, Room 200, Washington, D.C. 20534.

Record access procedures:

Same as notification procedure.

Contesting record procedures:

Same as notification procedure.

Record source categories:

All information is obtained from the individual named in the list.

Systems exempted from certain provisions of the act:

None.

JUSTICE/BOP-999

System name:

Appendix of Field Locations for the Bureau of Prisons Regional Offices.

Northeast Region
Scott Plaza II. Industrial Highway, Philadelphia, Pennsylvania 19113
Southeast Region
523 McDonough Boulevard, SE, Atlanta, Georgia 30315
North Central Region
Airworld Center, 10920 Ambassador Drive, Kansas City, Missouri 84153
South Central Region
1607 Main St., Ste. 700 Proetarian Bldg., Dallas, Texas 75219
Western Region
330 Primrose Road, Fith Floor, Burlingame, California 94010
United States Penitentiaries
Atlanta, Georgia 30315
Leavenworth, Kansas 66048
Lewisburg, Pennsylvania 17837
Marion, Illinois 62959
Terre Haute, Indiana 47808
Federal Correctional Institutions
Alderson, West Virginia 24910,
Ashland, Kentucky 41101
Bastrop, Texas 78602
Butner, North Carolina 27509
Danbury, Connecticut 06801
El Reno, Oklahoma 73036
Englewood, Colorado 80110
Ft. Worth, Texas 76119
La Tuna, Texas 88021
Lexington, Kentucky 40507
Lompoc, California 93436
Memphis, Tennessee 38134
Milan, Michigan 48160
Morgantown, West Virginia 26505
Otisville, New York 10963
Oxford, Wisconsin 53952
Petersburg, Virginia 23803
Pleasanton, California 94568
Ray Brook, New York 12977
Sandstone, Minnesota 55072
Seagoville, Texas 75159
Talladega, Alabama 35362
Tallahassee, Florida 32304
Terminal Island, California 90731
Texarkana, Texas 75501
Federal Prison Camps
Allenwood-Montgomery, Pennsylvania 17752
Big Spring, Texas 79720
Boron, California 93516
Eglin Air Force Base, Florida 32542
Maxwell Air Force Base, Montgomery, Alabama 36112
Safford, Arizona 85546
Medical Center for Federal Prisoners
Springfield, Missouri 65802
Federal Detention Center
Florence, Arizona 85232
Metropolitan Correctional Centers
71 W. Van Buren Street, Chicago, Illinois 60605
15801 S.W. 137th Avenue, Miami, Florida 33177
150 Park Row, New York, New York 10007
808 Union Street, San Diego, California 92101
P.O. Box 22080, Tucson, Arizona 85734

CIVIL DIVISION

JUSTICE/CIV–001

System name:

Civil Division Case File System.

System location:

Civil Division, U.S. Department of Justice 10th Street NW., Washington, DC 20530; Record Management Unit, 5320 Marinelli Road, Rockville, MD 20852; and Federal Records Center, Suitland, MD 20409.

Categories of individuals covered by the system:

Individuals referenced in potential or actual cases and matters under the jurisdiction of the Civil Division; and attorneys, paralegals, and other emplyees of the Civil Division directly involved in these cases or matters.

Categories of records in the system:

(1) Records in this system pertain to a broad variety of litigation under the jurisdiction of the Civil Division relating to torts, civil fraud and other commercial matters, federal programs and national security, immigration, and consumer issues. The case files contain court records, inter-agency and intra-agency correspondence, and legal research. These records may include civil investigatory and/or criminal law enforcement information and information classified pursuant to Executive Order to protect national security interests. (2) Summary information (i.e., names of principal parties or subjects, case file numbers, assignments, status, and classification) of these cases or matters is maintained prior to FY 78 on index cards and from FY 78 in an automated case tracking system. (3) A timekeeping function for attorneys, paralegals, and other employees of the Civil Division directly involved in litigation supplements the automated case tracking system from May of 1981.

Authority for maintenance of the system:

General authority to maintain the system is contained in 5 U.S.C. 301 and 44 U.S.C. 3101. The particular system was established in accordance with 28 CFR 0.77(f) and 28 U.S.C. 552 and was delegated to the Civil Division pursuant to the memorandum from the Deputy Attorney General, dated July 17, 1974.

Purpose(s):

Case records are maintained for the purpose of litigating or resolving any case or matter under consideration by the Civil Division. The automated case tracking and timekeeping system exists for the purpose of managing and evalating the Division's litigative activities.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

A record maintained in this system of records may be disseminated as a routine use of such record as follows: (1) In any case in which there is an indication of a violation or potential violation of law, whether civil, criminal or regulatory in nature, the record in question may be disseminated to the appropriate federal, state, local or foreign agency charged with the responsibility for investigating or prosecuting such violation or charged with enforcing or implementing such law; (2) in the course of investigating the potential or actual violation of any law, whether civil, criminal or regulatory in nature, or during the course of a trial or hearing, or the preparation for a trial or hearing for such violation, a record may be disseminated to a federal, state, local or foreign agency, or to an individual or organization, if there is reason to believe that such agency, individual or organization possesses information or is responsible for acquiring information relating to the investigation, trial or hearing and the dissemination is reasonably necessary to elicit such information or to obtain the cooperation of a witness or an informant; (3) a record relating to a case or matter that has been referred by an agency for investigation, prosecution, or enforcement, or that involves a case or matter within the jurisdiction of an agency, or where the agency or officials thereof are a party to litigation or where the agency or officials may be affected by a case or matter, may be disseminated to such agency to notify the agency of the status of the case or matter or of any decision or determination that has been made, or to make such other inquiries and reports as are necessary during the processing of the case or matter (4) a record relating to a case or matter may be disseminated to a foreign country pursuant to an international treaty or convention entered into and ratified by the United States or to an executive agreement (5) a record may be disseminated to a federal, state, local, foreign, or international law enforcement agency to assist in the general crime prevention and detection efforts of the recipient agency or to provide investigative leads to such agency; (6) a record may be disseminated to a foreign country, through the United States Department of State or directly to the representative of such country, to the extent necessary to assist such country in civil or criminal proceedings in which the United States or one of its officers or agencies has an interest; (7) a record, or any facts derived therefrom, may be disclosed in a grand jury proceeding or in a proceeding before a court or adjudicative body before which the Civil Division is authorized to appear when the United States, or any agency or subdivision thereof, is a party to litigation and such records are determined by the Civil Division to be arguably relevant to the litigation; (8) to facilitate processing Freedom of Information and Privacy Act requests for these records, information may be disclosed to another Federal agency to (a) permit a decision as to access, amendment or correction of records to be made in consultation with or by that agency, or (b) verify the identity of an individual or the accuracy of information submitted by an individual who has requested access to, or amendment or correction of records; (9) information may be released to the news media and the public in accordance with 28 CFR 50.2 unless it is determined that release would constitute an unwarranted invasion of personal privacy; (10) a record may be disclosed to the National Archives and Records Administration and the General Services Administration in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Manual records are stored in file cabinets and on index cards. Automated records are stored on magnetic disks. Classified information is stored in locked safes.

Retrievability:

Manual records are retrieved by file number. This number can be obtained from index cards arranged alphabetically by subject name for records received prior to FY 78 and from logical queries to the computer-based data for FY 78 and subsequent years.

Safeguards:

Classified information is maintained in locked safes. Access to all information is limited to Department of Justice personnel who have need for the records to perform their duties. Automated records are safeguarded and protected in accordance with Department rules and procedures governing the handling of computerized information.

Retention and disposal:

When a case file is closed by the responsible attorney, it is sent to the Federal Records Center for retention in accordance with the authorized Record Disposal Schedule for the classification of the case. Such schedules are approved by the National Archives.

After the designated period has passed, the file is destroyed. However, the index and docket cards are not purged. Automated records constitute a cumulative resource file for which there are no plans to delete records.

System manager(s) and address:

Assistant Attorney General, Civil Division, U.S. Department of Justice, 10th and Constitution Avenue NW., Washington, DC 20530.

Notification procedure:

Address inquiries to: Assistant Attorney General, Civil Division, U.S. Department of Justice, 10th and Constitution Avenue NW., Washington, DC 20530.

Record access procedures:

Portions of this system are exempt from disclosure and contest by 5 U.S.C. 552a(j)(2), (k)(1) and (k)(2). Submit in writing all requests for access to those portions not so exempted to the system manager identified above. Clearly mark the envelope and letter "FOI/PA Request" and provide a return address. The subject of the record should also provide his/her full name and notarized signature, date and place of birth, case caption, or other information which may assist in locating the records sought.

Contesting record procedures:

Individuals desiring to contest or amend information maintained in the system should direct their request to the Assistant Attorney General, Department of Justice, 10th and Constitution Avenue NW., Washington, DC 20530. The request should clearly state what information is being contested, the reasons for contesting it, and the proposed amendment to the information sought.

Record source categories:

Information may be obtained from all individuals referred to in all cases or matters under consideration of the Civil Division. Timekeeping information is obtained from all Civil Division attorneys, paralegals, and other employees directly involved in such litigation or matters.

Systems exempted from certain provisions of the act:

The Attorney General has exempted certain categories of records in this system from subsections (c) (3) and (4), (d), (e)(1), (e)(2), (e)(3), (e)(4) (G) and (H), (e)(5), (e)(8), and (g) of the Privacy Act pursuant to 5 U.S.C. 552a (j)(2), (k)(1) and (k)(2). That is, these exemptions apply only to the extent that the file contains information which has been properly classified pursuant to an Executive Order, or to the extent that it contains investigatory and other law enforcement materials. Rules have been promulgated in accordance with the requirements of 5 U.S.C. 553 (b), (c) and (e) and have been published in the Federal Register.

JUSTICE/CIV-002

System name: Civil Division Case File System: Customs Litigation.

System location: 26 Federal Plaza, New York, New York 10007, and U.S. Department of Justice Data Services Center, 10th and Constitution Avenue, NW, Washington, D.C. 20530.

Categories of individuals covered by the system: Any and all parties and counsel involved in the cases handled by the Field Office, Customs Litigation, Commercial Litigation Branch of the Civil Division will have identifying data contained in this system.

Categories of records in the system: 1. The main record of the system is the case file which is retained on each case under the jurisdiction of the Field Office, Customs Litigation, Commercial Litigation Branch of the Civil Division and constitutes the official record of the Department of Justice thereon. All record material relating to a case is retained in the file. Each file is assigned the Customs Court number given to the summons filed in that court or, in cases filed prior to October 1, 1970, to reappraisement appeals or to protests filed with the Customs Court.

The number assigned to the file will change to the number assigned by the Court of Customs and Patent Appeals, if that case becomes the subject of an appeal before that court. In addition, the Custom Section retains a log of communications received and communications sent. The correspondence is identified thereon by court (case) number, identification of the kind of communication, and the person receiving it.

2. The case file and communication logs are physically retained at the offices of the Field Office, Customs Litigation, Commercial Litigation Branch 26 Federal Plaza, New York, New York 10007. From these records, the Field Office, Customs Litigation, Commercial Litigation Branch inputs certain information for conversion into a data processing system which is maintained at the Department of Justice Data Services Center, 10th and Constitution Avenue, NW, Washington, D.C. 20530. Included in the information contained in the data processing system is the identity of the parties and their counsel, as well as the merchandise involved, the port of entry and the competing statutory provisions.

3. Alphabetical and numerical indices are maintained as a means of access to the proper file number by the cross-referencing of the names of non-government parties to suit with the appropriate file (court) numbers. These indices are made of index cards and maintained in the Chief Clerk's office in the Field Office, Customs Litigation, Commercial Litigation Branch.

Authority for maintenance of the system: The Field Office, Customs Litigation, Commercial Litigation Branch case files are maintained under the authority of 28 U.S.C. 2601(b) and 2632(e) and established in accordance with 28 CFR 0.45(c) which gives the Civil Division responsibility for 'all litigation incident to the reappraisement and classification of imported goods, including the defense of all suits in the Court of Customs and Patent Appeals', and with 28 CFR 0.48 which designates the Attorney-in-Charge, Field Office, Customs Litigation 'to accept service of notices of appeals to the Court of Customs and Patent Appeals and all pleadings and other papers filed in the Customs Court, when the United States is an adverse Party in any customs litigation'.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Any record pertaining to any case or matter in the Civil Division may be disseminated to any other component of the Department of Justice, including the Federal Bureau of Investigation and the United States Attorney offices, for use in connection with the consideration of that case or matter or any other case or matter under consideration by the Civil Division or any other component of the Department of Justice.

Certain information contained in the record may also be disseminated to the U.S. Customs Service, the Department of the Treasury, the International Trade Commission, the Department of State, or any other agency of the Government whose decision is being challenged in a case assigned to the Field Office, Customs Litigation, Commercial Litigation Branch for disposition. A record maintained in this system of records may be disseminated as a routine use of such record as follows: (1) In any case in which there is an indication of a violation or potential violation of law, whether civil, criminal or regulatory in nature, the record in question may be disseminated to the appropriate Federal, state, local or foreign agency charged with the responsibility for investigating or prosecuting such violation or charged with enforcing or implementing such law; (2) in the course of investigating the potential or actual violation of any law, whether civil, criminal or regulatory in nature, or during the course of a trial or hearing, or the preparation for a trial or hearing for such violation, a record may be disseminated to a Federal, state, local or foreign agency, or to an individual or organization, if there is reason to believe that such agency, individual or organization possesses information relating to the investigation, trial or hearing and the dissemination is reasonably necessary to elicit such information or to obtain the cooperation of a witness or an informant; (3) a record relating to a case or matter may be disseminated in an appropriate

Federal, state, local or foreign court or grand jury proceeding in accordance with established constitutional, substantive, or procedural law or practice; (4) a record relating-to a case or matter may be disseminated to a Federal, state, or local administrative or regulatory proceeding or hearing in accordance with the procedures governing such proceeding or hearing; (5) a record relating to a case or matter may be disseminated to an actual or potential party or his attorney for the purpose of negotiation or discussion of such matters as settlement of the case or matter, plea bargaining, or formal or informal discovery proceedings; (6) a record relating to a case or matter that has been referred by an agency for investigation, prosecution, or enforcement; or that involves a case or matter within the jurisdiction of an agency, or where the agency or officials thereof are a party to litigation or where the agency or officials may be affected by a case or matter, may be disseminated to such agency to notify the agency of the status of the case or matter or of any decision or determination that has been made, or to make such other inquiries and reports as are necessary during the processing of the case or matter; (7) a record relating to a person held in custody pending or during arraignment, trial, sentence or extradition proceedings, or after conviction or after extradition proceedings, may be disseminated to a Federal, state, local or foreign prison, probation, parole, or pardon authority, or to any other agency or individual concerned with the maintenance, transportation, or release of such a person; (8) a record relating to a case or matter may be disseminated to a foreign country pursuant to an international treaty or convention entered into and ratified by the United States or to an executive agreement; (9) a record may be disseminated to a Federal, state, local, foreign, or international law enforcement agency to assist in the general crime prevention and detection efforts of the recipient agency or to provide investigative leads to such agency; (10) a record may be disseminated to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant or other benefit by the requesting agency, to the extent that the information relates to the requesting agency's decision on the matter, (11) a record may be disseminated to the public, news media, trade associations, or organized groups, when the purpose of the dissemination is educational or informational, provided that the record does not contain any information identifiable to a specific individual other than is necessary to identify the matter or where the information has previously been filed in a judicial or administrative office, including the clerk of the court; (12) a record may be disseminated to a foreign country, through the United States Department of State or directly to the representative of such country, to the extent necessary to assist such country in civil or criminal proceedings in which the United States or one of its officers or agencies has an interest; (13) a record that contains classified national security information and material may be disseminated to persons who are engaged in historical research projects, or who have previously occupied policy making positions to which they were appointed by the President, in accordance with the provisions 28 CFR 17.60; (14) copies of the summons (protest and reappraisement appeals, where appropriate) and the communication logs are made available to employees of the private contractor who services the data processing system in New York for the purpose of enabling such employees to extract all pertinent information from said documents so that such information may be encoded and converted to punch card form.

Release of information to the news media: Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available from systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Release of information to Members of Congress: Information contained in systems of records maintained by the Department of Justice, not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and at the request of the individual who is the subject of the record.

Release of information to the National Archives and Records Administration: A record from a system of records may be disclosed as a routine use to the National Archives and Records Administration (NARA) in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: (1) The case files utilize standard file jackets or envelopes and are maintained in standard file cabinets; (2) The alphabetical index cards are maintained in standard file cabinets; (3) The communication logs are maintained in looseleaf binders and, when not being currently referred to, are also maintained in standard file cabinets; (4) The information in the data processing system is maintained on tapes stored in the Data Services Center.

Retrievability: (1) The case files must be retrieved by number. The file number may be ascertained from the alphabetical index when the name of any non-government litigant is known. (2) The informatin contained in the data processing system may be retrieved through the retrieval tool activated by an attorney making a request for a report to the computer technician who codes the request on a form in the format of the retrieval language. The action words of the retrieval reports are: List-lists the case numbers of the cases which satisfy certain criteria such as plaintiff's name, counsel's name, court, number, merchandise, competing statutory provisions, Government counsel. Write—output and the full history for any case specified by case number. Write*—a limited case history for any case specified by case number. Count-tallying the number of cases in the data base contained in the request.

Safeguards: (1) Information contained in the system is unclassified. However, only attorneys in the Civil Division who have responsibility for the case may properly obtain a case file. Correspondence and telephone calls about particular cases are referred to the attorney having responsibility for the case. In the attorney's absence, another attorney covering for the absent attorney or the Attorney-in-Charge, Field Office, Customs Litigation may respond to the telephone call or correspondence. The index files and the communication logs are utilized only by the personnel of the Field Office, Customs Litigation, Commercial Litigation Branch in locating or verifying information contained in the system. (2) Information from the data processing system may be obtained only by attorneys on the basis of requests made in writing on a proper form supplied by the Field Office, Customs Litigation, Commercial Litigation Branch. The request is made of the computer technician. Normally these requests are mailed to the technician in charge at the Data Services Center, but occasionally the request may be related telephonically by the computer technician.

Retention and disposal: (1) Closed case files are sent to the Federal Records Center for retention in accordance with the authorized Records Disposal Schedule for the classification of the case. Such schedules are approved by the National Archives. After the designated period is passed, the file is destroyed. The communication logs are sent to the Federal Records Center for retention in accordance with the authorized records disposal schedule after five years. After the designated period those records are also destroyed. The index cards, however, are not purged. (2) Periodically, the inactive cases will be purged from the main tape in the data processing system and transferred to the historical tape where the information will be retained indefinitely. There is a provision in the data processing system to delete and remove an entire case history from the main or historical tape. This may be done on request from the Attorney-in-Charge, Field Office, Customs Litigation and such removed cases will not be saved or written on any other tape.

System manager(s) and address: Assistant Attorney General, Civil Division, U.S. Department of Justice, 10th and Constitution Avenue, NW, Washington, D.C. 20530.

Notification procedure: Address inquiries to Assistant Attorney General; Civil Division, U.S. Department of Justice; 10th and Constitution Avenue, NW, Washington, D.C. 20530.

Record access procedures: A request for information concerning the cases of the Field Office, Customs Litigation, Commercial Litigation Branch of the Civil Division should be submitted in writing, with the envelope and letter clearly marked "Privacy Access Request". The request should include the file number and/or the names of any non-government litigant known to the requestor. The requestor should also provide a return address for transmitting the information. Such access request should be submitted to the System Manager listed above.

Contesting record procedures: Individuals desiring to contest or amend information maintained in the system should direct their request to the Assistant Attorney General, Department of Justice, 10th and Constitution Avenue, NW, Washington, D.C. 20530. The request should clearly state what information is being contested, the reasons for contesting it, and the proposed amendment to the information sought.

Record source categories: :All litigants involved in the cases of this Division are sources of information. Such information is either contained in the record material in the case files or has been extracted from that record material and put on communication logs and/or index cards.

JUSTICE/CIV - 003

System name: Office of Alien Property File System.

System location: 550 11th Street, NW, Washington, D.C. 20530.

Categories of individuals covered by the system: Any and all parties involved in the cases, claims and matters handled by the Office of Alien Property may have identifying data contained in this system.

Categories of records in the system:

1. This system consists of indices and files relative to enemy-owned property, reporting sources, ownership, vesting, and claims for the return thereof. Each vesting order is assigned a general file number, and each claim has a separate file number. Separate account files are maintained on vested property for each alien account.
2. Alphabetical and numerical indices are utilized as a means of access to the proper general file by the cross-referencing of the names of all individual former property owners and claimants with the general files.
3. Records of litigation involving the Office of Alien Property are contained in this system. There are also alphabetical and numerical indices to facilitate access to these cases.

Authority for maintenance of the system: The Office of Alien Property files are maintained under the authority of 44 U.S.C. 3101 and 50 U.S.C. App. 40, Title II of the International Claims Settlement Act, and was established in accordance with 28 CFR 0.47 which states in part 'The Office of Alien Property shall be a part of the Civil Division ...' and thereafter describes the authority, rights, privileges, powers, duties and functions of that office.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Any record pertaining to any case or matter in the Civil Division may be disseminated to any other component of the Department of Justice, including the Federal Bureau of Investigation and the United States Attorney offices, for use in connection with the consideration of that case or matter or any other case or matter under consideration by the Civil Division or any other component of the Department of Justice.

Certain information contained in the record may also be disseminated to the U.S. Customs Service, the Department of the Treasury, the International Trade Commission, the Department of State, or any other agency of the Government whose decision is being challenged in a case assigned to the Customs Section for disposition. A record maintained in this system of records may be disseminated as a routine use of such record as follows: (1) In any case in which there is an indication of a violation or potential violation of law, whether civil, criminal or regulatory in nature, the record in question may be disseminated to the appropriate Federal, state, local or foreign agency charged with the responsibility for investigating or prosecuting such violation or charged with enforcing or implementing such law; (2) in the course of investigating the potential or actual violation of any law, whether civil, criminal or regulatory in nature, or during the course of a trial or hearing, or the preparation for a trial or hearing for such violation, a record may be disseminated to a Federal, state, local or foreign agency, or to an individual or organization, if there is reason to believe that such agency, individual or organization possesses information relating to the investigation, trial or hearing and the dissemination is reasonably necessary to elicit such information or to obtain the cooperation of a witness or an informant; (3) a record relating to a case or matter may be disseminated in an appropriate Federal, state, local or foreign court or grand jury proceeding in accordance with established constitutional, substantive, or procedural law or practice; (4) a record relating to a case or matter may be disseminated to a federal, state, or local administrative or regulatory proceeding or hearing in accordance with the procedures governing such proceeding or hearing; (5) a record relating to a case or matter may be disseminated to an actual or potential party or his attorney for the purpose of negotiation or discussion of such matters as settlement of the case or matter, plea bargaining, or formal or informal discovery proceedings; (6) a record relating to a case or matter that has been referred by an agency for investigation, prosecution, or enforcement, or that involves a case or matter within the jurisdiction of an agency, or where the agency or officials thereof are a party to litigation or where the agency or officials may be affected by a case or matter, may be disseminated to such agency to notify the agency of the status of the case or matter or of any decision or determination that has been made, or to make such other inquiries and reports as are necessary during the processing of the case or matter; (7) a record relating to a person held in custody pending or during arraignment, trial, sentence or extradition proceedings, or after conviction or after extradition proceedings, may be disseminated to a Federal, state, local or foreign prison, probation, parole, or pardon authority, or to any other agency or individual concerned with the maintenance, transportation, or release of such a person; (8) a record relating to a case or matter may be disseminated to a foreign country pursuant to an international treaty or convention entered into and ratified by the United States or to an executive agreement; (9) a record may be disseminated to a Federal, state, local, foreign, or international law enforcement agency to assist in the general crime prevention and detection efforts of the recipient agency or to provide investigative leads to such agency; (10) a record may be disseminated to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant or other benefit by the requesting agency, to the extent that the information relates to the requesting agency's decision on the matter; (11) a record may be disseminated to the public, news media, trade associations, or organized groups, when the purpose of the dissemination is educational or informational, provided that the record does not contain any information identifiable to a specific individual other than is necessary to identify the matter or where the information has previously been filed in a judicial or administrative office, including the clerk of the court; (12) a record may be disseminated to a foreign country, through the United States Department of State or directly to the representative of such country, to the extent necessary to assist such country in civil or criminal proceedings in which the United States or one of its officers or agencies has an interest; (13) a record that contains classified national security information and material may be disseminated to persons who are engaged in historical research projects, or who have previously occupied policy making positions to which they were appointed by the President, in accordance with the provisions of 28 CFR 17.60; (14) records are also available to the public for inspection and distribution as set forth at 8 CFR 503.1, including (a) Annual Reports of the Office of Alien Property, and (b) final determinations, opinions and orders in cases heard or reviewed within the Office of Alien Property; (15) records and documents are available for inspection by persons properly and directly concerned in connection with claims filed with the Office, records in cases heard or reviewed in the Office, and authorizations for sale and records of bids in public sales and orders for their acceptance or rejection and notifications thereof; (16) any record or portion thereof may also be disseminated to the Department of the Treasury and to the Foreign Claims Settlement Commission as a matter of routine use when such record relates to matters within the jurisdiction of the Office of Foreign Assets Control, Department of the Treasury, or claims being processed before the Foreign Claims Settlement Commission; (17) any record or portion thereof relating to an estate or trust matter under the jurisdiction of the probate courts of the several states may be disseminated to the parties and their representatives or to the courts, in proceedings involving the property owned or claimed to have been owned by a designated national of an enemy country under the provisions of the Trading with the Enemy Act; (18) any record may be disseminated to the Department of State for any negotiation or other action relating to the Office of Alien Property or to any subject matter which is, or was at one time, under the jurisdiction of the Office of Alien Property.

Release of information to the news media: Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available from systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Release of information to Members of Congress: Information contained in systems of records maintained by the Department of Justice, not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and at the request of the individual who is the subject of the record.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Release of information to the National Archives and Records Administration: A record from a system of records may be disclosed as a routine use to the National Archives and Records Administration (NARA) in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Information in the system is stored in standard file jackets and on index cards, within standard filing cabinets.

Retrievability: The files and index cards must be retrieved by file numbers, which can be ascertained from alphabetical indices if the name of the non-government party is known, or from numerical indices relating to the various vesting orders, accounts, claims, or cases.

Safeguards: Information in the system is regarded as confidential, pursuant to 8 CFR 503.17. Departmental rules and procedures are in force that insure that only Departmental attorneys and their authorized agents have access to this information.

Retention and disposal: A file is closed when one of the following occurs:

1. The vesting order has been complied with and the property disposed of pursuant to the Trading with the Enemy Act, and all claims have been processed.
2. A case involving the Office of Alien Property has ended by the final termination of the litigation through a compromise settlement, court decision or any other method of termination for court cases.

The file is then retained in the Federal Records Center for a number of years and thereafter may be destroyed. Index cards are retained for as long as may be practicable.

System manager(s) and address: Assistant Attorney General, Civil Division, U.S. Department of Justice, 10th and Constitution Avenue, NW, Washington, D.C. 20530.

Notification procedure: Address inquiries to Assistant Attorney General, Civil Division, U.S. Department of Justice, 10th and Constitution Avenue, NW, Washington, D.C. 20530.

Record access procedures: A request for access to a record within the Office of Alien Property system involving matters of privacy and which is not otherwise available to the party requesting the same should be submitted in writing, with the envelope and letter clearly marked 'Privacy Access Request'. The request should include file or account numbers and/or the names of any known non-government parties. The requestor should also provide a return address for transmitting the information. Such access requests should be submitted to the System Manager listed above.

Contesting record procedures: Individuals desiring to contest or amend information maintained in the system should direct their request to the System Manager listed above. The request should clearly state what information is being contested, the reasons for contesting it and the proposed amendment to the information sought.

Record source categories: All claimants to property, as well as former depositories, are sources of information, also other offices and agencies operating under provisions of the Trading with the Enemy Act.

Systems exempted from certain provisions of the act: None.

JUSTICE/CIV-004

System name: Swine Flu Administrative Claim File System.

System location: Civil Division, U.S. Department of Justice 521 12th Street NW., No. 804, Washington, D.C. 20530.

Categories of individuals covered by the system: Any and all parties making administrative claims for damages resulting from the administration of the swine flu vaccine, whose claims have been referred by the Department of Health, Education, and Welfare for handling by the Civil Division, will have identifying data contained in this system.

Categories of records in the system: (1) The main record of the system is the administrative claim file which is retained on each claim under the jurisdiction of the Civil Division and constitutes the official record of the Department of Justice. All record material relating to a claim is retained in the file. Each claim is assigned a number in sequential order from the date of the filing. (2) Alphabetical and numerical indices are utilized as a means of access to the proper file by the cross-referencing of the names of all claimants with the file number. Index cards are used in these indices. (3) A Docket Card Index is maintained on each claim in order to follow the progress of all swine flu claims and to obtain statistical data for periodic and fiscal reports. However, all information contained on the cards has been taken from the record material contained in the official file.

Authority for maintenance of the system: General authority to maintain the system is contained in 5 U.S.C. 301 and 44 U.S.C. 3101. The particular system was established by authority of 28 CFR 0.77(f) which authority was delegated to the Civil Division pursuant to a memorandum from the Deputy Attorney General, dated July 17, 1974.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Any record pertaining to any swine flu administrative claim in the Civil Division may be disseminated to any other component of the Department of Justice, including the FBI and the United States Attorneys' Offices, for use in connection with the consideration of that claim or matter or any other claim, case or matter under consideration by the Civil Division or any other component of the Department of Justice. A record maintained in this system of records may be disseminated as a routine use of such record as follows: (1) A record relating to a claim or matter that has been referred by the Department of Health, Education, and Welfare for investigation, or that involves a claim or matter within the jurisdiction of an agency, or where the agency or officials thereof are a party to litigation or where the agency or officials may be affected by a claim or matter may be disseminated to such agency to notify the agency of the status of the claim or matter or any decision or determination that has been made, or to make such other inquiries and reports as are necessary during the processing of the claim or matter; (2) a record may be disseminated to the public, news media, trade associations, or organized groups, when the purpose of the dissemination is educational or informational, provided that the record does not contain any information identifiable to a specific individual other than that necessary to identify the matter and is not an unwarranted invasion of privacy or where the information has previously been filed in a judicial or administrative office, including the clerk of the court; (3) in any claim in which there is an indication of a violation or potential violation of law, whether civil, criminal or regulatory in nature, the record in question may be disseminated to the appropriate federal, state, local or foreign agency charged with the responsibility for investigating or prosecuting such violation or charged with enforcing or implementing such law; (4) in the course of investigating the potential or actual violation of any law, whether civil, criminal or regulatory in nature, or during the course of a trial or hearing, or the preparation for a trial or hearing for such violation, a record may be disseminated to a federal, state local or foreign agency, or to an individual or organization, if there is reason to believe that such agency, individual or organization possesses information relating to the investigation, trial or hearing and the dissemination is reasonably necessary to elicit such information or to obtain the cooperation of a witness or an informant; (5) a record relating to a claim or matter may be disseminated in an appropriate federal, state, local, or foreign court or grand jury proceeding in accordance with established constitutional, substantive, or procedural law or practice; (6) a record relating to a claim or matter may be disseminated to a federal, state, or local administrative or regulatory proceeding or hearing in accordance with the procedures governing such proceeding or hearing; (7) a record relating to a claim or matter may be disseminated to an actual or potential party or his attorney for the purpose of negotiation or discussion of such matters as settlement of the claim or matter, or for formal or informal discovery proceedings.

Release of information to the news media: Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available from systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Release of information of Members of Congress: Information contained in systems of records maintained by the Department of Justice, not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and at the request of the individual who is the subject of the record.

Release of information to the National Archives and Records Administration: A record from a system of records may be disclosed as a routine use to the National Archives and Records Administration (NARA) in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: (1) The claim files utilize standard file jackets and are retained in standard file cabinets; (2) the alphabetical and numerical index cards, as well as the docket cards, are retained in standard file cabinets.

Retrievability: The files and docket cards must be retrieved by file number. The file number can be ascertained from the alphabetical index if the name of the administrative claimant is known.

Safeguards: Information contained in the system is unclassified. No personalized information about a claim or claimant will be given to anyone other than the claimant, his attorney, or authorized representative. Requests for such information will not be given by telephone unless the caller can provide sufficient information to identify himself as one authorized to receive personalized information. Nonpersonal or generalized information will be given to any requester. Information in the system is regarded as sensitive pursuant to Department rules and procedures. Department rules and procedures are in force to insure that only Departmental attorneys and their authorized agents have access to the information.

Retention and disposal: When a claim file is closed by the legal section, it is sent to the Federal Records Center for retention in accordance with the authorized Record Disposal Schedule for the classification of the case. Such schedules are approved by the National Archives. After the designated period has passed, the file is destroyed. However, the index and docket cards are not purged and are retained for as long as practicable.

System manager(s) and address: Assistant Attorney General, Civil Division, U.S. Department of Justice, 10th and Constitution Avenue NW., Washington, D.C. 20530.

Notification procedure: Address inquiries to Chief, Torts Section, Civil Division, U.S. Department of Justice, 10th and Constitution Avenue NW., Washington, D.C. 20530.

Record access procedures: A request for information concerning the swine flu administrative claims of the Civil Division should be submitted in writing, with the envelope and letter clearly marked "Privacy Act Request". The request should include the file number and/ or names of any claimants known to the requester. The requester should also provide a return address for transmitting the information. Such access requests should be submitted to the System Manager listed above. Requests may also be made by telephone. In such cases the caller will be referred to the attorney of record. The attorney, in turn, may require an official written request.

Contesting record procedures: Individuals desiring to contest or amend information maintained in the system should direct their request to the System Manager listed above. The request should clearly state what information is being contested, the reasons for contesting it, and the proposed amendment to the information sought.

Record source categories: All swine flu claimants are sources of information. Such information is either contained in the record material in the case files or has been extracted from that record material and put onto docket and index cards.

Systems exempted from certain provisions of the act: None.

JUSTICE/CIV-005

System name:

Freedom of Information/Privacy Acts File.

System location:

Civil Division, U.S. Department of Justice, 550 11th Street, NW., Washington, DC 20530.

Categories of individuals covered by the system:

Persons who request disclosure of Civil Division records pursuant to the Freedom of Information Act (FOIA); persons who request access to or correction of records pertaining to themselves contained in Civil Division systems of records pursuant to the Privacy Act (PA); persons whose FOIA or PA requests for records have been referred to the Civil Division by another component of Department of Justice or another agency, and, where applicable, persons about whom records have been requested.

Categories of records in the system:

(1) The manual records consist of FOIA and PA requests for Civil Division records; related correspondence and memoranda; and copies of records from other PA systems of records responsive to the requests, which may include information concerning national security, civil investigations, and criminal law enforcement matters. (2) An automated record of selected data which has been extracted from each case file is maintained on magnetic diskettes as an index to the files, to follow the progress of the requests, and to obtain statistical data for monthly and annual reports.

Authority for maintenance of the system:

This system is established and maintained pursuant to 5 U.S.C. 301 and 44 U.S.C. 3101.

Purpose(s):

These records are maintained for the purpose of processing administrative requests and appeals under the Freedom of Information and Privacy Acts and complying with reporting requirements of the Acts.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Information may be disclosed to another Federal agency to (a) permit a decision as to access, amendment or correction of records to be made in consultation with or by that agency, or (b) verify the identity of an individual or the accuracy of information submitted by an individual who has requested access to or amendment or correction of records.

(2) A record may be disclosed to the National Archives and Records Administration and to the General Services Administration to conduct records management inspections authorized by 44 U.S.C. 2904 and 2906.

(3) Information may be released to the news media and the public pursuant to 28 CFR 50.2 unless it is determined that release would constitute an unwarranted invasion of personal privacy.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

The request records (manual) are stored in cabinets. Classified information is stored in a locked file cabinet. Automated records are maintained on magnetic diskettes.

Retrievability:

Files are retrievable by the requester's name or if filed chronologically by the requester's name and the date of final response.

Safeguards:

Classified information is maintained in locked safes. Access to all information is limited to Department of Justice personnel who have need for the records to perform their duties. Automated records are safeguarded and protected in accordance with Department rules and procedures governing the handling of computerized information. All records are stored in offices which are occupied during the day and locked at night.

Retention and disposal:

The file is destroyed after the designated period has passed in accordance with the General Records Schedule 14, items 16, et seq. and 25, et seq.

System manager(s) and address:

Assistant Attorney General, Civil Division, U.S. Department of Justice, 10th and Constitution Avenue NW., Washington, DC 20530.

Notification procedure:

Address inquiries to the System Manager listed above, c/o FOI/ PA Office. The envelope and letter should be clearly marked "FREEDOM OF INFORMATION/PRIVACY ACTS REQUEST."

Record access procedures:

A request for access to a record from this system shall be made in writing with the envelope and letter clearly marked "FREEDOM OF INFORMATION/PRIVACY ACTS REQUEST." The requester shall also provide a return address for transmitting the information. Access requests shall be directed to the system manager listed above, c/o the FOI/PA Office.

Contesting record procedures:

Individuals desiring to contest or amend information maintained in the system should direct a request to the system manager listed above, stating clearly and concisely what information is being contested, the reasons for contesting it, and the proposed amendment to the information sought. The envelope and letter should be clearly marked "FREEDOM OF INFORMATION/PRIVACY ACTS REQUESTS."

Record source categories:

The source of information contained in this system are the individuals making requests, the systems of records searched in the process of responding to requests, and other agencies referring requests for access to or correction of records originating in the Civil Division.

Systems exempted from certain provisions of the act:

The Attorney General has exempted certain categories of records in this system from subsections (c) (3) and (4), (d), (e)(1), (e)(2), (e)(3), (e)(4), (G) and (H), (e)(5), (e)(8), and (g) of the Privacy Act pursuant to 5 U.S.C. 552a (j)(2), (k)(1), and (k)(2). That is, these exemptions apply only to the extent that the file contains information which has been properly classified pursuant to an Executive Order or to the extent that it contains investigatory and other law enforcement materials. Rules have been promulgated in accorance with the requirements of 5 U.S.C. 553 (b), (c), and (e) and have been published in the Federal Register.

JUSTICE/CIV-006

System name:

Consumer Inquiry/Investigatory System.

System location:

Civil Division, U.S. Department of Justice, 666 11th Street NW., Washington, DC 20530.

Categories of individuals covered by the system:

Individuals with complaints or inquiries on consumer matters.

Categories of records in the system:

The records consist of complaints and inquiries from private individuals, any replies thereto and other correspondence and internal memoranda related to the investigation of such inquiries for violations of criminal or civil Federal law.

Authority for maintenance of the system:

U.S.C. 3101; 5 U.S.C. 301.

Purpose(s):

These records are maintained for the purpose of responding to consumer complaints or inquiries and to further or initiate investigations for law enforcement purposes.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

(1) A complaint/inquiry, or any information developed in response thereto may be disclosed to other Federal, State or local agencies for law enforcement purposes, to ensure complete action on the matter, or to better assess consumer-related problems and programs.

(2) A complaint/inquiry or any information derived therefrom may be disclosed to a private firm that is the subject of a complaint/inquiry to resolve the issues raised in the complaint/inquiry or to fulfill the Department's law enforcement responsibilities.

(3) To facilitate processing Freedom of Information and Privacy Act requests for these records, a record may be disclosed to another Federal agency to (a) permit a decision as to access, amendment or correction of records to be made in consultation with or by that agency or (b) verify the identity of an individual or the accuracy of information submitted by an individual who has requested access to, or amendment or correction of records.

(4) A record or information derived therefrom may be released to the news media and the public pursuant to 28 CFR 50.2 unless it is determined that release would constitute an unwarranted invasion of personal privacy.

(5) A record may be disclosed to the National Archives and Records Administration and to the General Services Administration to conduct records management inspections authorized by 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

These records are stored in file folders in cabinets.

Retrievability:

Information is retrieved by name subject matter and date.

Safeguards:

Information contained in the system is unclassified. During duty hours access to this system is monitored and controlled by Civil Division personnel in the area where the system is maintained. The area is locked during non-duty hours.

Retention and disposal:

In accordance with the General Record Schedule 14, item 6, records are retained for one year after close of the file or completion of the project, after which the files are destroyed.

System manager(s) and address:

Assistant Attorney General, Civil Division, U.S. Department of Justice, 10th and Constitution Avenue, NW., Washington, D.C. 20530.

Notification procedure:

Address inquiries to the Assistant Attorney General, Civil Division, Department of Justice, 10th and Constitution Avenue, NW., Washington, D.C. 20530.

Record access procedures:

A request for access to a record from this system shall be written and clearly identified as a "Privacy Access Request." The request should include the name of the party making the inquiry and the date of the inquiry. The requester should indicate a return address. The request should be directed to the system manager listed above.

Contesting record procedures:

Individuals desiring to contest or amend information maintained in the system should state clearly and concisely what information is being contested, the reasons for contesting it and the proposed amendment to the information sought. The request should be directed to the system manager listed above.

Record source categories:

Sources of records maintained in the system are the public inquiries, and information provided by private firms regarding the subject matter of such inquiries.

Systems exempted from certain provisions of the act:

The Attorney General has exempted certain categories of records in this system from subsections (c) (3) and (4), (d), (e)(1) and (e)(5) of the Privacy Act pursuant to 5 U.S.C. 552a(j)(2) and (k) (2). That is, these exemptions apply only to the extent that the file contains records combined for civil or criminal law enforcement purposes. Rules have been promulgated in accordance with the requirements of 5 U.S.C. 553(b), (c) and (e) and have been published in the Federal Register.

JUSTICE/CIV-007

System name:

Congressional and Citizen Correspondence File.

System location:

Civil Division, U.S. Department of Justice, 550 11th Street NW., Washington, DC 20530.

Categories of individuals covered by the system:

(1) Current and past members of Congress who correspond with the Department on civil and other related matters; and (2) Private individuals who correspond with the Department of civil and other related matters.

Categories of records in the system:

(1) The records consist of written inquiries from private individuals (or Members of Congress) on various matters, including requests for action on Private Relief Bills, and copies of responses thereto. Included also may be internal memoranda and other materials compiled in connection with the underlying criminal or civil investigation of such matters. (2) An automated record of selected data which has been extracted from each request file is maintained on magnetic diskettes as an index to the files, to follow the progress of the correspondence, and to obtain statistical data for monthly and fiscal reports.

Authority for maintenance of the system:

. The system is established and maintained in accordance with 5 U.S.C. 301 and 44 U.S.C. 3101.

Purpose(s):

These records are maintained for the purpose of permitting Civil Division and other Department of Justice personnel to respond to congressional and public inquiries, requests, or complaints.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

(1) A record, or any facts derived therefrom, may be referred or conveyed to other Federal, State, or local agencies for consultation or for direct response by that agency to the inquiry.

(2) To facilitate processing of Freedom of Information and Privacy Act requests for these records, information may be disclosed to another Federal agency to (a) permit a decision as to access, amendment or correction of records to be made in consultation with or by that agency, or (b) verify the identity or the accuracy of information submitted by an individual who has requested access to, or amendment or correction of records.

(3) A record may be released to the National Archives and Records Administration and to the General Services Administration to conduct records management inspections authorized by 44 U.S.C. 2904 and 2906.

(4) Information may be released to the news media and the public pursuant to 28 CFR 50.2 unless it is determined that release would constitute an unwarranted invasion of personal privacy.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Inquiry records (manual) are stored in file folders in cabinets. Automated records are maintained on magnetic diskettes.

Retrievability:

The files are retrievable by date of final response, name of correspondent, or by subject matter.

Safeguards:

Access to records is limited to Department of Justice personnel who have need for the records to perform their duties. Automated records are safeguarded and protected in accordance with Department rules and procedures governing the handling of computerized information. Information contained in the system is unclassified. The files are maintained in a room that is occupied by office personnel during the day and locked at night.

Retention and disposal:

In accordance with the useful life of these records, the files retained for two years after final response after which the files are destroyed.

System manager(s) and address:

Assistant Attorney General, Civil Division, U.S. Department of Justice, 10th and Constitution Avenue NW., Washington, DC 20530.

Notification procedure:

Address inquiries to the System Manager listed above. c/o FOI/PA Office. The envelope and letter should be clearly marked, "FREEDOM OF INFORMATION/PRIVACY ACTS REQUEST."

Record access procedures:

A request for access to a record from this system shall be made in writing, with the envelope and letter clearly marked, "FREEDOM OF INFORMATION/PRIVACY ACTS REQUEST." The requester shall also provide a return address for transmitting the information. Access requests shall be directed to the system manager listed above, c/o the FOI/PA Office.

Contesting record procedures:

Individuals desiring to contest or amend information maintained in the system should direct a request to the system manager listed above, stating clearly and concisely what information is being contested, the reasons for contesting it, and the proposed amendment to the information sought. The envelope and letter should be clearly marked, "FREEDOM OF INFORMATION/PRIVACY ACTS REQUEST."

Record source categories:

Sources of information maintained in the system are congressional and citizen correspondents.

Systems exempted from certain provisions of the act:

The Attorney General has exempted certain categories of records in this system from subsection (d) of the Privacy Act pursuant to 5 U.S.C. 552a(j)(2) and (k)(2). That is, this exemption applies only to the extent that the file contains investigatory and other law enforcement materials. Rules have been promulgated in accordance with the requirements of 5 U.S.C. 553 (b), (c), and (e) and have been published in the Federal Register.

CIVIL RIGHTS DIVISION

JUSTICE/CRT-001

System name:

Central Civil Rights Division index File and Associated Records.

System location:

United States Department of Justice Civil Rights Division (CRT) 10th and Constitution Avenue NW., Washington, DC 20530; HOLC Building, 320 First Street NW., Washington, DC 20534; 1100 Connecticut Avenue; and Federal Records Center, Suitland, Maryland 20409.

Categories of individuals covered by the system:

These persons may include: Subjects of investigations, victims, potential witnesses, individuals of Japanese ancestry who are eligible, or potentially eligible, for restitution benefits as a result of their evacuation, relocation, or internment during World War II. correspondents on subjects directed or referred to CRT or other persons or organizations referred to in potential or actual cases and matters of concern to CRT, and CRT employees who handle complaints, cases or matters of concern to CRT.

Categories of records in the system:

The system consists of alphabetical indices bearing the names of those individuals identified above and the associated record to which the indices relate containing the general and particular records of all CRT correspondence cases, matters, and memoranda, including, but not limited to, investigative reports, correspondence to and from the Division memoranda, legal papers, evidence, and exhibits. The names of some individuals, e.g., witnesses, may not yet be on the central indices. Records relating to such individuals may be obtained by direct access to the file jackets. Such file jackets are located within the respective sections of CRT according to the legal subject matter assigned to each CRT section. The delegated legal duties and responsibilities of each section are described as follows:

The records related to the duties of the Appellate Section of CRT include records generated by all CRT cases that have entered the U.S. Supreme Court and the Courts of Appeal. Other records include those generated in the course of Appellate Section duties such as advising Members of Congress on legislative matters, providing legal counsel on civil rights issues to Federal agencies and providing counsel to the various components of the Department of Justice, and such other matters as may be required to fulfill the duties mandated by Congress.

The record related to the duties of the Coordination and Review Section of CRT include letters, studies, and reports concerning the implementation of Executive Orders 12250 and 12236. Under E.O. 12250, the Attorney General coordinates and monitors the enforcement of Title VI of the Civil Rights Act of 1964. Title IX of the Education Amendments of 1972, as amended, and the civil rights provisions of any Federal assistance grant which forbids discrimination in federally assisted programs on the basis of race, color, national origin, sex, handicap or religion. The Coordination and Review Section also works with Federal agencies under E.O. 12236 to monitor review of their enabling legislation on the basis of sex. Other records relate to litigation involving the civil rights statutes coordinated by the Department of Justice, and such other matters as may be required to fulfill the duties mandated by the President and Congress.

The records related to the duties of the Criminal Section of CRT include cases or matters arising under 18 U.S.C. 241 and 242 which prohibit persons acting under color of law or in conspiracy with others to interfere with or deny the exercise of Federal constitutional rights, cases involving criminal violations of the Voting Rights Act of 1965 (42 U.S.C. 1971 through 1974), cases or matters involving criminal interference with housing rights as is prohibited by 42 U.S.C. 3631 and criminal interference with other federally protected rights as is prohibited by 18 U.S.C. 245. Other Criminal Section records include cases or matters involving 18 U.S.C. 1581 through 1588 which prohibit involuntary servitude, some cases involving maritime law, and such other matters as may be required to fulfill the duties mandated by Congress.

The records related to the duties of the Educational Opportunities Section of CRT include cases or matters arising under Federal laws requiring nondiscrimination in public education such as Titles IV and IX of the Civil Rights Act of 1964 (42 U.S.C. 2000c, 42 U.S.C. 2000h-2) which prohibit discrimination on the basis of race, color, religion, sex, or national origin: Title IX of the 1972 Education Amendments (20 U.S.C. 1681) which prohibits discrimination on the basis of sex in educational programs or activities receiving federal financial assistance and section 504 of the Rehabilitation Act of 1973 which grants rights to handicapped persons participating in educational programs receiving federal financial assistance. In addition, the records related to the duties of the Educational Opportunities Section include cases or matters arising under the Equal Educational Opportunities Act of 1974 (20 U.S.C. 1701), and such other matters as may be required to fulfill the duties mandated by Congress.

The records related to the duties of the Employment Litigation Section of CRT include cases or matters arising under Federal laws prohibiting discriminatory employment practices by State and local governments such as the equal employment opportunity provisions contained within the Revenue Sharing Act of 1972, as amended. Other records include cases or matters arising under Title VII of the Civil Rights Act of 1964 and its amendment which is the Pregnancy Discriminatory Act of 1978 (42 U.S.C. 2000e(k)). In addition, the records related to the duties of the Employment Litigation Section include cases or matters arising under Executive Order No. 11246 involving equal opportunity laws applicable to public employers. Federal contractors and subcontractors involved in federally financed projects, and such other matters as may be required to fulfill the duties mandated by Congress.

The records related to the duties of the Housing and Civil Enforcement Section of CFT include cases or matters involving the Fair Housing Act of 1968 (42 U.S.C. 3501 through 3619), and cases or matters involving fair credit laws such as the Equal Credit Opportunity Act (15 U.S.C. 1691 through 1691g) as well as its implementing regulations. Regulation B (12 CFR Part 202). Other records include cases or matters arising under Title II and Title III of the Civil Rights Act of 1964 which prohibit discrimination in public facilities (except those Title III matters that involve prison facilities) and cases or matters arising under the nondiscrimination provisions of the Revenue Sharing Act and the Housing and Community Development Act of 1974, and such other matters as may be required to fulfill the duties mandated by Congress.

The records related to the duties of the Special Litigation Section of CRT includes cases or matters arising under Title III of the Civil Rights Act of 1964 as it applies to prison facilities. cases or matters arising under the Civil Rights of Institutionalized Persons Act of 1980 (42 U.S.C. 1997), cases or matters involving the constitutional rights of institutional juveniles, and the constitutional rights of mentally and physically handicapped persons of all ages, cases arising under section 504 of the Rehabilitation Act of 1973, as amended, and such other matters as may be required to fulfill the duties mandated by Congress.

The records relate to the duties of the Office of Redress Administration (ORA) and include records pertaining to the identification, location and authorization for restitution payments to eligible individuals of Japanese ancestry who were evacuated, relocated or interned during World War II. Such restitution payments are authorized by Section 105 of the Civil Liberties Act of 1988 (50 U.S.C. App. 1989b). Records will also relate to any criminal or civil cases arising under this Act which occur as a result of fraud, challenges to ORA administrative regulations, and to any other such matters as may be required to fulfill the duties mandated by Congress.

Authority for maintenance of the system:

The records in the system of records are kept under the authority of 44 U.S.C. 3101 and in the ordinary course of fulfilling the responsibility assigned to CRT under the provisions of 28 CFR 0.50, 0.51.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

A. Information in the system may be used by employees and officials of the Department to make decisions in the course of investigations and legal proceedings: To assist in preparing responses to correspondence from persons outside the Department to prepare budget requests, and various reports on the work product of CRT or to carry out other authorized Department functions.

B. A record maintained in this system of records may be disseminated as a routine use of such records as follows: (1) A record relating to a possible or potential violation of law, whether civil, criminal, or regulatory in nature may be disseminated to the appropriate federal, state or local agency charged with the responsibility of enforcing or implementing such law; (2) in the course of the Administration by CRT of a federally mandated program, or the investigation or litigation of a case or matter, a record may be disseminated to a federal, state or local agency, or to an individual or organization, if there is reason to believe that such agency, individual or organization possesses information or has the expertise in an official or technical capacity to assist in the administration of such program or to analyze information relating to the investigation, trial or hearing and the dissemination is reasonably necessary to elicit such assistance, information or expert analysis, or to obtain the cooperation of a prospective witness; (3) A record relating to a case or matter, or any facts derived therefrom, may be disseminated in a proceeding before a court, grand jury, administrative or regulatory proceeding or any other adjudicative body before which CRT is authorized to appear, when the United States, or any agency or subdivision thereof, is a party to litigation or has an interest in litigation and such records are determined by CRT to be arguably relevant to the litigation; (4) a record relating to a case or matter may be disseminated to an actual or potential party to litigation or the party's attorney (a) for the purpose of negotiation or discussion on such matters as settlement of the case or matter, plea bargaining or (b) in formal or informal discovery proceedings; (5) a record relating to a case or matter that has been referred for investigation may be disseminated to the referring agency to notify such agency of the status of the case or matter or of any determination that has been made; (6) a record relating to a person held in custody or probation during a criminal proceeding or after conviction, may be disseminated to any agency or individual having responsibility for the maintenance, supervision or release of such person; (7) a record may be disseminated to the United States Commission on Civil Rights in response to its request and pursuant to 42 U.S.C. 1975d.; (8) a record may be disseminated to volunteer student workers and students working under a work-study program as is necessary to enable them to perform their assigned duties.

Release of information to the news media: Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available from systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Release of information to Members of Congress. Information in the system may be disclosed as is necessary to respond to inquiries by Members of Congress on behalf of individual constituents that are subject to CRT records.

Release of information to the National Archives and Records Administration (NARA) and to the General Services Administration (GSA):

A record from a system of records may be disclosed as a routine use to NARA and GSA in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Information in this system is stored on index cards, in file jackets, and on computer disks or tapes.

Retrievability:

Information is retrieved through either use of an index card system or logical queries to the computer-based system. Entries are arranged alphabetically by the names of individuals covered by the system. (Complaints received from individuals which have not been investigated by the Department have not been systematically indexed and information pertaining to such individuals may or may not be retrievable.) Information on such individuals may be retrievable from the file jackets by a number assigned and appearing on the index cards.

Safeguards:

Information in manual and computer form is safeguarded and protected in accordance with applicable Department security regulations for systems of records. Only a limited number of staff members who are assigned a specific indentification code will be able to use the computer to access the stored information.

Retention and disposal:

Records are maintained on the system while current and required for official Government use. When no longer needed on an active basis, the paper files are transferred to the Federal Records Center, Suitland, Maryland and some records are transferred to computer tape and stored in accordance with Department security regulations for system of records. Final disposition is in accordance with records retirement or destruction as scheduled by NARA.

System manager(s) and address:

Executive Officer, Administrative Management Section, Civil Rights Division, United States Department of Justice, Washington, DC 20530.

Notification procedure:

Part of this system is exempted from this requirement under 5 U.S.C. 552a (j)(2) and (k)(2). Address inquiries to the System Manager listed above.

Record access procedures:

Part of this system is exempted from this requirement under 5 U.S.C. 552a (j)(2) and (k)(2). To the extent that this system of records is not subject to exemption, it is subject to access and contest. A determination as to exemption shall be made at the time a request for access is received. A request for access to a record retrievable in this system shall be made in writing, with the envelope and letter clearly marked "Privacy Access Request." Include in the request the full name of the individual, his or her current address, date and place of birth, notarized signature (28 CFR 16.41(b)), the subject of the case or matter as described under "Categories of records in the system," and any other information which is known and may be of assistance in locating the record, such as the name of the civil rights related case or matter involved, where and when it occurred and the name of the judicial district involved. The requester will also provide a return address for transmitting the information. Access requests should be directed to the System Manager listed above.

Contesting record procedures:

Individuals desiring to contest or amend non-exempt information retrievable in the system should direct their request to the System Manager listed above, stating clearly and concisely what information is being contested, the reasons for contesting it, and the proposed amendment to the information sought.

Record source categories:

Sources of information contained in this system may be an agency or person who has or offers information related to the law enforcement responsibilities and/or other statutorily-mandated duties of CRT.

Systems exempted from certain provisions of the act:

The Attorney General has exempted parts of this system from subsections (c)(3), (d), and (g) of the Privacy Act pursuant to 5 U.S.C. 552a (j)(2) and (k)(2). Rules have been promulgated in accordance with the requirements of 5 U.S.C. 553(b)(c) and (e) and have been published in the Federal Register.

These exemptions apply only to the extent that information in a record pertaining to a particular individual relates to an official Federal investigation and/or law enforcement matter. Those files indexed under an individual's name which concern only the administrative management of restitution payments under Section 105 of the Civil Liberties Act of 1988 are not being exempted pursuant to 5 U.S.C. 552a (j)(2) and (k)(2).

JUSTICE/CRT-002

System name:

Files of Applications for the Position of Attorney with the Civil Rights Division.

System location:

U.S. Department of Justice, Civil Rights Division (CRT), 10th and Constitution Avenue, NW, Washington, D.C. 20530.

Categories of individuals covered by the system:

Persons who have applied for a position as an attorney with CRT.

Categories of records in the system:

The system may contain SF 171 forms, resumes, referral letters, letters of recommendation, writing samples, interview notes, internal notes or memoranda, and other correspondence and documents.

Authority for maintenance of the system:

The records in this system of records are kept under the authority of 44 U.S.C. 3101 and in the ordinary course of fulfilling the responsibilities assigned to CRT under 28 CFR 0.50, 0.51.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The records in this system are used by employees and officials of the Department in making employment decisions. If an individual is hired, the records may become part of his or her Official Personnel Folder.

A record relating to this system, or any facts derived therefrom, may be disseminated in a proceeding before a court, grand jury, administrative or regulatory proceeding or any other adjudicative body before which the Civil Rights Division is authorized to appear, when the United States, or any agency or subdivision thereof, is a party to litigation or has an interest in litigation and such records are determined by the Civil Rights Division to be arguably relevant to the litigation. A record relating to this system may be disseminated to an actual or potential party to litigation or the party's attorney for the purpose of negotiation or discussion on such matters as settlement of the case or matter, plea bargaining or in formal or informal discovery proceedings.

Release of information to the news media: Information permitted to be released in the news media and the public pursuant to 28 CFR 50.2 may be made available from systems or records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Release of information of Members of Congress. Information in the system may be disclosed as is necessary to respond to inquiries by Members of Congress on behalf of individual constituents that are subjects of CRT records.

Release of information to the National Archives and Records Administration: A record from a system of records may be disclosed as a routine use to the National Archives and Records Administration (NARA) in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records in the system are primarily original papers or reproductions or copies thereof. The system consists of files pertaining to individual applicants.

Retrievability:

Information is retrieved by using an applicant's name.

Safeguards:

Information in the system is unclassified. It is safeguarded and protected in accordance with Departmental rules and procedures governing access, production and disclosure of any materials contained in its official files.

Retention and disposal:

Information is retained in the system until a final employment decision is made or until such time as CRT is notified by the applicant that he or she is no longer interested in or available for the position. If an individual is hired, some or all of the records may become part of his or her Official Personnel Folder.

System manager(s) and address:

Deputy Assistant Attorney General, Civil Rights Division, U.S. Department of Justice, Washington, D.C. 20530.

Notification procedure:

Address inquiries to the Assistant Attorney General, Civil Rights Division, U.S. Department of Justice, Washington, D.C. 20530.

Record access procedures:

A request for access to a record from this system shall be made in writing with the envelope and the letter clearly marked 'Privacy Access Request.' The request should include the name of the applicant and the position applied for. The requester will also provide a return address for transmitting the information. Access requests will be directed to the System Manager listed above.

Contesting record procedures:

Individuals desiring to contest or amend information maintained in the system should direct their request to the System Manager listed above, stating clearly concisely what information is being contested, the reasons for contesting it, and the proposed amendment to the information sought.

Record source categories:

Sources of information contained in the system generally are the applicants, persons referring or recommending the applicant, and employees and officials of the Department.

Systems exempted from certain provisions of the act:

None.

JUSTICE/CRT-003

System name:

Civil Rights Case Load Evaluation System—Time Reporting System.

System location:

United States Department of Justice, Civil Rights Division (CRT), 10th and Constitution Avenue, NW., Washington, D.C. 20530.

Categories of individuals covered by the system:

Attorneys and paralegals of CRT of the United States Department of Justice.

Categories of records in the system:

The system contains the names of Division attorneys and paralegals and their assignments and allocation of work time.

Authority for maintenance of the system:

The records in this system are kept under the authority of 44 U.S.C. 3101 and in the ordinary course of fulfilling the responsibilities assigned to CRT under 28 CFR 0.50, 0.51.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

CRT personnel use this system or records to keep track of resources, i.e., to determine CRT allocations of resources and professional time to individual assignments of cases and broad categories of cases (e.g., voting, criminal, enforcement), and to assist in preparing budget requests and other reports which may be submitted to the Attorney General or the Congress.

A record relating to this system, or an facts derived therefrom, may be disseminated in a proceeding before a court, grand jury, administrative or regulatory proceeding or any other adjudicative body before which CRT is authorized to appear, when the United States, or any agency or subdivision thereof, is a party to litigation or has an interest in litigation and such records are determined by CRT to be arguably relevant to the litigation. A record relating to this system may be disseminated to an actual or potential party to litigation or the party's attorney for the purpose of negotiation or discussion on such matters as settlement or the case of matter, plea bargaining or in formal or informal discovery proceedings.

A record may be accessed by volunteer student workers and students working under a work-study program as is necessary to enable them to perform their assigned duties.

Release of information to Members of Congress: Information in the system may be disclosed as is necessary to respond to inquiries by Members of Congress on behalf of individual constituents that are subject of CRT records.

Release of information to the National Archives and Records Administration (NARA) and to the General Services Administration (GSA): A record from the system or records may be disclosed to NARA and GSA for records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are stored on computer disks.

Retrievability:

Information is retrieved by the names of attorneys or paralegals.

Safeguards:

Information contained in the system is unclassified. It is safeguarded and protected in accordance with Departmental security regulations for systems or records. Access to the records is limited to those employees whose official duties require such access.

Retention and disposal:

Records are maintained in the system while current and required for official Government use. When no longer needed on an active basis, the records are stored in accoradance with Departmental security regulations for systems of records. Final disposition is in accordance with General Records Schedule 5, item 4.

System manager(s) and address:

Executive Officer, Administrative Management Section, Civil Rights Division, United States Department of Justice, 10th and Constitution Avenue, NW., Washington D.C. 20530.

Notification procedure:

Address inquiries to the system manager listed above.

Record access procedures:

A request for access to a record retrievable in this system shall be made in writing, with the envelope and letter clealry marked "Privacy Access Request." Include in the request the full name of the individual involved, his or her current address, date and place of birth, and notarized signature (28 CFR 16.42(b)), and any other information which is known and may be of assistance in locating the record. The requester should provide a return address for transmitting the information. Access to request should be directed to the system manager listed above.

Contesting record procedures:

Individuals desiring the contest or amend their records should direct their request to the system manager listed above, stating clearly and concisely what information is being contested, the reasons for contesting it, and the proposed amendment to the information sought.

Record source categories:

Information on time-allocation is provided by CRT attorneys and paralegals.

Systems exempted from certain provisions of the act:

None.

JUSTICE/CRT-004

System name:

Registry of Names of Interested Persons Desiring Notification of Submissions under Section 5 of the Voting Rights Act.

System location:

U.S. Department of Justice, Civil Rights Division (CRT), 320 First Street, NW., Washington, D.C. 20530 and U.S. Department of Justice, 10th and Constitution, NW., Washington, D.C. 20530.

Categories of individuals covered by the system:

Persons who have requested that the Attorney General send them notice of submissions under Section 5 of the Voting Rights Act of 1965, 42 U.S.C. 1973c.

Categories of records in the system:

The Registry contains the name, address and telephone numbers of interested parties, and, where appropriate, the area or areas with respect to which notification was requested by such persons.

Authority for maintenance of the system:

46 FR 877 (1981) codified in 28 CFR 51.30, 42 U.S.C. 1973c, 5 U.S.C. 301 and 28 U.S.C. 509.510.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The Registry is used to identify persons interested in receiving notice of Section 5 submissions and to comply with their requests. The Registry may be used to notify the persons listed therein of any proposed changes in the "Procedures for the Administration of Section 5 of the Voting Rights Act of 1965," 46 FR 870 (1981) codified in 28 CFR Part 1, and to solicit their comments which respect to any such proposed changes.

A record relating to this system, or any facts derived therefrom, may be disseminated in a proceeding before a court, grand jury, administrative or regulatory proceeding or any other adjudicative body before which CRT is authorized to appear, when the United States, or any agency or subdivision thereof, is a party to litigation or has an interest in litigation and such records are determined by CRT to be arguably relevant to the litigation. A record relating to this system may be disseminated to an actual or potential party to litigation or the party's attorney for the purpose of negotiation or discussion on such matters as settlement of the case or matter, plea bargaining or in formal or informal discovery proceedings.

A record may be accessed by volunteer student workers and students working under work-study program as is necessary to enable them to perform their assigned duties.

Release of information to the news media: Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available from systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Release of information to Members of Congress: Information in the system may be disclosed as is necessary to respond to inquiries by Members of Congress on behalf of individual constituents that are subjects of CRT records.

Release of information to the National Archives and Records Administration (NARA) and to the General Services Administration (GSA):

A record from a system of records may be disclosed as a routine use to NARA and GSA in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Names are stored in a card file system, and an automated addresser.

Retrievability:

Records in this system are retrievable by the names of interested persons are organizations.

Safeguards:

Information in the system is safeguarded in accordance with Departmental rules and procedures governing access, production and disclosure of any materials contained in its official files.

Retention and disposal:

An individual or organizational name is retained in the Registry until such time as that person or organization request that the name be deleted.

System manager(s) and address:

Chief, Voting Section, Civil Rights Division, U.S. Department of Justice Washington, D.C. 20530.

Notification procedure:

Address inquiries to: Assistant Attorney General, Civil Rights Division, U.S. Department of Justice, Washington, D.C. 20530.

Record access procedures:

This system contains no information about any individual other than as described in Category of Record above. Persons whose names appear on the Registry may have access thereto or have their names and other information pertaining to them deleted or modified upon a request of the same nature as indicated in 46 FR 877 (1981) Codified in 28 CFR 51.30.

Contesting record procedures:

Same as the above.

Record source categories:

Sources of information in the Registry are those persons or organizations whose names appear therein by virtue of their having requested inclusion in the Registry pursuant to 46 FR 877 (1981) codified in 28 CFR 51.30.

Systems exempted from certain provisions of the act:

None.

JUSTICE/CRT-007

System name:

Files on Employment Civil Rights Matters Referred by the Equal Employment Opportunity Commission.

System location:

U.S. Department of Justice, Civil Rights Division (CRT), 10th and Constitution Avenue NW., Washington, D.C. 20530.

Categories of individuals covered by the system:

Persons seeking employment or employed by a state or a political subdivision of a state who have filed chages alleging discrimination in employment with the Equal Employment Opportunity Commission (hereinafter EEOC) which have resulted in a determination by EEOC that there is probable cause to believe that such discrimination has occurred, and attempts by EEOC at conciliation have failed.

Categories of records in the system:

The system may contain copies of charges filed with EEOC, copies of EEOC's "determination" letters, letters of transmittal from and to EEOC, analyses or evaluations summarizing the charge and other materials in the EEOC file, internal memoranda, attorney notes, and copies of "right to sue" letters issued by CRT. Charges related to allegations of employment discrimination by public employers filed by individual complainants which have been referred to the Department of Justice by EEOC pursuant to 42 U.S.C. 2000e-5(f)(1) or 5(f)(2), or to allegations of a pattern or practice of violations of the Equal Employment Opportunity Act by a public employer which have been referred to the Department of Justice by EEOC pursuant to 42 U.S.C. 2000e-6.

Authority for maintenance of the system:

The records in this system of records are kept under authority of 44 U.S.C. 3101 and in the ordinary course fulfilling the responsibilities assigned to CRT under 28 CFR 0.50, 0.51.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The system is used by employees and officials of the Department to make decisions regarding prosecution of alleged instances of employment discrimination, to issue right to sue letters on behalf of individuals; to make policy and planning determinations; to prepare annual budget requests and justifications; to prepare statistical reports on the work product of the Employment Litigation Section and to carry out other authorized internal functions of the Department. If the Department has determined to initiate an investigation or litigate a matter referred by EEOC the records pertaining to that matter are not contained in the system. Such records and their routine uses are described under the notice for the system named: Central CRT Index File and Associated Records.

A record relating to this system, or any facts derived therefrom may be disseminated in a proceeding before a court, grand jury, administrative or regulatory proceeding or any other adjudicative body before which CRT is authorized to appear, when the United States, or any agency or subdivision therof, is a party to litigation or has an interest in litigation and such records are determined by CRT to be arguably relevant to the litigation. A record relating to this system may be disseminated to an actual or potential party to litigation or the party's attorney for the purpose of negotiation or discussion on such matters as settlement of the case or matter, plea bargaining or in formal or informal discovery proceedings.

A record may be accessed by volunteer student workers and students working under a work-study program as is necessary to enable them to perform their assigned duties.

Releases of information to the news media: Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available from systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Release of information to Members of Congress: Information in the system may be disclosed as is necessary to respond to inquiries by Members of Congress on behalf of individual constituents that are subjects of CRT records.

Release of information to the National Archives and Records Administration (NARA) and to the General Services Administration (GSA):

A record from a system of records may be disclosed as a routine use to NARA and GSA in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Information in the systems is stored on index cards, in file jackets, and in computer disks which are maintained by the Employment Litigation Section, Civil Rights Division. If the charge related to a public educational agency or institution and was filed before September 1977, such information may be maintained by the Educational Opportunities Section, Civil Rights Division.

Retrievability:

Information is retrieved primarily by using the appropriate Department of Justice file number, or the name of the charging party, or the state in which the alleged discrimination occurred or through, other logical queries to the computer based system.

Safeguards:

Information in manual and computer form is safeguarded and protected in accordance with applicable Departmental security regulations for systems of records. Only limited number of staff members who are assigned a specific identification code will be able to use the computer or to access the stored information.

Retention and disposal:

If the Department determines not to prosecute a matter referred by the EEOC, the records transmitted with the referral are returned to the EEOC. Other records in the system are kept for routine use by the Department and when no longer needed are sent to the Federal Records Center or are destroyed in accordance with records retention and disposal schedules as established by NARA.

System manager(s) and address:

Assistant Attorney General, Civil Rights Division, U.S. Department of Justice, Washington, D.C. 20530.

Notification procedure:

Same as the above.

Record access procedures:

A request for access to a record from this system shall be made in writing with the envelope and letter clearly marked "Privacy Access Request." The request should indicate the state where the alleged employment discrimination took place and the employer to which the charge was related. The requester should also provide the full name of the individual involved, his or her current address, date and place of birth, notarized signature (28 CFR 16.41(b)), any other known information which may be of assistance in locating the record, and a return address for transmitting the information. Access requests will be directed to the System Manager listed above.

Contesting record procedures:

Individuals desiring to contest or amend information maintained in the system should direct their request to the System Manager listed above, stating clearly and concisely what information is being contested, the reasons for contesting it, and the proposed amendment to the information sought. Disclosure of part of the material in this system may be prohibited by 42 U.S.C. 2000e-5(b), 42 U.S.C. 2000e-8(e) and 44 U.S.C. 3510(b). Part of this system is exempted from access and contest under 5 U.S.C. 552a(k)(2).

Record source categories:

Source of information in this system are charging parties, information complied and maintained by EEOC, and employees and officials of the Department of Justice responsible for the disposition of the referral request.

Systems exempted from certain provisions of the act:

The Attorney General has exempted the system from subsection 9d of the Privacy Act pursuant to 5 U.S.C. 552(k)(2). Rules have been promulgated in accordance with the requirements of 5 U.S.C. 553(b), (c) and have been published in the Federal Register.

JUSTICE/CRT-008

System name: Files on Correspondence Relating to Civil Rights Matters from Persons Outside the Department of Justice.

System location:

U.S. Department of Justice, Civil Rights Division (CRT), 10th and Constitution Avenue NW., Washington, DC 20530.

Categories of individuals covered by the system:

Persons communicating in written form in person or by telephone, including complaints, requests for information or action, or expressions of opinion regarding civil rights matters.

Categories of records in the system:

The system contains original correspondence regarding civil rights matters from persons, cover letters or notes from persons referring original correspondence to the Department attorney or other employees notes regarding the correspondence, and copies of CRT responses to the original correspondence.

Authority for maintenance of the system:

This system of records is maintained pursuant to 44 U.S.C. 3101 and in the ordinary course of fulfilling the responsibility assigned to CRT under the provisions of 28 CFR 0.50.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The system is used by employees and officials of the Department to respond to incoming correspondence, to compile statistics for use in preparation budget requests, to insure proper disposition of incoming mail, to determine the status and content of responses to correspondence, to respond to inquiries from Division personnel, Office of Legislative Affairs and Congressional offices regarding the status of correspondence, and to carry out other authorized functions of the Department.

A record relating to this system, or any facts derived therefrom, may be disseminated in a proceeding before a court, grand jury, administrative or regulatory proceeding or any other adjudicative body before which CRT is authorized to appear, when the United States, or any agency or subdivision thereof, is a party to litigation or has an interest in litigation and such records are determined by CRT to be arguably relevant to the litigation. A record relating to this system may be disseminated to an actual or potential party to litigation or the party's attorney for the purpose of negotiation or discussion on such matters as settlement of the case or matter, plea bargaining or in formal or informal discovery proceedings.

Information in the system regarding individual pieces of correspondence may be provided to Members of Congress upon request in instances where the Members making the request referred the correspondence in question to the Department.

A record may be accessed by volunteer student workers and students working under a work-study program as is necessary to enable them to perform their assigned duties.

Release of information to the news media: Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available from systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Release of information to Members of Congress: Information in the system may be disclosed as is necessary to respond to inquiries by Members of Congress on behalf of individual constituents that are subjects of CRT records.

Release of information to the National Archives and Records Administration (NARA) and to the General Services Administration (GSA):

A record from a system of records may be disclosed as a routine use to NARA and GSA in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records in the system are primarily index cards and original letters of copies thereof.

The index cards and incoming letters are stored in filing cabinets in locked offices, and on disks for automated office equipment; correspondents' names, file numbers, the type of complaints, CRT response to complainants or other corresponding persons, and records of referrals are stored on magnetic cartridges for access by computer.

Retrievability:

Information may be retrieved through use of card index file system, automated office equipment, or by logical queries to the computer based system. The information on the index cards, on disks for automated office equipment, and on the computer is organized into indexes (1) arranged according to the name of citizens that corresponded with the Department and (2) arranged to the name of members of Congress or White House staff Members who have referred correspondence to the Department.

Safeguards:

Information in the system is unclassified. Information in manual and computer form is safeguarded and protected in accordance with applicable Departmental security/regulations for systems of records. Only a limited number of staff members who are assigned a specific identification code will be able to use the computer or to access the stored information. All records in the system are protected by locks on the storage facility, computer, and by locks on the room that contains the records.

Retention and disposal:

Records are disposed of in accordance with General Records Schedule 23, item 4.

System manager(s) and address:

Assistant Attorney General, Civil Rights Division, U.S. Department of Justice, Washington, D.C. 20530.

Notification procedure:

Same as above.

Record access procedures:

A request for access to a record from this system shall be made in writing, with the envelope and the letter clearly marked "Privacy Access request." The request should include the name of the correspondent, his address or the name of the Member of Congress or White House staff member who referred the correspondence to the Department, if known, the Department of Justice file number, if known, and the date of the correspondence. The requester will also provide a return address for transmitting the information. Access requests will be directly to the System Manager listed above.

Contesting record procedures:

Individuals desiring to contest or amendment information maintained in the system should direct their request to the System Manager listed above, stating clearly and concisely what information is being contested, the reasons for contesting it, and the proposed amendment to the information sought.

Record source categories:

Sources of information contained in this system are the original correspondents, person referring original correspondence to the Department, and employees and officials of the Department responsible for the disposition of the correspondence.

Systems exempted from certain provisions of the act:

None.

JUSTICE/CRT-009

System name:

Civil Rights Division Travel Reports.

System location:

United States Department of Justice, Civil Rights Division (CRT), 10th and Constitution Avenue NW., Washington, D.C. 20530.

Categories of individuals covered by the system:

All persons who have filed travel authorization forms or travel voucher forms for official travel on behalf of CRT.

Categories of records in the system:

The system contains information concerning travel expenditures which were recorded on travel authorization forms (Forms OBD-1 and DOJ-501) and travel voucher forms (Forms OBD-157 and SF-1012) by CRT employees or other persons authorized to travel for CRT and submitted to the Budget and Finance Branch of CRT from fiscal Year 1972 to the present. The computerized data covers fiscal years 1972 through 1981.

Authority for maintenance of the system:

The records in this system of records are kept under the authority of 44 U.S.C. 3101 and in the ordinary course of fulfilling the responsibilities assigned to CRT under 28 CFR 0.50, 0.51.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The records in this system are used to make periodic and special reports to the Administrative Management Section, CRT, and to the Budget and Finance Branch, CRT, for use in controlling and reviewing CRT expenditures. Copies of individual's reports may be disclosed to the individual when appropriate forms are not submitted following a return from travel status.

A record relating to this system, or any facts derived therefrom, may be disseminated in a proceeding before a court, grand jury, administrative or regulatory proceeding or any other adjudicative body before which CRT is authorized to appear, when the United States, or any agency or subdivision thereof, is a party to litigation or has an interest in litigation and such records are determined by CRT to be arguably relevant to the litigation. A record relating to this system may be disseminated to an actual or potential party to litigation or the party's attorney for the purpose of negotiation or discussion on such matters as settlement of the case or matter, plea bargaining or in formal or informal discovery proceedings.

A record may be accessed by volunteer student workers and students working under a work-study program as is necessary to enable them to perform their assigned duties.

Release of information to the news media: Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available from systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Release of information to Members of Congress: Information in the system may be disclosed as is necessary to respond to inquiries by Members of Congress on behalf of individual constituents that are subject to CRT records.

Release of information to the National Archives and Records Administration (NARA) and to the General Services Administration (GSA): A record from a system of records may be disclosed as a routine use to NARA and GSA in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records in the system are stored on magnetic tape and on computer punch cards, on monthly and periodic and special reports printed on computer. Individual vouchers and travel authorization forms are stored in file jackets.

Retrievability:

Records in this system are retrieved by the names of those individuals identified under the caption "Categories of individuals covered by the system."

Safeguards:

Information in the system is unclassified. However, the records are protected in accordance with applicable Department security regulations for systems of records. Records are stored in locked cabinets and access to the computer is limited to those personnel who have a need for access to perform their official duties.

Retention and disposal:

Records are maintained on the system while current and required for official Government use. When not longer needed on an active basis, the records are transferred to computer tape and stored in accordance with Departmental security regulations for systems of records. Final disposition will be in accordance with records retirement or destruction as scheduled by NARA.

System manager(s) and address:

Executive Officer, Administrative Management Section, Civil Rights Division, United States Department of Justice, Washington, DC 20530.

Notification procedure:

Same as the above.

Record access procedures:

Requests by former employees for access to records in this system may be made in writing with the envelope and letter clearly marked "Privacy Act Request". The request should clearly state the dates on which official travel was taken. The requestor should also provide the full name of the individual involved, his or her current address, date and place of birth, notarized signature (28 CFR 16.41(b)), any other known information which may be of assistance in locating the record, and a return address for transmitting the information. Access requests will be directed to the System Manager. Present employees may request access by contacting the System Manager directly.

Contesting record procedures:

Individuals desiring to contest or amend information maintained in the system should direct their request to the System Manager listed above, stating clearly and concisely what information is being contested, the reason for contesting it, and the proposed amendment to the information sought.

Record source categories:

Source of information are CRT employees and other authorized persons who file travel authorization and travel voucher forms.

Systems exempted from certain provisions of the act:

None.

JUSTICE/CRT-010

System name:

Freedom of Information: Privacy Acts Records.

System location:

U.S. Department of Justice, Civil Rights Division (CRT), 10th and Constitution Avenue, NW, Washington, DC 20530 and Federal Records Center, Suitland, Maryland 20409.

Categories of individuals covered by the system:

Persons who request disclosure of records pursuant to the Freedom of Information Act; persons who request access to or correction of records pertaining to themselves contained in CRT systems of records pursuant to the Privacy Act; and where applicable, persons about whom records have been requested or about whom information is contained in requested records.

Categories of records in the system:

The system contains copies of all Freedom of Information/Privacy Acts (FOI/PA) requests received by CRT since January 1, 1975, copies of CRT responses to the requesters, internal memoranda and correspondence related to the requests, copies of the documents responsive to the requests, and records of appeals or litigation, and disclosure accounting records.

Authority for maintenance of the system:

This system is established and maintained pursuant to 44 U.S.C. 3101 and is maintained to implement the provisions of 5 U.S.C. 552 and 552a and the provisions of 28 CFR 16.1 et seq. and 28 CFR 16.40 et seq.

Purpose(s):

The FOI/PA Branch of CRT is the designated unit to receive, process and respond to CRT FOI/PA requests. The purpose of the system is to enable the unit to perform its various receipt and response functions.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

A record maintained in this system may be disseminated as a routine use of such record as follows: (1) A record may be disseminated to a Federal agency which furnished the record for the purpose of permitting a decision as to access or correction to be made by that agency, or for the purpose of consulting with that agency as to the propriety of access or correction; (2) a record may be disseminated to any appropriate Federal, State, local, or foreign agency for the purpose of verifying the accuracy of information submitted by an individual who has requested amendment or correction of records contained in systems of records maintained by CRT; (3) A record may be disseminated by volunteer student workers and students working under a work-study program as is necessary to enable them be perform their assigned duties; (4) a record relating to this system, or any facts derived therefrom, may be disseminated in proceeding before a court, grand jury, administrative or regulatory proceeding or any other adjudicative body before which CRT is authorized to appear, when the United States, or any agency or subdivision thereof, is a party to litigation or has an interest in litigation and such records are determined by CRT to be arguably relevant to the litigation; and (5) a record relating to this system may be disseminated to an actual or potential party to litigation or the party's attorney for the purpose of negotiation or discussion on such matters as settlement of the case or matter, plea bargaining or in formal or informal discovery proceedings.

Release of Information to the News Media:

Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available from systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Release of Information to Members of Congress:

Information in the system may be disclosed as is necessary to respond to inquiries by Members of Congress on behalf of individual constituents that are subjects of CRT records.

Release of Information to the National Archives and Records Administration (NARA) and to the General Services Administration (GSA):

A record from a system of records may be disclosed as a routine use to NARA and GSA in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

A record contained in this system is stored manually in alphabetical order in file folders in a storage facility; abbreviated or summarized information is stored on manual index cards; in chronologial, cumulative, notebooks; on disks in automated office equipment; and on magnetic disks and tapes.

Retrievability:

A record is retrieved by the name of the individual or person making a request for access or correction of records.

Summary data on requests received through 1986, and part of 1987, is retrieved from the manual index cards, and from chronological cumulative notebooks; summary data as of the 1987 implementation of the computer system is retrieved from magnetic disks and tapes. Summary data consists of such data elements as name of requester, date and subject of request, response date, a summary of the response letter, case number, and date appealed, if applicable.

Safeguards:

Access to records is limited to personnel of the FOI/PA Branch of CRT and known Department of Justice personnel who have a need for the record in the performance of their duties.

Records in manual and computer form are a safeguarded and protected in accordance with applicable Department security regulations for systems of records. Only a limited number of FOI/PA Branch staff who are assigned specific identification codes will be able to use the computer and to access the stored information. All records in the system are protected by locks on the storage facility, the computer, and the room that contains the records.

Retention and disposal:

Records are disposed of in accordance with General Records Schedule 14, items 16, 17, 18 and items 25, 26, 27 and 28.

System manager(s) and address:

Assistant Attorney General, Civil Rights Division, U.S. Department of Justice, 10th and Constitution Avenue, NW., Washington, D.C. 20530.

Notification procedure:

Parts of this system are exempted from this requirement under 5 U.S.C. 552a(j)(2) or (k)(2). Address inquiries to the System Manager listed above.

Record access procedures:

Parts of ths system are exempted from this requirement under 5 U.S.C. 552a(j)(2) or (k)(2). To the extent that this system of records is not subject to exemption, it is subject to access and contest. A determination as to exemption shall be made at this time a request for access is received. A request for access to a record contained in this system shall be made in writing, with the envelope and letter clearly marked.

"Privacy Access Request". Include in the request the name of the individual involved, his birth date and place, or any other information which is known and may be of assistance in locating the record. The requester shall also provide a return address for transmitting the information. Access requests should be directed to the System Manager listed above.

Contesting record procedures:

Individuals desiring to contest or amend non-exempt information maintained in the system should direct their request to the System Manager listed above, stating clearly and concisely what information is being contested, the reasons for contesting it, and the proposed amendment to the information sought.

Record source categories:

Sources of information contained in this system are the individuals and persons making requests, the systems of records searched in the process of responding to requests, and other agencies referring requests for access to or correction of records originating in CRT.

Systems exempted from certain provisions of the act:

The Attorney General has exempted certain categories of records in the system pursuant to the provisions of 5 U.S.C. 552a(j)(2) from subsections (c)(3), (d), and (g) of 5 U.S.C. 552a; in addition, certain categories of records are exempted pursuant to the provisions of 5 U.S.C. 552a(k)(2) from subsection (c)(3), and (d) of 5 U.S.C. 552a. These exemptions apply only to the extent the records contained in the system reflect ivestigatory law enforcement information. Rules have been promulgated in accordance with the requirements of 5 U.S.C. 553(b), (c), and (e) and have been published in the Federal Register.

COMMUNITY RELATIONS SERVICE

JUSTICE/CRS-001

System name: Operational Data Information System.

System location: Community Relations Service, U.S. Department of Justice, 550 11th Street NW., Washington, D.C. 20530.

Categories of individuals covered by the system: Conciliators and Mediators of the Community Relations Service of the U.S. Department of Justice.

Categories of records in the system: The file contains the names of CRS employees, their case assignments, and the time allocated to each assignment. In addition, information reflecting the current status and handling of the case is included within the system.

Authority for maintenance of the system: The file is established to effect the purposes of 42 U.S.C. 2000g-1, 2000g-3 (1970).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The file is used by CRS personnel as a basis for preparing daily, weekly, and monthly activity reports for internal management. It is also used by the Administrative Office to prepare time efficiency analyses on CRS personnel. In addition, the file will be consulted in order to prepare budget requests and reports to the Associate Attorney General, the Attorney General, and to Congress.

Release of Information to the News Media and the Public: Information from the system of records may be made available to the news media and the public, unless such release would violate 42 U.S.C. 2000g-2, or would constitute an unwarranted invasion of personal privacy.

Release of Information to Members of Congress: Information contained in the system, not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of, and at the request of, the individual who is the subject of the record unless such release would violate 42 U.S.C. 2000g-2.

Release of Information to the National Archives and Records Administration: A record from the system of records may be disclosed to the National Archives and Records Administration (NARA) for records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906, unless such disclosure would violate 42 U.S.C. 2000g-2.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Automated records are maintained on magnetic disk at the Department of Justice Data Management Service.

Retrievability: Information is retrieved by a variety of key words including, but not limited to, the name of the employee, geographic location, and subject matter of the record.

Safeguards: Information maintained in the system is safeguarded and protected in accordance with Department rules and procedures governing the handling of computerized information. Only individuals specifically authorized by the Director of CRS will have access to the computer through a single terminal located in an office occupied during the day and locked at night. Access to the information in the system will be limited to those CRS employees whose official duties require such information.

Retention and disposal: Records classified by the subject's name are retained until 60 days after the record subject leaves the employment of the Community Relations Service and are then deleted from the system.

System manager(s) and address: Deputy Director, Community Relations Service, U.S. Department of Justice, Todd Building, 550 11th Street NW., Washington, D.C. 20530.

Notification procedure: Address inquiries to Office of Chief Counsel, Community Relations Service, U.S. Department of Justice, 550 11th Street NW., Washington, D.C. 20530.

Record access procedures: In all cases, requests for access to a record shall be in writing, by mail or in person. If request for access is made by mail, the envelope and letter shall be clearly marked "Privacy Act Request." The requester shall include a description of the record requested and, if known, the case file number(s). To identify a record relating to an individual, the requester must provide the individual's full name, date and place of birth, employee identification number, and date of employment and duty assignment station(s) while employed by the Community Relations Service.

Contesting record procedures: Any individual desiring to contest or amend information maintained in the system should direct his or her request to the Deputy Director, Community Relations Service, U.S. Department of Justice, Todd Building, 550 11th Street NW., Washington, D.C. 20530. The request should state clearly what information is being contested, the reason for contesting, and the proposed amendment to the information.

Record source categories: The records are prepared by the conciliator/mediator or, in exceptional cases, by his or her supervisor.

Systems exempted from certain provisions of the act: None.

CRIMINAL DIVISION

JUSTICE/CRM-001

System name:

Central Criminal Division Index File and Associated Records.

System location:

U.S. Department of Justice, Criminal Division, Bond Building, 1400 New York Avenue NW., Washington, DC 20530, and, Federal Records Center, Suitland, Maryland 20409.

Categories of individuals covered by the system:

Persons referred to in potential or actual cases and matters of concern to the Criminal Division and correspondents on subjects directed or referred to the Criminal Division.

Categories of records in the system:

The system consists of alphabetical indices bearing individual names, and the associated records to which they relate, arranged either by subject matter or individual identifying number containing the general and particular records of all Criminal Division correspondence, cases, matters, and memoranda, including but not limited to investigative reports, correspondence to and from the Division, legal papers, evidence, and exhibits. The system also includes items classified in the interest of national security with such designations as confidential, secret, and top secret received and maintained by the Department of Justice. This system may also include records concerning subject matters more particularly described in other systems of records of the Criminal Division.

Authority for maintenance of the system:

This system is established and maintained pursuant to 44 U.S.C. 3101 to implement all functions assigned to the Criminal Division in 28 CFR 0.55 through 0.64–2.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

A record maintained in this system of records may be disseminated as a routine use of such record as follows: (1) In any case in which there is an indication of a violation or potential violation of law, whether civil, criminal, or regulatory in nature, the record in question may be disseminated to the appropriate federal, state, local, or foreign agency charged with the responsibility for investigation or prosecuting such violation or charged with enforcing or implementing such law; (2) in the course of investigating the potential or actual violation of any law, whether civil, criminal, or regulatory in nature, or during the course of a trial or hearing or the preparation for a trial or hearing for such violation, a record may be disseminated to a federal, state, local, or foreign agency, or to an individual or organization, if there is reason to believe that such agency, individual, or organization possesses information relating to the investigation, trial, or hearing and the dissemination is reasonably necessary to elicit such information or to obtain the cooperation of a witness or an informant; (3) a record related to a case or matter may be disseminated in an appropriate federal, state, local, or foreign court or grand jury proceeding in accordance with established constitutional, substantive, or procedural law or practice; (4) a record relating to a case or matter may be disseminated to a federal, state, or local administrative or regulatory proceeding or hearing in accordance with the procedures governing such proceeding or hearing; (5) a record relating to a case or matter may be disseminated to an actual or potential party or his attorney for the purposes of negotiation or discussion on such matters as settlement of the case or matter, plea bargaining, or informal discovery proceedings; (6) a record relating to a case or matter that has been referred by an agency for investigation, prosecution, or enforcement, or that involves a case or matter within the jurisdiction of an agency, may be disseminated to such agency to notify the agency of the status of the case or matter or of any decision or determination that has been made, or to make such other inquiries and reports as are necessary during the processing of the case or matter; (7) a record relating to a person held in custody pending or during arraignment, trial, sentence, or extradition proceedings, or after conviction or after extradition proceedings, may be disseminated to a federal, state, local, or foreign prison, probation, parole, or pardon authority, or to any other agency or individual concerned with the maintenance, transportation, or release of such a person; (8) a record relating to a case or matter may be disseminated to a foreign country pursuant to an international treaty or convention entered into and ratified by the United States or to an executive agreement; (9) a record may be disseminated to a federal, state, local, foreign, or international law enforcement agency to assist in the general crime prevention and detection efforts of the recipient agency or to provide investigative leads to such agency; (10) a record may be disseminated to a federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information relates to the requesting agency's decision on the matter; (11) a record may be disseminated to the public, news media, trade associations, or organized groups, when the purpose of the dissemination is educational or informational, such as descriptions of crime trends or distinctive or unique modus operandi, provided that the record does not contain any information identifiable to a specific individual other than such modus operandi; (12) a record may be disseminated to a foreign country, through the United States Department of State or directly to the representative of such country, to the extent necessary to assist such country in apprehending and/or returning a fugitive to a jurisdiction which seeks his return; (13) a record that contains classified national security information and material may be disseminated to persons who are engaged in historical research projects, or who have previously occupied policy making provisions to which they were appointed by the President, in accordance with the provisions codified in 28 CFR 17.60; (14) a record relating to an actual or protential civil or criminal violation of title 17, United States Code, may be disseminated to a person injured by such violation to assist him in the institution or maintainance of a suit brought under such title.

Release of information to the news media: Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available from systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Release of information to Members of Congress. Information contained in systems of records maintained by the Department of Justice, not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and at the request of the individual who is the subject of the record.

Release of information to the National Archives and Records Administration (NARA), and to the General Services Administration (GSA): A record from a system of records may be disclosed as a routine use to NARA and GSA in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper documents are stored in file folders and in the Federal Records Center; selected summary data is stored on manual index cards and on microfilm and on IBM System/38.

Retrievability:

Summary data, e.g., names, file numbers, subjects, dates of correspondence, dates of receipt, due dates of assignments, docket numbers and/or synopses are retrieved from manual index cards microfilm, and a numerical listing maintained on IBM System/38.

File folders are retrieved through manual or automated indexes which are accessed through certain summary data, i.e., name or file and docket numbers.

Safeguards:

The records are safeguarded and protected in accordance with applicable Departmental rules. Security for the automated records include strictly controlled access codes and passwords. In addition, only authorized Criminal Division employees will have access to the system.

Retention and disposal:

Currently there is an agreement with the Federal Records Center for retention and disposal after ten years applicable to approximately 20 percent of the Division records. All other paper records are currently retained indefinitely. A retention and disposal schedule for automated records will be under review in connection with a revised schedule for the paper records.

System manager(s) and address:

Assistant Attorney General, Criminal Division, U.S. Department of Justice; 10th and Constitution Avenue, NW., Washington, D.C. 20530.

Notification procedure:

The major part of this system is exempted from this requirement under 5 U.S.C. 552a (j)(2), (k)(1), or (k)(2). Inquiry concerning this system should be directed to the system manager listed above.

Record access procedures:

The major part of this system is exempted from this requirement under 5 U.S.C. 552a (j)(2), (k)(1), or (k)(2). To the extent that this system of records is not subject to exemption, it is subject to access and contest. A determination as to exemption shall be made at the time a request for access is received. A request for access to a record contained in this system shall be made in writing, with the envelope and the letter clearly marked 'Privacy Access Request.' Include in the request the name of the individual involved, his birth date and place, or any other identifying number or information which may be of assistance in locating the record, the name of the case or matter involved, if known, and the name of the judicial district involved, if known. The requestor will also provide a return address for transmitting the information. Access requests will be directed to the system manager listed above.

Contesting record procedures:

Individuals desiring to contest or amend information maintained in the system should direct their request to the system manager listed above, stating clearly and concisely what information is being contested, the reasons for contesting it, and the proposed amendment to the information sought.

Record source categories:

Department officers and employees, and other federal, state, local, and foreign law enforcement and non-law enforcement agencies, private persons, witnesses, and informants.

Systems exempted from certain provisions of the act:

The Attorney General has exempted this system from subsections (c) (3) and (4), (d), (e)(1), (2) and (e)(4), (G), (H) and (I), (e)(5) and (8), (f) and (g) of the Privacy Act pursuant to 5 U.S.C. 552a(j)(2). Rules have been promulgated in accordance with the requirements of 5 U.S.C. 553 (b), (c) and (e) and have been published in the Federal Register.

JUSTICE/CRM-002

System name:

Criminal Division Witness Security File.

System location:

U.S. Department of Justice, Criminal Division, 10th Street and Constitution Avenue, NW, Washington, D.C. 20530. In addition, some of the records contained in this system may be located at one or more of the Organized Crime and Racketeering Sections Field Offices listed in the appendix to the Criminal Division Systems of Records.

Categories of individuals covered by the system:

Persons who are potential or actual witnesses and/or informants, relatives, and associates of those individuals.

Categories of records in the system:

The system consists of the Witness Security Program files on all persons who are considered for admission or who have been admitted into the program. The files contain information concerning the individuals, the source and degree of danger to which they are exposed, the cases in which they are expected to testify, relocation information and documentation, job assistance, sponsoring office, requirements for reimbursement and administration of the program, and protection techniques. Records concerning subject matters described in this system may also be contained in JUSTICE/CRM-001.

Authority for maintenance of the system:

This system is authorized pursuant to sections 501 through 504 of Pub. L. 91-452.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

A record maintained in this system of records may be disseminated as a routine use of such record as follows: 1. Dissemination of a record may be made to a federal, state, local, or foreign agency to acquire information concerning the individual, or those associated with him, relating to the protection of the subject or to a criminal investigation; 2. in any case in which there is an indication of a violation or potential violation of law, whether civil, criminal, or regulatory in nature, the record in question may be disseminated to the appropriate federal, state, local, or foreign agency charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing such law; 3. in the course of investigating the potential or actual violation of any law, whether civil, criminal, or regulatory in nature, or during the course of a trial or hearing or the preparation for a trial or hearing for such violation, a record may be disseminated to a federal, state, local, or foreign agency, or to an individual or organization if there is reason to believe that such agency, individual, or organization possesses information relating to the investigation, trial, or hearing and the dissemination is reasonably necessary to elicit such information or to obtain the cooperation of a witness or an informant; 4. a record relating to a case or matter may be disseminated in an appropriate federal, state, local, or foreign court or grand jury proceeding in accordance with established constitutional, substantive, or procedural law or practice; 5. a record relating to a case or matter may be disseminated to a federal, state, or local administrative or regulatory proceeding or hearing in accordance with the procedures governing such proceeding or hearing; 6. a record relating to a case or matter may be disseminated to an actual or potential party or his attorney for the purpose of negotiation or discussion on such matters as settlement of the case or matter, plea bargaining, or informal discovery proceedings; 7. a record relating to an individual in a matter that has been referred for either consideration or investigation by an agency may be disseminated to the referring agency to notify such agency of the status of the case or matter or of any decision or determination that has been made; 8. a record relating to an individual held in custody pending arraignment, trial, or sentence, or extradition proceedings, or after conviction or after extradition proceedings, may be disseminated to a federal, state, local, or foreign prison, probation, parole, or pardon authority, or to any other agency or individual concerned with the maintenance, transportation, or release of such a person; 9. a record may be disseminated to a foreign country pursuant to an international treaty or convention entered into and ratified by the United States or to an executive agreement; 10. a record may be disseminated to a federal, state, local, or foreign law enforcement agency to assist in the general crime prevention and detection efforts of the recipient agency or to provide investigative leads to such agency; 11. a record may be disseminated to a federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information relates to the requesting agency's decision on the matter; 12. a record may be disseminated to a non-governmental entity or individual in the acquisition of employment or other services in behalf of the witnesses.

Release of information to the news media: Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available from systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Release of information to Members of Congress. Information contained in systems of records maintained by the Department of Justice, not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and at the request of the individual who is the subject of the record.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Release of information to the National Archives and Records Administration (NARA), and to the General Services Administration (GSA): A record from a system of records may be disclosed as a routine use to NARA and GSA in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

A record contained in this system is kept on index cards and in files stored in safe type filing cabinets.

Retrievability:

A record is retrieved by name of the individual.

Safeguards:

The records are maintained in safes with additional physical safeguards as well as limited access by Departmental personnel.

Retention and disposal:

Currently there are no provisions for the disposal of the records in the system.

System manager(s) and address:

Assistant Attorney General; Criminal Division; U.S. Department of Justice; 10th Street and Constitution Avenue, NW., Washington, D.C. 20530.

Notification procedure:

Inquiry concerning the system should be addressed to the System Manager listed above.

Record access procedures:

The major part of this system is exempted from this requirement under 5 U.S.C. 552a (j)(2), (k)(1), or (k)(2). To the extent that this system of records is not subject to exemption, it is subject to access and contest. A determination as to exemption shall be made at the time a request for access is received. A request for access to a record contained in this system shall be made in writing, with the envelope and the letter clearly marked 'Privacy Access Request'. Include in the request the name of the individual involved, his birth date and place, or any other identifying number or information which may be of assistance in locating the record, the name of the case or matter involved, if known, and the name of the judicial district involved, if known. The requestor will also provide a return address for transmitting the information. Access requests will be directed to the system manager listed above.

Contesting record procedures:

Individuals desiring to contest or amend information maintained in the system should direct their request to the system manager listed above, stating clearly and concisely what information is being contested, the reasons for contesting it, and the proposed amendment to the information sought.

Record source categories:

1. Federal, state, local, or foreign government agencies concerned with the administration of criminal justice; 2. Members of the public; 3. Government agency employees; 4. Published material; 5. Persons considered for admission or admitted to the program.

Systems exempted from certain provisions of the act:

The Attorney General has exempted this system from subsections (c)(3) and (4), (d), (e)(1), (2) and (3), (e)(4)(G), (H) and (I), (e)(5) and (8), (f), and (g) of the Privacy Act pursuant to 5 U.S.C. 552a(j)(2). Rules have been promulgated in accordance with the requirements of 5 U.S.C. 553(b), (c) and (e) and have been published in the Federal Register.

JUSTICE/CRM-003

System name:

File of Names Checked to Determine If Those Individuals Have Been the Subject of An Electronic Surveillance.

System location:

U.S. Department of Justice; Criminal Division; Bond Building, 1400 New York Avenue NW., Washington, DC 20530.

Categories of individuals covered by the system:

Grand jury witnesses, defendants and potential defendants in criminal cases and their attorneys.

Categories of records in the system:

The system contains the names of those persons submitted by federal prosecutors to inquire whether such persons have been the subject of electronic surveillances. The file consists of the names, the inquiries made to federal investigatory agencies, the replies received from such agencies, and the reply submitted to the prosecutor. Records concerning subject matters described in this system may also be contained in JUSTICE/CRM-001.

Authority for maintenance of the system:

This system is established and maintained pursuant to 44 U.S.C. 3101. The system is also maintained to implement the provisions of 18 U.S.C. 3504.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

A record maintained in this system of records may be disseminated as a routine use of such record as follows: 1. In the appropriate federal court proceeding in accordance with established constitutional, substantive, or procedural law or practice; 2. to an actual or potential party or his attorney in the case or matter in which the request was made.

Release of information to the news media: Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available from systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Release of information to Members of Congress. Information contained in systems of records maintained by the Department of Justice, not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and at the request of the individual who is the subject to the record.

Release of information to the National Archives and Records Administration (NARA), and to the General Services Administration (GSA): A record from a system of records may be disclosed as a routine use to NARA and GSA in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

A record contained in this system is stored manually in file jackets.

Retrievability:

A record is retrieved by the name of the individual checked.

Safeguards:

The records are safeguarded and protected in accordance with applicable Departmental rules.

Retention and disposal:

Currently, there are no provisions for disposal of the records in this system.

System manager(s) and address:

Assistant Attorney General; Criminal Division; U.S. Department of Justice; 10th and Constitution Avenue NW., Washington, DC 20530.

Notification procedure:

A part of this system is exempted from this requirement under 5 U.S.C. 552a(j)(2). Inquiry concerning this system should be directed to the System Manager listed above.

Record access procedures:

A part of this system is exempted from this requirement under 5 U.S.C. 552a(j)(2). To the extent that this system of records is not subject to exemption, it is subject to access and contest. A determination as to exemption shall be made at the time a request for access is received. A request for access to a record from this system shall be made in writing, with the envelope and the letter clearly marked "Private Access Request." Include in the request the name of the individual involved, his birth date and place, or any other identifying number or information which may be of assistance in locating the record, the name of the case or matter, if known, and the name of the judicial district involved, if known. The requestor will also provide a return address for transmitting the information. Access requests will be directed to the System Manager listed above.

Contesting record procedures:

Individuals desiring to contest or amend information maintained in the system should direct their request to the System Manager listed above, stating clearly and concisely what information is being contested, the reasons for contesting it, and the proposed amendment to the information sought.

Record source categories:

Sources of information contained in this system are an actual or potential party or his attorney in the case or matter in question, federal prosecutors, and the federal investigative agencies.

Systems exempted from certain provisions of the act:

The Attorney General has exempted this system from subsections (c)(4), (d), (e)(4) (G), (H) and (I), (f) and (g) of the Privacy Act pursuant to 5 U.S.C. 552a(j)(2). Rules have been promulgated in accordance with the requirements of 5 U.S.C. 553 (b), (c) and (e) and have been published in the Federal Register.

JUSTICE/CRM-004

System name:

General Litigation and Legal Advice Section, Criminal Division, Central Index File and Associated Records.

System location:

U.S. Department of Justice; Criminal Division; Bond Building, 1400 New York Ave., NW., Washington, D.C. 20530.

Categories of individuals covered by the system:

Persons referred to in potential or actual cases and matters of concern to the General Litigation and Legal Advice Section, Criminal Division, and correspondents on subjects directed or referred to the Criminal Division.

Categories of records in the system:

The system consists of an alphabetical index by individual name or subject matter of all incoming correspondence, cases, and matters assigned, referred, or of interest to the General Litigation and Legal Advice Section, Criminal Division. A large percentage of these records are duplicated in the Central Criminal Division records; some, however, are not sent through central records come to the General Litigation and Legal Advice Section directly.

Authority for maintenance of the system:

This system is established and maintained pursuant to 44 U.S.C. 3101, and is intended to assist in implementing and enforcing the criminal laws of the United States, particularly those codified in title 18, United States Code. The system is also maintained to implement the provisions codified in 28 CFR 0.55.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

A record maintained in this system of records may be disseminated as a routine use of such record as follows: (1) In any case in which there is an indication of a violation or potential violation of law, whether civil, criminal, or regulatory in nature, the record in question may be disseminated to the appropriate federal, state, local, or foreign agency charged with the responsibility for investigating or prosecuting such violation or charged with enforcing or implementing such law; (2) in the course of investigating the potential or actual violation of any law, whether civil, criminal, or regulatory in nature, or during the course of a trial or hearing or the preparation for a trial or hearing for such violation, a record may be disseminated to a federal, state, local, or foreign agency, or to an individual or organization, if there is reason to believe that such agency, individual, or organization possesses information relating to the investigation, trial, or hearing and the dissemination is reasonably necessary to elicit such information or to obtain the cooperation of a witness or an informant; (3) a record relating to a case or matter may be disseminated in an appropriate federal, state, local, or foreign court or grand jury proceeding in accordance with established constitutional, substantive, or procedural law or practice; (4) a record relating to a case or matter may be disseminated to a federal, state, or local administrative or regulatory proceeding or hearing in accordance with the procedures governing such proceeding or hearing; (5) a record relating to a case or matter may be disseminated to an actual or potential party or his attorney for the purpose of negotiation or discussion on such matters as settlement of the case or matter, plea bargaining, or informal discovery proceedings; (6) a record relating to a case or matter that has been referred by an agency for investigation, prosecution, or enforcement, or that involves a case or matter within the jurisdiction of an agency, may be disseminated to such agency to notify the agency of the status of the case or matter or of any decision or determination that has been made, or to make such other inquiries and reports as are necessary during the processing of the case or matter; (7) a record relating to a person held in custody pending or during arraignment, trial, sentence, or extradition proceedings, or after conviction or after extradition proceedings, may be disseminated to a federal, state, local, or foreign prison, probation, parole, or pardon authority, or to any other agency or individual concerned with the maintenance, transportation, or release of such a person; (8) a record relating to a case or matter may be disseminated to a foreign country pursuant to an international treaty or convention entered into and ratified by the United States or to an executive agreement; (9) a record may be disseminated to a federal, state, local, foreign, or international law enforcement agency to assist in the general crime prevention and detection efforts of the recipient agency or to provide investigative leads to such agency; (10) a record may be disseminated to a federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information relates to the requesting agency's decision on the matter; (11) a record may be disseminated to the public, news media, trade associations, or organized groups, when the purpose of the dissemination is educational or informational, such as descriptions of crime trends or distinctive or unique modus operandi, provided that the record does not contain any information identifiable to a specific individual other than such modus operandi; (12) a record may be disseminated to a foreign country, through the United States Department of State or directly to the representative of such country, to the extent necessary to assist such country in apprehending and/or returning a fugitive to a jurisdiction which seeks his return.

Release of information to the news media: Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available from systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Release of information to Members of Congress. Information contained in systems of records maintained by the Department of Justice, not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and at the request of the individual who is the subject of the record.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Release of information to the National Archives and Records Administration (NARA), and to the General Services Administration (GSA): A record from a system of records may be disclosed as a routine use to NARA and GSA in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

A record contained in this system is stored manually on index cards.

Retrievability:

A record is retrieved from index cards by the name of the individual or matter which will then indicate the Section Unit or attorney assigned to work on the correspondence, case, or matter.

Safeguards:

Records are safeguarded and protected in accordance with applicable Departmental rules.

Retention and disposal:

Currently there are no provisions for disposal of the records contained in this system.

System manager(s) and address:

Assistant Attorney General, Criminal Division, U.S. Department of Justice, 10th Street and Constitution Avenue, NW., Washington, D.C. 20530.

Notification procedure:

The major part of this system is exempted from this requirement under 5 U.S.C. 552a (j)(2), (k)(1), or (k)(2). Inquiries concerning this system should be directed to the System Manager listed above.

Record access procedures:

The major part of this system is exempted from this requirement under 5 U.S.C. 552a (j)(2), (k)(1), or (k)(2). To the extent that this system of records is not subject to exemption, it is subject to access and contest. A determination as to the applicability of an exemption as to a specific record shall be made at the time a request for access is received. A request for access to a record contained in this system shall be made in writing, with the envelope and the letter clearly marked 'Privacy Access Request'. Include in the request the name of the individual involved, his birth date and place, or any other identifying number or information which may be of assistance in locating the record, the name of the case or matter involved, if known, and the name of the judicial district involved, if known. The requestor will also provide a return address for transmitting information. Access requests will be directed to the System Manager listed above.

Contesting record procedures:

Individuals desiring to contest or amend information maintained in the system should direct their request to the System Manager listed above, stating clearly and concisely what information is being contested, the reasons for contesting it, and the proposed amendment to the information sought.

Record source categories:

Department offices and employees and other federal, state, local, and foreign law enforcement and non-law enforcement agencies, private persons, witnesses, and informants.

Systems exempted from certain provisions of the act:

The Attorney General has exempted this system from subsections (c) (3) and (4), (d), (e) (1), (2) and (3), and (e)(4) (G), (H) and (I), (e) (5) and (8), (f), and (g) of the Privacy Act pursuant to 5 U.S.C. 552a (j)(2). Rules have been promulgated in accordance with the requirements of 5 U.S.C. 553 (b), (c) and (e) and have been published in the Federal Register.

JUSTICE/CRM-005

System name: Index to Names of Attorneys Employed by the Criminal Division, U.S. Department of Justice, Indicating the Subject of the Memoranda on Criminal Matters They Have Written.

System location:

U.S. Department of Justice, Criminal Division, 10th and Constitution Avenue, NW, Washington, D.C. 20530.

Categories of individuals covered by the system:

Past and present attorneys employed by the Criminal Division, U.S. Department of Justice.

Categories of records in the system:

This system of records consists of the names of past and present Criminal Division attorneys and lists the memoranda they have written on various matters, generally involving legal research, on matters of interest to the Division. This system is a cross-reference index maintained for convenience only and does not include the memoranda themselves other than the fact of authorship.

Authority for maintenance of the system:

This system is established and maintained pursuant to the authority granted by 44 U.S.C. 3101. The system is also maintained to implement the provisions codified in 28 CFR 0.55 and 0.61.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

There are no uses of the records in this system outside of the Department of Justice.

Release of information to the news media: Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available from systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Release of information to Members of Congress. Information contained in systems of records maintained by the Department of Justice, not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and at the request of the individual who is the subject of the record.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Release of information to the National Archives and Records Administration (NARA), and to the General Services Administration (GSA): A record from a system of records may be disclosed as a routine use to NARA and GSA in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

A record contained in this system is stored manually on index cards.

Retrievability:

A record is retrieved by name of the individual.

Safeguards:

Records are safeguarded and protected in accordance with applicable Departmental rules.

Retention and disposal:

Currently there are no provisions for disposal of the records in this system.

System manager(s) and address:

Assistant Attorney General, Criminal Division, U.S. Department of Justice, 10th and Constitution Avenue, NW, Washington, D.C. 20530.

Notification procedure:

Same as the above.

Record access procedures:

A request for access to a record from this system shall be made in writing, with the envelope and the letter clearly marked 'Privacy Access Request'. Include in the request the name of the past or present attorney employed by the Criminal Division. The requestor shall also provide a return address for transmitting the information. Access requests will be directed to the System Manager listed above.

Contesting record procedures:

Individuals desiring to contest or amend information maintained in the system should direct their request to the System Manager listed above, stating clearly and concisely what information is being contested, the reasons for contesting it, and the proposed amendment to the information sought.

Record source categories:

Past and present attorneys employed by the Criminal Division, U.S. Department of Justice.

Systems exempted from certain provisions of the act: None.

JUSTICE/CRM-006

System name: Information File on Individuals and Commercial Entities Known or Suspected of Being Involved in Fraudulent Activities.

System location: U.S. Department of Justice, Criminal Division, 10th Street and Constitution Avenue, NW, Washington, D.C. 20530.

Categories of individuals covered by the system: Individuals involved in actual or suspected fraudulent activities and their victims.

Categories of records in the system: This system of records consists of alphabetized indices of the names of those individuals or commercial entities known or suspected of involvement in fraudulent activities both foreign and domestic, and of computerized printouts of information obtained from documents, records, and other files in the possession of the Criminal Division that indicate the scope, details, and methods of operation of known or suspected fraudulent activities. The system also consists of the documents, records, and other files to which the printouts relate. Records concerning subject matters described in this system may also be contained in CRM- 001.

Authority for maintenance of the system: This system is established and maintained pursuant to 44 U.S.C. 3101, and is intended to assist in implementing and enforcing the criminal laws of the United States, codified in title 18, United States Code and elsewhere, particularly the laws relating to offenses involving fraudulent activities. The system is also maintained to implement the provisions codified in 28 CFR 0.55, particularly subsection (b).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: A record maintained in this system of records may be disseminated as a routine use of such record as follows: (1) In any case in which there is an indication of a violation or potential violation of law, whether civil, criminal, or regulatory in nature, the record in question may be disseminated to the appropriate federal, state, local, or foreign agency charged with the responsibility for investigating or prosecuting such violation or charged with enforcing or implementing such law; (2) in the course of investigating the potential or actual violation of any law, whether civil, criminal, or regulatory in nature, or during the course of a trial or hearing or the preparation for a trial or hearing for such violation, a record may be disseminated to a federal, state, local, or foreign agency, or to an individual or organization, if there is reason to believe that such agency, individual, or organization possesses information relating to the investigation, trial, or hearing and the dissemination is reasonably necessary to elicit such information or to obtain the cooperation of a witness or an informant; (3) a record relating to a case or matter may be disseminated in an appropriate federal, state, local, or foreign court or grand jury proceeding in accordance with established constitutional, substantive, or procedural law or practice; (4) a record relating to a case or matter may be disseminated to a federal, state, or local administrative or regulatory proceeding or hearing in accordance with the procedures governing such proceeding or hearing; (5) a record relating to a case or matter may be disseminated to an actual or potential party or his attorney for the purpose of negotiation or discussion on such matters as settlement of the case or matter, plea bargaining, or informal discovery proceedings; (6) a record relating to a case or matter that has been referred by an agency for investigation, prosecution, or enforcement, or that involves a case or matter within the jurisdiction of an agency, may be disseminated to such agency to notify the agency of the status of the case or matter or of any decision or determination that has been made, or to make such other inquiries and reports as are necessary during the processing of the case or matter; (7) a record relating to a person held in custody pending or during arraignment, trial, sentence, or extradition proceedings, or after conviction or after extradition proceedings, may be disseminated to a federal, state, local, or foreign prison, probation, parole, or pardon authority, or to any other agency or individual concerned with the maintenance, transportation, or release of such a person; (8) a record relating to a case or matter may be disseminated to a foreign country pursuant to an international treaty or convention entered into and ratified by the United States or to an executive agreement; (9) a record may be disseminated to a federal, state, local, foreign, or international law enforcement agency to assist in the general crime prevention and detection efforts of the recipient agency or to provide investigative leads to such agency; (10) a record may be disseminated to a federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information relates to the requesting agency's decision on the matter; (11) a record may be disseminated to the public, news media, trade associations, or organized groups, when the purpose of the dissemination is educational or informational, such as descriptions of crime trends or distinctive or unique modus operandi, provided that the record does not contain any information identifiable to a specific individual other than such modus operandi; (12) a record may be disseminated to a foreign country, through the United States Department of State or directly to the representative of such country, to the extent necessary to assist such country in apprehending and/or returning a fugitive to a jurisdiction which seeks his return.

Release of information to the news media: Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available from systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Release of information to Members of Congress. Information contained in systems of records maintained by the Department of Justice, not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and at the request of the individual who is the subject of the record.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Release of information to the National Archives and Records Administration: A record from a system of records may be disclosed as a routine use to the National Archives and Records Administration (NARA) in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: A record contained in this system is stored on lists, index cards, and on computer printout paper. The documents, records, and other files to which the printouts relate are stored in file jackets in file cabinets.

Retrievability: A record is retrieved by name of the individual, trade style used, or by source of the information of the preceding.

Safeguards: The computer center is maintained by the Office of Management and Finance which has designed security procedures consistent with the sensitivity of the data. Materials related to the system maintained at locations other than the location of the computer center are protected and safeguarded in accordance with applicable Departmental rules.

Retention and disposal: Currently there are no provisions for disposal of records contained in this system.

System manager(s) and address: Assistant Attorney General; Criminal Division; U.S. Department of Justice; 10th Street and Constitution Avenue, N.W.; Washington, D.C. 20530.

Notification procedure: Inquiries concerning the system should be directed to the System Manager listed above.

Record access procedures: The major part of this system is exempted from this requirement under 5 U.S.C. 552a (j)(2), (k)(1), or (k)(2). To the extent that this system of records is not subject to exemption, it is subject to access and contest. A determination as to exemption shall be made at the time a request for access is received. A request for access to a record contained in this system shall be made in writing, with the envelope and the letter clearly marked 'Privacy Access Request'. Include in the request the name of the individual involved, his birth date and place, or any other identifying number or information which may be of assistance in locating the record, the name of the case or matter involved, if known, and the name of the judicial district involved, if known. The requestor will also provide a return address for transmitting the information. Access requests will be directed to the system manager listed above. Records in this system are exempt from the access provisions of the Act in accordance with the applicable exemption notice.

Contesting record procedures: Individuals desiring to contest or amend information maintained in the system should direct their request to the system manager listed above, stating clearly and concisely what information is being contested, the reasons for contesting it, and the proposed amendment to the information sought. Records in this system are exempt from the contesting provisions of the Act in accordance with the applicable exemption notice.

Record source categories: Federal, state, local, or foreign agencies, investigators, and prosecutors, private organizations, quasi-governmental agencies, trade associations, private individuals, publications, and the news media.

Systems exempted from certain provisions of the act: The Attorney General has exempted this system from subsections (c)(3) and (4), (d), (e)(1), (2), and (3), (e)(4)(G), (H) and (I), (e)(5) and (8), (f) and (g) of the Privacy Act pursuant to 5 U.S.C. 552a (j)(2). Rules have been promulgated in accordance with the requirements of 5 U.S.C. 553(b), (c) and (e) and have been published in the Federal Register.

JUSTICE/CRM-007

System name:

Name Card File on Criminal Division Personnel Authorized to Have Access to the Central Criminal Division Records.

System locations:

U.S. Department of Justice, Criminal Division, 10th Street and Constitution Avenue, NW, Washington, DC 20530, or Federal Records Center, Suitland, Maryland 20409.

Categories of individuals covered by the system:

Current personnel of the Criminal Division, generally attorneys.

Categories of records int he system:

The file contains the names of those attorneys and others currently employed by the Criminal Division who are authorized to have access to the central records of the Division.

Authority for maintenance of the system:

This system is established and maintained pursuant to 44 U.S.C. 3101. The system is also maintained to implement the provisions codified in 28 CFR 0.55 and 0.61.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

There are no uses of the records in this system outside of the Department of Justice.

Release of information to the news media: Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available from systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Release of information to Members of Congress. Information contained in systems of records maintained by the Department of Justice, not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and at the request of the individual who is the subject of the record.

Release of information to the National Archives and Records Administration (NARA), and to the General Services Administration (GSA): A record from a system of records may be disclosed as a routine use to NARA and GSA in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

A record contained in this system is stored manually on index cards.

Retrievability: A record is retrieved by name from the index cards.

Safeguards:

The records are safeguarded and protected in accordance with applicable Departmental rules.

Retention and disposal:

A name card is destroyed upon notification that the individual is no longer employed by the Criminal Division.

System manager(s) and address:

Assistant Attorney General, Criminal Division, U.S. Department of Justice, 10th street and Constitution Avenue, NW, Washington, D.C. 20530.

Notification procedure: Same as the above.

Record access procedures:

A request for access to a record from this system shall be made in writing, with the envelope and the letter clearly marked 'Privacy Access Request'. Include in the request the name of the individual involved. The requestor will also provide a return address for transmitting the information. Access requests will be directed to the System Manager listed above.

Contesting record procedures:

Individuals desiring to contest or amend information maintained in the system should direct their request to the System Manager listed above, stating clearly and concisely what information is being contested, the reasons for contesting it, and the proposed amendment to the information sought.

Record source categories:

Personnel of the Criminal Division.

Systems exempted from certain provisions of the act:

None.

JUSTICE/CRM-008

System name:

Name Card File on Department of Justice Personnel Authorized to Have Access to Classified Files of the Department of Justice.

System location:

U.S. Department of Justice, Criminal Division, 10th and Constitution Avenue NW., Washington, DC 20530.

Categories of individuals covered by the system:

Current personnel of the Department of Justice, generally attorneys.

Categories of records in the system:

This index file contains the names of those attorneys and others currently employed in the Department of Justice who are authorized to have access to records of the Department of Justice classified in the interest of national security with such designations as confidential, secret, and top secret.

Authority for maintenance of the system:

This system is established pursuant to Executive Order No. 11652. The system is also maintained to implement the provisions codified in 28 CFR 17.1 through 17.82.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

There are no uses of the records in this system outside of the Department of Justice.

Release of information to the news media: Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available from systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Release of information to Members of Congress. Information contained in systems of records maintained by the Department of Justice, not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the

Member's behalf when the Member or staff requests the information on behalf of and at the request of the individual who is the subject of the record.

Release of information to the National Archives and Records Administration (NARA), and to the General Services Administration (GSA): A record from a system of records may be disclosed as a routine use to NARA and GSA in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

A record contained in this system is stored manually on index cards.

Retrievability:

A record is retrieved by name from the index cards.

Safeguards:

The index is contained in the vault maintained for classified files of the Department of Justice.

Retention and disposal:

The names in the index are maintained and deleted in accordance with Departmental regulations.

System manager(s) and address:

Assistant Attorney General, Criminal Division, U.S. Department of Justice, 10th Street and Constitution Avenue NW., Washington, DC 20530.

Notification procedure:

Same as the above.

Record access procedures:

A request for access to a record from this system shall be made in writing, with the envelope and the letter clearly marked "Privacy Access Request". Include in the request the name of the individual involved. The requestor will also provide a return address for transmitting the information. Access requests will be directed to the System Manager listed above.

Contesting record procedures:

Individuals desiring to contest or amend information maintained in the system should direct their request to the System Manager listed above, stating clearly and concisely what information is being contested, the reasons for contesting it, and the proposed amendment to the information sought.

Record source categories:

Personnel of the Department of Justice.

Systems exempted from certain provisions of the act:

None.

JUSTICE/CRM-012

System name:

Organized Crime and Racketeering Section, General Index File and Associated Records.

System location:

The general files of the Organized Crime and Racketeering Section are located at several locations and not all files are located at all locations. The location of the files are: 1. U.S. Department of Justice, Criminal Division, Organized Crime and Racketeering Section, 10th Street and Constitution Avenue NW., Washington, DC 20530; and 2. Organized Crime and Racketeering Section Field office listed in the Appendix to the Criminals' Division systems of records.

Categories of individuals covered by the system:

Persons who have been prosecuted or are under investigation for potential or actual criminal prosecution as well as persons allegedly involved in organized criminal activity and those alleged to be associated with the subject.

Categories of records in the system:

The system consists of alphabetical indices bearing individual names and the associated records to which they relate, arranged either by subject matter or individual identifying number, of all incoming correspondence, cases, matters, investigations, and memoranda assigned, referred, or of interest, to the Organized Crime and Racketeering Section and its field offices. The records in this system concern matters primarily involving organized crime and include, but are not limited to, case files; investigative reports; intelligence reports; subpoena and grand jury files; records of warrants and electronic surveillances; records of indictment, prosecution, conviction, parole, probation, or immunity; legal papers; evidence; exhibits; items classified confidential, secret, and top secret; and various other files related to the Section's activities and it ongoing investigations, prosecutions, cases, and matters. Records concerning subject matters described in this system may also be contained in JUSTICE/CRM-001.

Authority for maintenance of the system:

This system is established and maintained pursuant to 44 U.S.C. 3101 and the Presidential Directive on the Federal Drive Against Organized Crime, issued May 5, 1966 (Weekly Compilation of Presidential Documents, Vol. 2, W. No. 18 (1966)). In addition, this system is maintained to assist in implementing and enforcing the criminal laws of the United States, particularly those codified in title 18, United States Code. This system is also maintained to implement the provisions codified in 28 CFR 0.55 particularly subsection (g).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

A record maintained in this system of records may be disseminated as a routine use of such record as follows: (1) In any case in which there is an indication of a violation or potential violation of law, whether civil, criminal, or regulatory in nature, the record in question may be disseminated to the appropriate federal, state, local, or foreign agency charged with the responsibility for investigating or prosecuting such violation or charged with enforcing or implementing such law; (2) in the course of investigating the potential or actual violation of any law, whether civil, criminal, or regulatory in nature, or during the course of a trial or hearing or the preparation for a trial or hearing for such violation, a record may be disseminated to a federal, state, local, or foreign agency, or to an individual or organization, if there is reason to believe that such agency, individual, or organization possesses information relating to the investigation, trial, or hearing and the dissemination is reasonably necessary to elicit such information or to obtain the cooperation of a witness or an informant; (3) a record relating to a case or matter may be disseminated in an appropriate federal, state, local, or foreign court or grand jury proceeding in accordance with established constitutional, substantive, or procedural law or practice; (4) a record relating to a case or matter may be disseminated to a federal, state, or local administrative or regulatory proceeding or hearing in accordance with the procedures governing such proceeding or hearing; (5) a record relating to a case or matter may be disseminated to an actual or potential party or his attorney for the purpose of negotiation or discussion on such matters as settlement of the case or matter, plea bargaining, or informal discovery proceedings; (6) a record relating to a case or matter that has been referred by an agency for investigation, prosecution, or enforcement, or that involves a case or matter within the jurisdiction of an agency, may be disseminated to such agency to notify the agency of the status of the case or matter or of any decision or determination that has been made, or to make such other inquiries and reports as are necessary during the processing of the case or matter; (7) a record relating to a person held in custody pending or during arraignment, trial, sentence, or extradition proceedings, or after convinction or after extradition proceedings, may be disseminated to a federal, state, local, or foreign prison, probation, parole, or pardon authority, or to any other agency or individual concerned with the maintenance, transportation, or release of such a person; (8) a record relating to a case or matter may be disseminated to a foreign country pursuant to an international treaty or convention entered into and ratified by the United States or to an executive agreement; (9) a record may be disseminated to a federal, state, local, foreign, or international law enforcement agency to assist in the general crime prevention and detection efforts of the recipient agency or to provide investigative leads to such agency; (10) a record may be disseminated to a federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information relates to the requesting agency's decision on the matter; (11) a record may be disseminated to the public, news media, trade association, or organized groups, when the purpose of the dissemination is educational or informational, such as descriptions of crime trends or distinctive or unique modus operandi, provided that the record does not contain any information identifiable to a specific individual other than such modus operandi; (12) a record may be disseminated to a foreign country, through the United States Department of State or directly to the representative of such country, to the extent necessary to assist such country in apprehending and/or returning a fugitive to a jurisdiction which seeks his return; (13) a record that contains classifed national security information and material may be disseminated to persons who are engaged in historical research projects, or who have previously occupied policy making provisions to which they were appointed by the President, in accordance with the provisions codified in 28 CFR 17.60.

Release of information to the news media: Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available from systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Release of information to Members of Congress: Information contained in systems of records maintained by the Department of Justice, not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and at the request of the individual who is the subject of the record.

Release of information to the National Archives and Records Administration (NARA), and to the General Services Administration (GSA): A record from a system of records may be disclosed as a routine use to NARA and GSA in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

The records in this system are stored on various documents, tapes, disc packs, and punch cards, some of which are contained in files, on index cards, or in related type materials.

Retrievability:

The system is accessed by name but may be grouped for the convenience of the user by subject matter, e.g., parole file, photograph file, etc.

Safeguards:

Materials related to the system are maintained in appropriately restricted areas and are safeguarded and protected in accordance with applicable Department rules.

Retention and disposal:

Currently there are no provisions for the disposal of the records in the system.

System manager(s) and address:

Assistant Attorney General, Criminal Division, U.S. Department of Justice; 10th Street and Constitution Avenue NW., Washington, DC 20530.

Notification procedure:

Inquiry concerning the system should be addressed to the System Manager listed above.

Record access procedures:

The major part of this system is exempted from this requirement under 5 U.S.C. 552a (j)(2), (k)(1), or (k)(2). To the extent that this system of records is not subject to exemption, it is subject to access and contest. A determination as to exemption shall be made at the time a request for access is received. A request for access to a record contained in this system shall be made in writing, with the envelope and the letter clearly marked "Privacy Access Request". Include in the request the name of the individual involved, his birth date and place, or any other identifying number or information which may be of assistance in locating the record, the name and of the case or matter involved, if known, and the name of the judicial district involved, if known. The requestor will also provide a return address for transmitting the information. Access requests will be directed to the system manager listed above. Records in this system are exempt from the access provisions of the Act in accordance with the applicable exemption notice.

Contesting record procedures:

Individuals desiring to contest or amend information maintained in the system should direct their request to the system manager listed above, stating clearly and concisely what information is being contested, the reasons for contesting it, and the proposed amendment to the information sought. Records in this system are exempt from the contesting provisions of the Act in accordance with the applicable exemption notice.

Record source categories:

1. Federal, state, local, or foreign government agencies concerned with the administration of criminal justice and non-law enforcement agencies both public and private; 2. Members of the public; 3. Government employees; 4. Published material; 5. Witnesses and informants.

Systems exempted from certain provisions of the act:

The Attorney General has exempted this system from subsections (c) (3) and (4), (d), (e)(1), (2) and (3), (e)(4)(G), (H), and (I), (e)(5), and (8), (f), and (g) of the Privacy Act pursuant to 5 U.S.C. 552a (j)(2). Rules have been promulgated in accordance with the requirements of 5 U.S.C. 553 (b), (c), and (e) and have been published in the Federal Register.

JUSTICE/CRM-014

System name: Organized Crime and Racketeering Section, Intelligence and Special Services Unit, Information Request System.

System location: U.S. Department of Justice, Criminal Division, 10th Street and Constitution Avenue, NW, Washington, D.C. 20530. In addition, some of the records contained in this system are located at one or more of the Organized Crime and Racketeering Section Field Offices listed in the appendix to the Criminal Division's systems of records.

Categories of individuals covered by the system: Individuals making inquiries of the Intelligence and Special Services Unit data sources, Unit personnel processing those inquiries, Intelligence Analysts assigned to the Strike Forces, and those individuals about whom such inquiries are made.

Categories of records in the system: The information request record system provides an audit trail of the Organized Crime and Racketeering Section information system. Included in this system of records is such information as the request from an agency and the date of the request, the employee processing the request, the subject of the request, and a brief summary of the results of the check.

Authority for maintenance of the system: This system is established and maintained pursuant to 44 U.S.C. 3101. The system is also maintained to implement the provisions codified in 28 CFR 0.55 particularly subsection (g).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: A record maintained in this system of records may be disseminated as a routine use of such record to a federal agency at its request if such agency has a need for the record to perform its duties.

Release of information to the news media: Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available from systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Release of information to Members of Congress. Information contained in systems of records maintained by the Department of Justice, not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and at the request of the individual who is the subject of the record.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Release of information to the National Archives and Records Administration: A record from a system of records may be disclosed as a routine use to the National Archives and Records Administration (NARA) in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: A record contained in this system is stored on computer tapes, paper, magnetic tape, and disc pack.

Retrievability: A record in this system is accessed by one or more of the components of the information contained in the system including accessing by the name of the individual.

Safeguards: The computer center is maintained by the Office of Management and Finance which has designed security procedures consistent with the sensitivity of the data. Materials related to the system maintained at locations other than the location of the computer are similarly protected by being maintained in a restricted area at the Department of Justice.

Retention and disposal: Information in the system is constantly modified as new information is received. Historical data is maintained as an audit trail until sufficient experience with the system is received to develop appropriate procedures for the elimination and destruction of the data. Such procedures are consistent with applicable governmental procedures.

System manager(s) and address: Assistant Attorney General, Criminal Division, U.S. Department of Justice, 10th Street and Constitution Avenue, N.W., Washington, D.C. 20530.

Notification procedure: Inquiry concerning this system should be directed to the System Manager listed above.

Record access procedures: The major part of this system is exempted from this requirement under 5 U.S.C. 552a (j)(2), (k)(1), or (k)(2). To the extent that this system of records is not subject to exemption, it is subject to access and contest. A determination as to exemption shall be made at the time a request for access is received. A request for access to a record contained in this system shall be made in writing, with the envelope and the letter clearly marked 'Privacy Access Request'. Include in the request the name of the individual involved, his birth date and place, or any other identifying number or information which may be of assistance in locating the record, the name of the case or matter involved, if known, and the name of the judicial district involved, if known. The requestor will also provide a return address for transmitting the information. Access requests will be directed to the system manager listed above. Records in this system are exempt from the access provisions of the Act in accordance with the applicable exemption notice.

Contesting record procedures: Individuals desiring to contest or amend information maintained in the system should direct their request to the system manager listed above, stating clearly and concisely what information is being contested, the reasons for contesting it, and the proposed amendment to the information sought.

Record source categories: Individuals who make inquiry of the Organized Crime and Racketeering Information System.

Systems exempted from certain provisions of the act: The Attorney General has exempted this system from subsections (c)(3) and (4), (d), (e)(4)(G), (H) and (I), (f) and (g) of the Privacy Act pursuant to 5 U.S.C. 552a (j)(2). Rules have been promulgated in accordance with the requirements of 5 U.S.C. 553(b), (c) and (e) and have been published in the Federal Register.

JUSTICE/CRM-016

System name:

Records on Persons Who Have Outstanding and Uncollected Federal Criminal Fines or Federal Bond Forfeitures.

System location:

U.S. Department of Justice, Criminal Division, Bond Building, 1400 New York Avenue, NW., Washington, D.C. 20530.

Categories of individuals covered by the system:

Persons who have outstanding and uncollected federal criminal fines or federal bond forfeitures whose address is presently unknown or was at one time, unknown.

Categories of records in the system:

This system contains the names of persons, and correspondence relating to such persons, who have federal criminal fines or federal bond forfeitures outstanding and whose whereabouts are presently unknown or were, at one time, unknown. The system is maintained to gather information on the whereabouts of such persons and to assist in federal collection efforts.

Authority for maintenance of the system:

This system is established and maintained pursuant to 44 U.S.C. 3101. This system is also maintained to implement the provisions codified in 28 CFR 0.171(a).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

A record maintained in this system of records may be disseminatated as a routine use of such record as follows: (A) In the case of an individual whose whereabouts are unknown, to any individual organization, or government agency for the purpose of gathering information to locate such person; or (B) in the case of any individual whose name is contained in the system whether or not his whereabouts are known as follows: (1) In any case in which there is an indication of a violation or potential violation of law, whether civil, criminal, or regulatory in nature, the record in question may be disseminated to the appropriate federal, state, local, or foreign agency charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing such law; (2) in the course of investigating the potential or actual violation of any law, whether civil, criminal or regulatory in nature, or during the course of a trial or hearing or the preparation for a trial or hearing for such violation, a record may be disseminated to a federal state, local, or foreign agency, or to an individual or organization if there is reason to believe that such agency, individual, or organization possesses information relating to the investigation, trial, or hearing and the dissemination is reasonably necessary to elicit such information or to obtain the cooperation of a witness or an informant; (3) a record relating to a case or matter may be disseminated in an appropriate federal, state, local, or foreign court or grand jury proceeding in accordance with established constitutional, substantive, or procedural law or practices; (4) a record relating to a case or matter may be disseminated to a federal, state, or local administrative or regulatory proceeding or hearing in accordance with the procedures governing such proceeding or hearing; (5) a record relating to a case or matter may be disseminated to an actual or potential party or his attorney for the purpose of negotiation or discussion on such matters as settlement of the case or matter, plea bargaining, or informal discovery proceedings; (6) a record may be disseminated to a federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information relates to the requesting agency's decision on the matter.

Release of information to the news media: Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available from systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Release of information to Members of Congress. Information contained in systems of records maintained by the Department of Justice, not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and at the request of the individual who is the subject of the record.

Release of information to the National Archives and Records Administration (NARA), and to the General Services Administration (GSA): A record from a system of records may be disclosed as a routine use to NARA and GSA in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

A record contained in this system is stored manually in file jackets.

Retrievability:

A record is retrieved by the name of the individual.

Safeguards:

Records are safeguarded and protected in accordance with applicable Department rules.

Retention and disposal:

Currently there are no provisions for disposal of the records in this system.

System manager(s) and address:

Assistant Attorney General, Criminal Division, U.S. Department of Justice, 10th Street and Constitution Avenue, NW, Washington, D.C. 20530.

Notification procedure:

Same as the above.

Record access procedures:

A request for access to a record from this sytem shall be made in writing, with the envelope and the letter clearly marked 'Privacy Access Request.' Include in the request the name and address of the individual involved, his address, his birth date and place, or other identifying number of information which may be of assistance in locating the record, the name of the case involved, if known, and the name of the judicial district, if known. The requestor will also provide a return address for transmitting the information. Access requests will be directed to the System Manager listed above.

Contesting record procedures:

Individual desiring to contest or amend information maintained in the system should direct their request to the System Manager listed above, stating clearly and concisely what information is being contested, the reasons for contesting it, and the proposed amendment to the information sought.

Record source categories:

Sources of information contained in this system are federal, state, local, or foreign agencies, and private individuals and organizations.

Systems exempted from certain provisions of the act:

None.

JUSTICE/CRM-017

System name:

Registration and Propaganda Files Under the Foreign Agents Registration Act of 1938, as amended.

System location:

U.S. Department of Justice, Criminal Division: Bond Building, 1400 New York Avenue, NW, Washington, DC 20530.

Categories of individuals covered by the system:

Persons required to file under the Foreign Agents Registration Act of 1938, as amended. (FARA), 22 U.S.C. 611 et seq.

Categories of records in the system:

(1) An automated alphabetical indices which includes summary data such as registrant names, file numbers, dates of registration, and a synopsis of activities performed for a given foreign principal; and (2) file folders which contain copies of all registration statements and statements concerning the distribution of political propaganda furnished under FARA. Other records related to subject matters described in this system will be maintained in the Central Criminal Division Index File and Associated Records (JUSTICE/CRM-001) System. Such other records may include related correspondence, inspection and/or investigative reports, and/or statements of any agent of a foreign principal whose activities have ceased to be of a character which requires registration under FARA.

Authority for maintenance of the system:

This system is established and maintained pursuant to 22 U.S.C. 611 et seq. The system is also maintained to implement the provisions of 28 CFR 5.1 through 5.801.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

As prescribed by 22 U.S.C. 616 (a), (b), and (c), records may be disclosed as follows:

These records are public records and are open to public examination and inspection and copies of the same shall be furnished to every applicant at fees prescribed by 28 CFR 5.601. The registration statement and other statements of any agent of a foreign principal whose activities have ceased to be of a character which requires registration under the provisions of FARA may be withdrawn from public examination. Any records withdrawn will be incorporated into the Central Criminal Division Index File and Associated Records (JUSTICE/CRM-001) System.

One copy of every registration statement filed under FARA and one copy of every amendment or supplement thereto, and one copy of every item of poilitical propaganda filed under FARA shall be forwarded to the Secretary of State for such comment and use as the Secretary of State may determine to be appropriate from the point of view of the foreign relations of the United States.

Information obtained under FARA, including the names of registrants, copies of registration statements, or parts thereof, copies of political propaganda, or other documents or information filed under FARA, may be furnished to departments and agencies in the executive branch and committees of the Congress.

In addition, records may be disclosed to (1) a Member of Congress or a staff person acting upon the Member's behalf (a) as a public record or (b) when the Member or staff person requests the information on behalf of and at the request of the individual who is the subject of the record, and, (2) the National Archives and Records Administration and the General Services Administration in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records contained in this system are stored manually on index cards and in file jackets; selected summary data, e.g., name and address of registrant, name of foreign principal, description of activities, amount of money received, and promotional material disseminated, are stored on magnetic disks.

Retrievability:

Paper records and summary data are retrieved by name of registrant.

Safeguards:

These records have been designated as public records by 22 U.S.C. 616. However, to protect the integrity of the records, the file jackets are obtained for applicants by Registration Unit personnel who are present in the public office during duty hours, and the room is locked during non-duty hours.

Retention and disposal:

Destroyed ten years after close of case (National Archives and Records Administration Job No. NC1-60-78-1 pending).

System manager(s) and address:

Assistant Attorney General, Criminal Division, U.S. Department of Justice, 10th Street and Constitution Avenue, NW, Washington, D.C. 20530.

Notification procedure:

Same as the above.

Record access procedures:

A request for access to a record from this system shall be made pursuant to the provisions of 28 CFR 5.600 and 5.601.

Contesting record procedures:

Individuals desiring to contest or amend information maintained in the system should direct their request to the System Manager listed above, stating clearly and concisely what information is being contested, the reasons for contesting it, and the proposed amendment to the information sought

Record source categories:

The source of information contained in this system is the registrant.

Systems exempted from certain provisions of the act:

None.

JUSTICE/CRM-018

System name:

Registration Files of Individuals Who Have Knowledge of, or Have Received Instruction or Assignment in, Espionage, Counterespionage, or Sabotage Service or Tactics of a Foreign Government or of a Foreign Political Party.

System location:

U.S. Department of Justice, Criminal Division, Bond Building, 1400 New York Avenue, NW., Washington, D.C. 20530.

Categories of individuals covered by the system:

Persons who have knowledge of, or who have received instruction or assignment in, espionage, counterespionage, or sabotage service or tactics of a foreign government or of a foreign political party.

Categories of records in the system:

The system contains the statement of the registrant and other documents required to be filed under 50 U.S.C. 851. The system is a public record except that certain statements may be withdrawn from public examination pursuant to 50 U.S.C. 853 and 28 CFR 12.40 by the Attorney General having due regard for national security and the public interest. Records concerning subject matters described in this system may also be contained in JUSTICE/CRM-001.

Authority for maintenance of the system:

This system is established and maintained pursuant to 50 U.S.C. 851 et seq. The system is also maintained to implement the provisions codified in 28 CFR 12.1 through 12.70.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

A record maintained in this system of records may be disseminated as a routine use of such record as follows: (A) In the case of a record not withdrawn by the Attorney General from public examination, to any individual, organization, or government agency; or (B) in the case of a record withdrawn by the Attorney General from public examination as follows: (1) In any case in which there is an indication of a violation or potential violation of law, whether civil, or criminal or regulatory in nature, the registration record in question may be disseminated to the appropriate federal, state, local, or foreign agency charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing such law; (2) in the course of investigating the potential or actual violation of any law, whether civil, criminal, or regulatory in nature, or during the course of a trial or hearing or the preparation for a trial or hearing for such violation, a registration record may be disseminated to a federal, state, local, or foreign agency, or to an individual or organization, if there is reason to believe that such agency, individual, or organization possesses information relating to the investigation, trial, or hearing and the dissemination is reasonably necessary to elicit such information or to obtain the cooperation of a witness or an informant; (3) a record relating to a registration may be disseminated in an appropriate federal, state, local, or foreign court or grand jury proceeding in accordance with established constitutional substantive, or procedural law or practice; (4) a record relating to a registration may be disseminated to a federal, state, or local administrative or regulatory proceeding or hearing in accordance with the procedures governing such proceeding or hearing; (5) a record relating to a registration may be disseminated to an actual or potential party or his attorney for the purpose of negotiation or discussion on such matters as settlement of the case or matter, plea bargaining, or informal discovery proceedings; (6) a record relating to a registration that has been referred by an agency for investigation may be disseminated to the referring agency to notify such agency of the status of the registration or of any decision or determination that has been made, or to make such other inquiries and reports as are necessary during the processing of the matter; (7) a registration record relating to a person held in custody pending or during arraignment, trial, sentence, or extradition proceedings, or after conviction or after extradition proceedings may be disseminated to a federal, state, local, or foreign prison, probation, parole, or pardon authority, or to any other agency or individual concerned with the maintenance, transportation, or release of such person; (8) a record relating to a registration may be disseminated to a foreign country pursuant to an international treaty or convention entered into and ratified by the United States or to an executive agreement; (9) a registration record may be disseminated to a federal, state, local or foreign law enforcement agency to assist in the general crime prevention and detection efforts of the recipient agency or to provide investigative leads to such agency; (10) a registration record may be disseminated to a federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information relates to the requesting agency's decisions on the matter; (11) a registration record that contains classified national security information and material may be disseminated to persons who are engaged in historical research projects, or who have previously occupied policy making provisions to which they were appointed by the President, in accordance with the provisions codified in 28 CFR 17.60.

Release of information to the news media: Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available from systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Release of information to Members of Congress. Information contained in systems of records maintained by the Department of Justice, not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and at the request of the individual who is the subject of the record.

Release of information to the National Archives and Records Administration (NARA), and the General Services Administration (GSA): A record from a system of records may be disclosed as a routine use to NARA and GSA in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

A record contained in this system is stored manually on index cards and in file jackets.

Retrievability:

A record is retrieved by name of the individual registrant.

Safeguards:

Records are safeguarded and protected in accordance with applicable Departmental files.

Retention and disposal:

Currently there are no provisions for disposal of the records in this system.

System manager(s) and address:

Assistant Attorney General, Criminal Division, U.S. Department of Justice, 10th Street and Constitution Avenue, NW., Washington, D.C. 20530.

Notification procedure:

Same as the above.

Record access procedures:

A request for access to a record from this system shall be made pursuant to the provisions of 28 CFR 12.40 and 12.41.

Contesting record procedures:

Individuals desiring to contest or amend information maintained in the system should direct their request to the System Manager listed above, stating clearly and concisely what information is being contested, the reasons for contesting it, and the proposed amendment to the information sought.

Record source categories:

The source of information contained in this system is the registrant.

Systems exempted from certain provisions of the act:

None.

JUSTICE/CRM-019

System name:

Requests to the Attorney General For Approval of Applications to Federal Judges For Electronic Interceptions.

System location:

U.S. Department of Justice, Criminal Division, 10th and Constitution Avenue, NW., Washington, D.C. 20530.

Categories of individuals covered by the system:

Individuals who have been the subject of requests by federal investigative agencies for electronic surveillance.

Categories of records in the system:

The system contains requests received from federal investigative agencies and federal prosecutors, and associated documents, seeking the authorization of the Attorney General required by 18 U.S.C. 2516 for an application to a federal court for an order authorizing the interception of a wire or oral communication in cases involving federal criminal violations. Records concerning subject matters described in this system may also be contained in JUSTICE/CRM-001.

Authority for maintenance of the system:

This system is established and maintained pursuant to 44 U.S.C. 3101. The system is also maintained to implement the provisions of 18 U.S.C. 2516 and 18 U.S.C. 2519.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

A record maintained in this system of records may be disseminated as a routine use of such record as follows: 1. In an appropriate federal, state, or local court or grand jury proceeding in accordance with established constitutional, substantive, or procedural law or practice; 2. to the requesting agency to notify such agency of the status of the case or matter or of any decision or determination that has been made; 3. to furnish such information for reports to the Administrative Office of the United States Courts as is necessary to comply with the reporting provisions of 18 U.S.C. 2519; 4. to a party pursuant to 18 U.S.C. 2518 (8)(d), (9), and (10) and 18 U.S.C. 3504.

Release of information to the news media: Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available from systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Release of information to Members of Congress. Information contained in systems of records maintained by the Department of Justice, not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and at the request of the individual who is the subject of the record.

Release of information to the National Archives and Records Administration (NARA), and to the General Services Administration (GSA): A record from a system of records may be disclosed as a routine use to NARA and GSA in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

A record contained in this system is stored manually in file jackets.

Retrievability:

A record is retrieved by the name of the individual who appears first on the application or affidavit that is first received.

Safeguards:

The records are safeguarded and protected in accordance with applicable Departmental rules.

Retention and disposal:

Currently there are no provisions for disposal of the records in this system.

System manager(s) and address:

Assistant Attorney General, Criminal Division, U.S. Department of Justice, 10th and Constitution Avenue, NW., Washington, D.C. 20530.

Notification procedure:

Inquiry concerning this system should be directed to the System Manager listed above.

Record access procedures:

The major part of this system is exempted from this requirement under 5 U.S.C. 552a (j)(2), (k)(1), or (k)(2). To the extent that this system of records is not subject to exemption, it is subject to access and contest. A determination as to exemption shall be made at the time a request for access is received. A request for access to a record contained in this system shall be made in writing, with the envelope and the letter clearly marked "Privacy Access Request". Include in the request the name of the individual involved, his birth date and place, or any other identifying number or information which may be of assistance in locating the record, the name of the case or matter involved, if known, and the name of the judicial district involved, if known. The requestor will also provide a return address for transmitting the information. Access requests will be directed to the system manager listed above. Records in this system are exempt from the access provisions of the Act in accordance with the applicable exemption notice.

Contesting record procedures:

Individuals desiring to contest or amend information maintained in the system should direct their request to the system manager listed above, stating clearly and concisely what information is being contested, the reasons for contesting it, and the proposed amendment to the information sought. Records in this system are exempt from the contesting provisions of the Act in accordance with the applicable exemption notice.

Record source categories:

Sources of information contained in this system are federal investigative agencies, federal prosecutors, and personnel of the Criminal Division, Department of Justice.

Systems exempted from certain provisions of the act:

The Attorney General has exempted this system from subsections (c) (3) and (4), (d), (e) (2) and (3), (e)(4) (G), (H) and (I), (e)(8), (f), and (g) of the Privacy Act pursuant to 5 U.S.C. 552a(j)(2). Rules have been promulgated in accordance with the requirements of 5 U.S.C. 553 (b), (c) and (e) and have been published in the Federal Register.

JUSTICE/CRM-021

System name:

The Stocks and Bonds Intelligence Control Card File System.

System location:

U.S. Department of Justice, Criminal Division, Bond Building, 1400 New York Avenue, NW., Washington, D.C. 20530.

Categories of individuals covered by the system:

Individuals, and their known associates, who are actual, potential, or alleged violators, of statutes dealing with stocks, bonds, and other securities.

Categories of records in the system:

This system is an alphabetical listing of all individuals, and their associates, who are actual, potential, or alleged violators of the statutes dealing with counterfeiting, forging, and theft of stocks, bonds, and other securities including those who traffic, or are suspected of trafficking, in such stocks, bonds, or other securities. Records concerning subject matters described in this system may also be contained in JUSTICE/CRM-001.

Authority for maintenance of the system:

This system is established and maintained pursuant to 44 U.S.C. 3101, and is intended to assist in implementing and enforcing the criminal laws of the United States codified in title 18, United States Code and elsewhere, particularly the laws relating to offenses involving stocks and bonds. The system is also maintained to implement the provisions codified in 28 CFR 0.55.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

A record maintained in this system of records may be disseminated as a routine use of such record as follows: (1) In any case in which there is an indication of a violation or potential violation of law, whether civil, criminal, or regulatory in nature, the record in question may be disseminated to the appropriate federal, state, local, or foreign agency charged with the responsibility for investigating or prosecuting such violation or charged with enforcing or implementing such law; (2) in the course of investigating the potential or actual violation of any law, whether civil, criminal, or regulatory in nature, or during the course of a trial or hearing or the preparation for a trial or hearing for such violation, a record may be disseminated to a federal, state, local, or foreign agency, or to an individual or organization, if there is reason to believe that such agency, individual, or organization possesses information relating to the investigation, trial, or hearing and the dissemination is reasonably necessary to elicit such information or to obtain the cooperation of a witness or an informant; (3) a record relating to a case or matter may be disseminated in an appropriate federal, state, local, or foreign court or grand jury proceeding in accordance with established constitutional, substantive, or procedural law or practice; (4) a record relating to a case or matter may be disseminated to a federal, state, or local administrative or regulatory proceeding or hearing in accordance with the procedures governing such proceeding or hearing; (5) a record relating to a case or matter may be disseminated to an actual or potential party or his attorney for the purpose of negotiation or discussion on such matters as settlement of the case or matter, plea bargaining, or informal discovery proceedings; (6) a record relating to a case or matter that has been referred by an agency for investigation, prosecution, or enforcement, or that involves a case or matter within the jurisdiction of an agency, may be disseminated to such agency to notify the agency of the status of the case or matter or of any decision or determination that has been made, or to make such other inquiries and reports as are necessary during the processing of the case or matter; (7) a record relating to a person held in custody pending or during arraignment, trial, sentence, or extradition proceedings, or after conviction or after extradition proceedings, may be disseminated to a federal, state, local, or foreign prison, probation, parole, or pardon authority, or to any other agency or individual concerned with the maintenance, transportation, or release of such a person; (8) a record relating to a case or matter may be disseminated to a foreign country pursuant to an international treaty or convention entered into and ratified by the United States or to an executive agreement; (9) a record may be disseminated to a federal, state, local, foreign, or international law enforcement agency to assist in the general crime prevention and detection efforts of the recipient agency or to provide investigative leads to such agency; (10) a record may be disseminated to a federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information relates to the requesting agency's decision on the matter; (11) a record may be disseminated to the public, news media, trade associations, or organized groups, when the purpose of the dissemination is educational or informational, such as descriptions of crime trends or distinctive or unique modus operandi, provided that the record does not contain any information identifiable to a specific individual other than such modus operandi.

Release of information to the news media: Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available from systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Release of information to Members of Congress. Information contained in systems of records maintained by the Department of Justice, not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and at the request of the individual who is the subject of the record.

Release of information to the National Archives and Records Administration (NARA), and to the General Services Administration (GSA): A record from a system of records may be disclosed as a routine use to NARA and GSA in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

A record contained in this system is stored manually on index cards.

Retrievability:

A record is retrieved by the name of the individual.

Safeguards:

Records are safeguarded and protected in accordance with applicable Departmental rules.

Retention and disposal:

Currently there are no provisions for disposal of the records in this system.

System manager(s) and address:

Assistant Attorney General, Criminal Division, U.S. Department of Justice,; 10th Street and Constitution Avenue, NW., Washington, D.C. 20530.

Notification procedure:

Inquiry concerning the system should be directed to the System Manager listed above.

Record access procedures:

The major part of this system is exempted from this requirement under 5 U.S.C. 552a (j)(2), (k)(1), or (k)(2). To the extend that this system of records is not subject to exemption, it is subject to access and contest. A determination as to exemption shall be made at the time a request for access is received. A request for access to a record contained in this system shall be made in writing, with the envelope and the letter clearly marked "Privacy Access Request." Include in the request the name of the individual involved, his birth date and place, or any other identifying number or information which may be of assistance in locating the record, the name of the case or matter involved, if known, and the name of the judicial district involved, if known. The requester will also provide a return address for transmitting the information. Access requests will be directed to the system manager listed above. Records in this system are exempt from the access provisions of the Act in accordance with the applicable exemption notice.

Contesting record procedures:

Individuals desiring to contest or amend information maintained in the system should direct their request to the system manager listed above, stating clearly and concisely what information is being contested, the reasons for contesting it, and the proposed amendment to the information sought. Records in this system are exempt from the contesting provisions of the Act in accordance with the applicable exemption notice.

Record source categories:

Sources of information contained in this system are federal, state, local, and foreign government agencies and prosecutors, private organizations and individuals, and personnel of the Department of Justice.

Systems exempted from certain provisions of the act:

The Attorney General has exempted this system from subsections (c)(3) and (4), (d), (e)(1), (2) and (3), (e)(4)(G), (H) and (I), (e)(5) and (8), (f), and (g) of the Privacy Act pursuant to 5 U.S.C. 552a (j)(2). Rules have been promulgated in accordance with the requirements of 5 U.S.C. 553 (b), (c) and (e) and have been published in the Federal Register.

JUSTICE/CRM-022

System name:

Witness Immunity Records.

System location:

U.S. Department of Justice, Criminal Division, 10th Street and Constitution Avenue NW., Washington, DC 20530.

Categories of individuals covered by the system:

Potential or actual witnesses for whom immunity (pursuant to 18 U.S.C. 6001-6005) is proposed.

Categories of records in the system:

The system contains background information on the individual and the case of matter in which he is expected to testify in a processing before or ancillary to a court or grand jury of the United States or an agency of the United States. The information maintained in the system is entered from DOJ Form-LAA-111, "Request for Immunity Authorization", which is completed by the United States Attorneys, or from other formal requests for immunity from Federal agencies. The system also contains a record of action taken by the Criminal Division on the request.

Authority for maintenance of the system:

This system is established and maintain pursuant to 44 U.S.C. 3101. The system is also maintained to implement the provisions of 18 U.S.C. 6001-6005 and 18 U.S.C. 2514.

Purpose(s):

The system is essential to the Division's efforts in granting immunity requests as stated in 18 U.S.C. 6001-6005. Requests for immunity may be made by a United States Attorney or a Federal agency.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

(1) A record may be disseminated to a federal, state, local, or foreign law enforcement agency to alert such agency to the proposed immunity or, to the extent necessary for identification purposes, to elicit information concerning the potential or actual witness which may be necessary to an evaluation of the proposed immunity; (2) a record relating to a proposed immunity that has been referred to the Department of Justice for approval, may be disseminated to the referring agency to notify such agency of the status of the referral or of any decision or determination that has been made.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper documents are stored in file folders in locked cabinets; selected summary data are stored on magnetic disks and on manual index cards which are also kept in locked cabinets.

Retrievability:

Summary data, e.g., names, request numbers, dates of receipt and completion are retrieved from manual index cards for requests received prior to June 1986; for June 1986 and subsequent years, summary data are retrieved from magnetic disks. File folders are accessed through the manual or automated indexes.

Safeguards:

The records are safeguarded and protected in accordance with applicable Departmental rules. Security for the automated records include strictly controlled access codes and passwords. Only authorized Criminal Division employees will have access to the system.

Retention and disposal:

Dispose 10 years after close of request.

System manager(s) and address:

Assistant Attorney General, Criminal Division, U.S. Department of Justice, 10th Street and Constitution Avenue NW., Washington, DC 20530.

Notification procedure:

The major part of this system is exempted from this requirement pursuant to 5 U.S.C. 552a (j)(2) or (k)(2). Inquiry concerning this system should be directed to the System Manager listed above.

Record access procedures:

The major part of this system is exempted from this requirement pursuant to 5 U.S.C. 552a (j)(2) or (k)(2). To the extent that this system of records is not subject to exemption, it is subject to access and contest. A determination as to exemption shall be made at the time a request for access is received. A request for access to a record from this system shall be made in writing, with the envelope and the letter clearly marked "Privacy Access Request". Include in the request the name of the individual involved, his birth date and place, or other identifying number of information which may be of assistance in locating the record, the name of the case or matter involved, if known, and the name of the judicial district involved, if known. The requester will also provide a return address for transmitting the information. Access requests will be directed to the System Manager listed above.

Contesting record procedures:

Individuals desiring the contest or amend information maintained in the system should direct their request to the System Manager listed above, stating clearly and concisely what information is being contested, the reasons for contesting it, and the proposed amendment to the information sought.

Record source categories:

1. Federal government prosecutors; 2. Federal agencies; 3. Department of Justice attorneys and personnel.

Systems exempted from certain provisions of the act:

The Attorney General has exempted this system from subsections (c) (3) and (4), (d), (e) (2), (3) and (e)(4) (G), (H) and (I), (e)(8), (f) and (g) of the Privacy Act pursuant to 5 U.S.C. 552a (j)(2) and (k)(2). Rules have been promulgated in accordance with the requirements of 5 U.S.C. 553 (b), (c) and (e) and have been published in the Federal Register.

JUSTICE/CRM-023

System name: Weekly Statistical Report.

System location: U.S. Department of Justice, Criminal Division, 10th & Constitution Avenue, N.W., Washington, D.C. 20530.

Categories of individuals covered by the system: Past or present attorneys and paralegals of the Criminal Division.

Categories of records in the system: The system consists of weekly statistical reports submitted by each attorney and paralegal of the Criminal Division detailing the time expended on case or matter oriented activities and on noncase and nonmatter oriented activities. The system also includes periodic computer printout summaries.

Authority for maintenance of the system: This system is established and maintained pursuant to 44 U.S.C. 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Statistical compilations arranged by Section and by Division are submitted to the Congress and the Office of Management and Budget in connection with annual appropriations. There are no other uses of the records in this system outside of the Department of Justice.

Release of information to the news media: Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available from systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Release of information to Members of Congress. Information contained in systems of records maintained by the Department of Justice, not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and at the request of the individual who is the subject of the record.

Release of information to the National Archives and Records Administration: A record from a system of records may be disclosed as a routine use to the National Archives and Records Administration (NARA) in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Original Weekly Statistical Reports are retained and the information contained thereon is also stored at the Department's computer center. Summaries are also retained on computer printout paper. Records not at the computer center are stored in file cabinets in the Criminal Division.

Retrievability: The record is retrieved by date, section, unit, and name of attorney or paralegal.

Safeguards: The computer center is maintained by the Office of Management and Finance which has designated security procedures consistent with the sensitivity of the data. Materials related to the system maintained at locations other than the location of the computer center are protected and safeguarded in accordance with applicable Departmental rules.

Retention and disposal: Information as to individuals is destroyed at the computer center annually. Original weekly reports are destroyed approximately every two years. Statistical data and compilations are maintained indefinitely.

System manager(s) and address: Assistant Attorney General, Criminal Division, U.S. Department of Justice, 10th & Constitution Avenues, NW, Washington, D.C. 20530.

Notification procedure: Same as above.

Record access procedures: A request for access to a record from this system shall be made in writing with the envelope and the letter clearly marked 'Privacy Access Request.' Include in the request the name of the past or present attorney or paralegal employed by the Criminal Division. The requestor shall also provide a return address for transmitting the information. Access requests will be directed to the System Manager listed above.

Contesting record procedures: Individuals desiring to contest or amend information maintained in the system should direct their request to the System Manager listed above, stating clearly and concisely what information is being contested, the reasons for contesting it, and the proposed amendment to the information sought.

Record source categories: Attorneys and paralegals of the Criminal Division.

Systems exempted from certain provisions of the act: None.

JUSTICE/CRM-024

System name:

Freedom of Information/Privacy Act Records.

System location:

U.S. Department of Justice, Criminal Division, Bond Building, 1400 New York Avenue, NW., Washington, D.C. 20530.

Categories of individuals covered by the system:

Persons who request disclosure of records pursuant to the Freedom of Information Act, persons who request access to or correction of records pertaining to themselves contained in Criminal Division systems of records pursuant to the Privacy Act; and, where applicable, persons about whom records have been requested or about whom information is contained in requested records.

Categories of records in the system:

The system contains copies of all correspondence and internal memorandums related to Freedom of Information and Privacy Act requests, and related records necessary to the processing of such requests received on or after January 1, 1975.

Authority for maintenance of the system:

This system is established and maintained pursuant to 44 U.S.C. 3101 and is maintained to implement the provisions of 5 U.S.C. 552 and 552a and the provisions of 28 CFR 16.1 et seq. and 28 CFR 16.40 et seq.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

A record maintained in this system may be disseminated as a routine use of such record as follows: (1) A record may be disseminated to a Federal agency which furnished the record for the purpose of permitting a decision as to access or correction to be made by that agency or for the purpose of consulting with that agency as to the propriety of access or correction; (2) a record may be disseminated to any appropriate Federal, State, local, or foreign agency for the purpose of verifying the accuracy of information submitted by an individual who has requested amendment or correction of records contained in systems of records maintained by the Criminal Division.

Release of information to the news media: Information permitted to be released pursuant to the news media and the public pursuant to 28 CFR 50.2 may be made available from system of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Release of information to Members of Congress. Information contained in systems of records maintained by the Department of Justice, not otherwise required to be released to 5 U.S.C. 552, may be made available to a Member or Congress or staff acting upon the Member's behalf when the Member of staff requests the information on behalf of and at the request of the individual who is the subject of the record.

Release of information to the National Archives and Record Administration (NARA), and to the General Services Administration (GSA): A record from a system of records may be disclosed as a routine use to NARA and GSA in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

A record contained in this system is stored manually in alphabetical order in file cabinets.

Retrievability:

A record is retrieved by the name of the individual or person making a request for access or correction of records.

Safeguards:

Access to physical records is limited to personnel of the Freedom of Information/Privacy Act Unit of the Criminal Division and known Department of Justice personnel who have a need for the record in the performance of their duties. The records are safeguarded and protected in accordance with applicable Department rules.

Retention and disposal:

Currently there are no provisions for disposal of records contained in this system.

System manager(s) and address:

Assistant Attorney General, Criminal Division, U.S. Department of Justice, 10th and Constitution Avenue, NW., Washington, D.C. 20530.

Notification procedure:

A part of this system is exempted from this requirement under 5 U.S.C. 552a(j)(2), (k) (1), or (k) (2). Inquiry concerning this system should be directed to the system manager listed above.

Record access procedures:

A part of this system is exempted from this requirement under 5 U.S.C. 552a(j)(2), (k) (1), or (k) (2), to the extent that this system of records is not subject to exemption, it is subject to access and contest. A determination as to exemption shall be made at the time a request for access is received. A request for access to a record contained in this system shall be made at the time a request for access is received. A request for access to a record contained in this system shall be made in writing, with the envelope and the letter clearly marked 'Privacy Access Requests.' Include in the request the name of the individual involved, his birth date and place, or any other identifying number or information which may be of assistance in locating the record, the name of the case or matter involved, if known, and the name of the judicial district involved, if known. The requester shall also provide a return address for transmitting the information. Access requests shall be directed to the system manager listed above.

Contesting record procedures:

Individuals desiring to contest or amend information maintained in the system should direct their request to the system manager listed above, stating clearly and concisely what information is being contested, the reason for contesting it, and the proposed amendment to the information sought.

Record source categories:

Sources of information contained in this system are the individuals and persons making requests, the systems of records searched in the process of responding to requests, and other agencies referring requests for access to or correction of records originating in the Criminal Division.

Systems exempted from certain provisions of the act:

Records secured from other systems of records have been exempted from the provisions of the Privacy Act to the same extent as the system of records from which they were obtained. Rules have been promulgated in accordance with the requirements of 5 U.S.C. 553(b) (c), and (e) and have been published in the Federal Register.

JUSTICE/CRM-025

System name:

Tax Disclosure Index File and Associated Records.

System location:

U.S. Department of Justice, Criminal Division, Bond Building, 1400 New York Avenue NW., Washington, DC 20530.

Categories of individuals covered by the system:

Taxpayers about whom the Criminal Division has requested and/or obtained disclosure of tax material from the Internal Revenue Service pursuant to 26 U.S.C. 6103.

Categories of records in the system:

The system contains all requests for tax material, any such material provided by the Internal Revenue Service or duplicated or extracted by the Criminal Division from such material, and related records necessary to the application for and/or safeguarding of such material received on or after January 1, 1977.

Authority for maintenance of the system:

This system is established and maintained pursuant to 26 U.S.C. 6103(p)(4).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

A record maintained in this system of records may be disseminated as a routine use of such record (A) to any officer or employee of the Criminal Division who is personally and directly engaged in preparation for any proceeding (or investigation which may result in such proceeding) pertaining to the enforcement of a specifically designated Federal criminal statute not involving tax administration or to the enforcement of a Federal criminal statute in any matter involving tax administration; and (B) to any person outside of the Criminal Division where such dissemination is or reasonably appears to be in furtherance of proper preparation for any proceeding (or investigation which may result in such proceeding) pertaining to the enforcement of a specifically designated Federal criminal statute not involving tax administration or to the enforcement of a Federal criminal statute in any manner involving tax administration. Such dissemination shall be permitted to the extent authorized under 26 U.S.C. 6103(h), 26 U.S.C. 6103(i), 26 CFR 404.6103(h)(2)–1, 26 CFR 404.6103(i)–(l), and Rule 6(e), FR Crim. P. The above mentioned routine uses include the following:

(1) Dissemination to an attorney of the Criminal Division assigned responsibility with respect to an above-mentioned proceeding or an investigation which may result in such proceeding;

(2) Dissemination to an officer or employee of the Department of Justice with supervisory or clerical responsibility with respect to an above-mentioned proceeding, or an investigation which may result in such proceeding;

(3) Dissemination to an officer or employee of another Federal agency (as defined at 5 U.S.C. 551(l)) with investigative, supervisory, or clerical responsibility working under the direction and control of such attorneys of the Department of Justice as are assigned responsibility with respect to an above-mentioned proceeding, or an investigation which may result in such proceeding;

(4) Dissemination to a taxpayer to whom such record relates, or to such taxpayer's legal representative, to properly interview, consult, depose, or interrogate or otherwise obtain information relevant to an above-mentioned proceeding, or an investigation which may result in such proceeding, from such taxpayer or his legal representative;

(5) Dissemination during the course of an investigation which may result in an above-mentioned proceeding to any witness who may be called on to give evidence in such a proceeding to properly interview, consult, depose, or interrogate or otherwise obtain relevant information from such potential witness;

(6) Dissemination to any person having special knowledge or technical skills (such as handwriting analysis, photographic development, sound recording enhancement, or voice identification) to properly obtain the services of such person in an above-mentioned proceeding, or an investigation which may result in such proceeding;

(7) Dissemination to an officer or employee of the Department of Justice, another Federal agency (as defined at 5 U.S.C. 551(l)), or a foreign government to properly utilize international contacts and judicial assistance in an above-mentioned proceeding, or an investigation which may result in such proceeding;

(8) Dissemination to an officer or employee of the Internal Revenue Service to obtain additional disclosure pursuant to 26 U.S.C. 6103 in an above-mentioned proceeding, or an investigation which may result in such proceeding;

(9) Dissemination to a Federal grand jury;

(10) Dissemination to an officer or employee of the Department of Justice to obtain a court order to compel testimony pursuant to 18 U.S.C. 6002 and 6003 in any above-mentioned proceeding, or an investigation which may result in such proceeding;

(11) Dissemination to any party to an above-mentioned proceeding, to properly conduct negotiations concerning, or obtain authorization for, disposition of the proceeding, in whole or in part, or to obtain stipulations of fact in connection with the proceeding;

(12) Dissemination to a judicial or administrative body (such as the United States Parole Commission) in an above-mentioned proceeding or in preparation therefore, or in any post-conviction proceeding resulting from an above-mentioned proceeding;

(13) Dissemination to a court reporter in an above-mentioned proceeding, or as required, in preparation therefor.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

A record contained in this system is stored manually on index cards and in file jackets.

Retrievability:

A record is retrieved by name of the taxpayer in indices maintained in individual sections of the Criminal Division.

Safeguards:

Records are safeguarded in accordance with Department of Justice rules and procedures. Buildings in which records are located are under security guard, and access to premises is by official identification. Records are stored in spaces which are locked outside of normal office hours and in safe type filing cabinets which are locked when not being accessed. Access to such cabinets is limited to Division personnel whose duties and responsibilities require such access and to whom access may be permitted. A record of access is kept which indicates the name of each person who gains access to material from the secured area and the date and time of each access.

Retention and disposal:

Records not retained are returned to the Internal Revenue Service or rendered undisclosable in accordance with 26 U.S.C. 6103(p)(4)(f)(ii). Currently there are no provisions for disposal of records contained in this system that are not returned to the Internal Revenue Service or are otherwise rendered undisclosable.

System manager(s) and address:

Assistant Attorney General, Criminal Division, U.S. Department of Justice, 10th Street and Constitution Avenue, NW., Washington, D.C. 20530.

Notification procedure:

The major part of this system is exempted from this requirement under 5 U.S.C. 552a(j)(2). Inquiry concerning the system should be addressed to the system manager listed above.

Record access procedures:

The major part of this system is exempted from this requirement under 5 U.S.C. 552a(j)(2). To the extent that this system of records is not subject to exemption, it is subject to access and contest. A determination as to exemption shall be made at the time a request for access is received. A request for access to a record contained in this system shall be made in writing, with the envelope and the letter clearly marked 'Privacy Access Request.' Include in the request the name of the individual involved, his birth date and place or any other identifying number or information which may be of assistance in locating the record, the name of the case or matter involved, if known, and the name of the judicial district involved, if known. The requestor will also provide a return address for transmitting the information. Access requests will be directed to the system manager listed above. Records in this system are exempt from the access provisions of the Act in accordance with the applicable exemption notice.

Contesting record procedures:

Taxpayers desiring to contest or amend information maintained in the system should direct their request to the system manager listed above, stating clearly and concisely what information is being contested, the reasons for contesting it, and the proposed amendment to the information sought. Records in this system are exempt from the contesting provisions of the Act in accordance with the applicable exemption notice.

Record source categories:

Sources of information contained in this system are the Internal Revenue Service, Federal investigative agencies, Federal prosecutors, and personnel of the Criminal Division, Department of Justice.

Systems exempted from certain provisions of the act:

The Attorney General has exempted this system from subsections (c) (3) and (4), (d), (e) (1), (2) and (3), (e)(4)(G), and (H) and (I), (e) (5) and (8), (f), and (g) of the Privacy Act pursuant to 5 U.S.C. 552a(j)(2). Rules have been promulgated in accordance with the requirements of 5 U.S.C. 553 (b), (c) and (e) and have been published in the Federal Register.

JUSTICE/CRM-026

System name:

Index of Prisoners Transferred Under Prisoner Transfer Treaties.

System location:

U.S. Department of Justice, Criminal Division, Bond Building, 1400 New York Avenue, NW, 10th and Constitution Ave., NW., Washington, DC 20530.

Categories of individuals covered by the system:

Prisoners transferred to or from prisons in the United States under prisoner transfer treaties with other countries.

Categories of records in the system:

The system consists of alphabetical indicies bearing individual names of prisoners involved in transfers and the tape recordings and occasional verbatim transcripts of consent verification hearings held pursuant to 18 U.S.C. 4107 and 4108, as well as copies of consent verification forms.

Authority for maintenance of the system:

The system is maintained to implement the provisions of 18 U.S.C. 4107(e) and 4108(e). The records maintained in the system are used in conjunction with litigation relating to transfer of prisoners under prisoner transfer treaties.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The file is used by personnel of the Office of International Affairs of the Criminal Division to confirm the status of verification consent proceedings and to provide a readily retrievable record in the event of litigation on the issue of consent to the transfer. In addition, a record may be disseminated to the court, to court personnel, and to parties and their counsel in any litigation brought on the issue of proper consent to a prisoner transfer; to a state, local or foreign government, at its request, when the record relates to one of its past or present prisoners who have been the subject of a consent verification hearing; and, to any foreign government that is a party to an applicable treaty in a scheduled report that is required by the treaty.

Release of information to the news media and the public: Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available from systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Release of information to Members of Congress: Information contained in the system not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and at the request of the individual who is the subject of the record.

Release of information to the National Archives and Records Administration (NARA) and to the General Services Administration (GSA): A record of the system of records may be disclosed to NARA and GSA National Archives and Records Administration (NARA) for records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Verification consent forms and tape records are stored in file drawer safes.

Retrievability:

A record is retrieved from index cards by the name of the individual and from the file jackets by location and date of the verification consent hearings which appear on the index cards.

Safeguards:

The records are stored in file drawer safes. Access to them is limited to personnel of the Office of International Affairs, Criminal Division, United States Department of Justice. The office in which the records are contained is securely locked at night and on weekends.

Retention and disposal:

Currently it is planned to maintain records for 10 years in file safes referred to above and then transfer them to the Federal Records Center for retention.

System manager(s) and address:

Assistant Attorney General, Criminal Division; U.S. Department of Justice, 10th and Constitution Avenue, NW., Washington, D.C. 20530.

Notification procedure:

Inquiry concerning this system should be in writing and made to the system manager listed above.

Record access procedures:

A request for access to a record contained in this system shall be made in writing to the system manager, with the envelope and letter clearly marked "Privacy Act Request". The request shall include the name of the individual involved, his birth date and place, or any other identifying number or information which may be of assistance in locating the record, and the name of the case or matter involved, if known. The requester shall also provide a return address for transmitting the information.

Contesting record procedures:

Individuals desiring to contest or amend information maintained in the system should direct their request to the system manager listed above, stating clearly and concisely what information is being contested, the reasons for contesting it, and the proposed amendment to the information.

Record source categories:

Court records and prisoner statements.

Systems exempted from certain provisions of the act:

None.

JUSTICE/CRM-027

System name:

Office of Special Investigations (OSI) Displaced Persons Listings.

System location:

U.S. Department of Justice, Criminal Division, Bond Building, 1400 New York Avenue, NW, Washington, DC 20530, and Federal Records Center, Suitland, Maryland 20409.

Categories of individuals covered by the system:

Individuals who applied for entry visas into the United States under the Displaced Persons Acts in force from 1948 to 1952 and for whom the United States Army Counterintelligence Corps assembled visa investigation files.

Categories of records in the system:

The system consists of alphabetical indexes bearing the names of persons who applied for entry visas under the Displaced Persons Acts, their visa applications, investigative reports and any other supporting documents.

Authority for maintenance of the system:

This system is established and maintained pursuant to 44 U.S.C. 3101 and is intended to assist in implementing and enforcing the criminal laws of the United States, particularly those Criminal Statutes codified in "Criminal Laws," United States Code. The system is also maintained to implement the provisions codified in 28 CFR 0.55 and 0.61.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

best copy available

These records are used by OSI personnel as source material to locate potential witnesses who might be able to provide information of investigative interest. However, a record maintained in this sytem of records may be disseminated as a routine use of such record as follows: (1) Records, or some part thereof, relating to a particular visa applicant, may become a part of an investigative record maintained in a published system of records entitled "Central Criminal Division Index File and Associated Records, JUSTICE/CRM-001" and be subject to the routine uses of that system; (2) a record relating to a case or matter may be disseminated to a foreign country pursuant to an international treaty or convention entered into and ratified by the United States or to an executive agreement; (3) a record may be disseminated to a Federal, State, local, foreign, or international enforcement agency to assist in the general crime prevention and detection efforts of the recipient agency or to provide investigative leads to such agency; and (4) a record may be disseminated to a foreign country, through the United States Department of State or directly to the representative of such country, to the extent necessary to assist such country in apprehending and/or returning a fugitive to a jurisdiction which seeks his return.

Release of information to the news media:

Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available from systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Release of information to Members of Congress. Information contained in systems of records maintained by the Department of Justice, not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and at the request of the individual who is the subject of the record.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Index records in this system will be stored by name and control number on an IBM System/38. The actual records are papers in files stored in file boxes on shelves in locked record storage rooms.

Retrievability:

Records stored in this system can be retrieved by the name of the individual, and by the control number of the record.

Safeguards:

Appropriate steps have been taken to preserve security and minimize the risk of unauthorized access to the system. Staff members who use the computer to input data or who have access to the stored data have been given specific identification codes or passwords by the system security officer which will restrict access to specific data. The files will be kept in a locked room with restricted access.

Retention and disposal:

Currently there are no provisions for the disposal of records in the system.

System manager(s) and address:

Assistant Attorney General, Criminal Division, U.S. Department of Justice, 10th and Constitution Avenue, NW, Washington, DC 20530.

Notification procedure:

Inquire in writing to the system manager listed above.

Record access procedures:

Portions of this system are exempt from disclosure and contest by 5 U.S.C. 552a(k)(2). Make all requests for access to those portions not so exempted by writing to the system manager identified above. Clearly mark the envelope and letter "Privacy Access Requests;" provide the full name and notarized signature of the individual who is the subject of the record, his/her date and place of birth, or any other identifying number or information which may assist in locating the record; and, a return address.

Contesting record procedures:

Direct all requests to contest or amend information maintained in the system to the system manager listed above. State clearly and concisely what information is being contested, the reasons for contesting it, and the proposed amendment to the information.

Record source categories:

The information in this system was originally compiled during the course of investigations undertaken by the United States Army Counter Intelligence Corps pursuant to the Displaced Persons Acts in effect from 1948 to 1952. For the most part, the information in this system was obtained directly from the visa applicant himself, but the records would also contain information from other individuals or entities which would have shed light on the information supplied by the visa applicant.

Systems exempted from certain provisions of the act:

The Attorney General has exempted certain categories of records in this system from subsection (d) of the Privacy Act pursuant to 5 U.S.C. 552a(k)(2). Rules have been promulgated in accordance with the requirements of 5 U.S.C. 553 (b), (c) and (e), and have been published in the Federal Register.

JUSTICE/CRM-999

Appendix to Criminal Division's Systems of Records; Field Office Addresses of Organized Crime and Racketeering Sections Where Records May be Located:

Organized Crime and Racketeering Section:
U.S. Department of Justice, Atlanta Field Office, 75 Spring Street (SW.), U.S. Courthouse—Suite 2002, Atlanta, Georgia 30303.

Organized Crime and Racketeering Section:
U.S. Department of Justice, Boston Strike Force, P.O. Box 1433, Boston, Massachusetts 02109.

Organized Crime and Racketeering Section:
U.S. Department of Justice, Brooklyn Strike Force, Room 327-A, 35 Tillary Street, Brooklyn, New York 11201.

Organized Crime and Racketeering Section:
U.S. Department of Justice, Buffalo Strike Force, U.S. Courthouse, 68 Court Street—Rm. 420, Buffalo, New York 14202.

Organized Crime and Racketeering Section:
U.S. Department of Justice, Camden Field Office, 2600 Mount Ephraim Avenue, Camden, New Jersey 08104-3210.

Organized Crime and Racketeering Section:
U.S. Department of Justice, Chicago Strike Force, Room 1402, 219 South Dearborn Street, Chicago, Illinois 60604.

Organized Crime and Racketeering Section:
U.S. Department of Justice, Cleveland Strike Force, Suite 450—Investment Bldg., 601 Rockwell Avenue, Cleveland, Ohio 44114.

Organized Crime and Racketeering Section:
U.S. Department of Justice, Detroit Strike Force, Rm. 940—Federal Bldg., 231 West Lafayette St., Detroit, Michigan 48226.

Organized Crime and Racketeering Section:
U.S. Department of Justice, Ft. Lauderdale Field Office, 299 E. Broward Blvd., Suite 309-E, Federal Bldg., Ft. Lauderdale, Florida 33301.

Organized Crime and Racketeering Section:
U.S. Department of Justice, U.S. Courthouse—Room C-242, 300 Ala Moana Boulevard, Honolulu, Hawaii 96850.

Organized Crime and Racketeering Section:
U.S. Department of Justice, Houston Field Office, P.O. Box 610148, Houston, Texas 77208-0148.

Organized Crime and Racketeering Section:
U.S. Department of Justice, Kansas City Strike Force, 811 Grand Avenue, Rm. 127—U.S. Courthouse, Kansas City, Missouri 64106.

Organized Crime and Racketeering Section:
U.S. Department of Justice, Las Vegas Strike Force, Valley Bank Plaza, 300 S. 4th Street, Suite 1005, Las Vegas, Nevada 89101.

Organized Crime and Racketeering Section:
U.S. Department of Justice, Los Angeles Strike Force, Rm. 2311—Fed. Bldg., 300 North Los Angeles St., Los Angeles, Calif. 90012.

Organized Crime and Racketeering Section:
U.S. Department of Justice, Miami Strike Force, 77 S.E. 5th St., Suite 401, Miami, Florida 33131.

Organized Crime and Racketeering Section:
U.S. Department of Justice, 142 Orange Street, 3rd Floor, New Haven, Conn. 06515, or P.O. Box 1693, New Haven, Conn. 06507.

Organized Crime and Racketeering Section:
U.S. Department of Justice, Newark Strike Force, Rm. 635—Fed. Bldg., 970 Broad Street, Newark, New Jersey 07101.

Organized Crime and Racketeering Section:
U.S. Department of Justice, New Orleans Strike Force, Hale Boggs Federal Building, 500 Camp Street—Room 308, New Orleans, Louisiana 70130.

Organized Crime and Racketeering Section:
U.S. Department of Justice, Philadelphia Strike Force, 615 Chestnut Street, Suite 700, Philadelphia, Pennsylvania 19106.

Organized Crime and Racketeering Section:
U.S. Department of Justice, P.O. Box 996, Postal Annex Building, Providence, Rhode Island 02901, or U.S. Courthouse—Federal Bldg., Rm. 213, Kennedy Plaza, Providence, Rhode Island 02901.

Organized Crime and Racketeering Section:
U.S. Department of Justice, Room 318—New Federal Building, 100 State Street, Rochester, New York 14614.

Organized Crime and Racketeering Section:

U.S. Department of Justice, San Francisco Strike Force, Box 36132, 450 Golden Gate Avenue, San Francisco, California 94102.

Organized Crime and Racketeering Section:

U.S. Department of Justice, P.O. Box 7012—Federal Station, Syracuse, New York 13201, or U.S. Courthouse and Fed. Bldg., Rm. 1141—100 S. Clinton, Syracuse, New York 13260.

Organized Crime and Racketeering Section:

U.S. Department of Justice, 700 Twiggs Street, Room 711, Tampa, Florida 33602.

Organized Crime and Racketeering Section:

U.S. Department of Justice, Box 571, Ben Franklin Station, Washington, DC 20044.

DRUG ENFORCEMENT ADMINISTRATION

JUSTICE/DEA-001

System name:

Air Intelligence Program.

System location:

Drug Enforcement Administration, 1405 Eye Street, NW., Washington, D.C. 20537. Also, field offices. See Appendix 1 for list of addresses.

Categories of individuals covered by the system:

(A) Aircraft Owners; (B) Licensed Pilots.

Categories of records in the system:

(A) FAA Civil Aircraft Registry; (B) FAA Aircraft Owners Registry; (C) FAA Airman Directory; (D) Entries into NADDIS.

Authority for maintenance of the system:

The System is maintained to provide intelligence and law enforcement activities pursuant to the Comprehensive Drug Abuse Prevention and Control Act of 1970 (Pub. L. 91-513) and Reorganization Plan No. 2 of 1973.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The system provides a research data base for identification of aircraft, aircraft owners and pilots that are known or suspected of involvement in illicit air transportation of narcotics. Information developed from this system is provided to the following categories of users for law enforcement purposes on a routine basis: (A) Other Federal law enforcement agencies; (B) State and local law enforcement agencies; (C) Foreign law enforcement agencies with whom DEA maintains liaison.

Release of information to the news media: Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available from systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the content of a particular case would constitute an unwarranted invasion of personal privacy.

Release of information to Members of Congress: Information contained in systems of records maintained by the Department of Justice, not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and at the request of the individual who is the subject of the record.

Release of information to the National Archives and Records Administration (NARA) and to the General Services Administration (GSA): A record from a system of records may be disclosed as a routine use to the NARA and GSA in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Reference materials are maintained on microfiche. Information developed from the reference materials is entered onto the NADDIS magnetic tape.

Retrievability:

This system is indexed by name and identifying numbers.

Safeguards:

This system of records is maintained at DEA Headquarters which is protected by twenty-four hour guard service and electronic surveillance. Access to the building is restricted to DEA employees and those persons transacting business within the building who are escorted by DEA employees. Access to the system is restricted to authorized DEA employees with appropriate clearance on a need-to-know basis.

Retention and disposal:

Reference materials are retained until updated and then destroyed. Entries into NADDIS are retained for twenty-five years.

System manager(s) and address:

Deputy Assistant Administrator, Office of Intelligence, Drug Enforcement Administration, 1405 Eye Street, NW., Washington, DC 20537.

Notification procedure:

The reference materials in this system are matters of public record. Information developed from this system and entered into the Narcotics and Dangerous Drug Information System (NADDIS) has been exempted from compliance with subsection (d) of the Act by the Attorney General.

Record access procedures:

Same as above.

Contesting record procedures:

Same as the above.

Record source categories:

Federal Aviation Administration.

Systems exempted from certain provisions of the act:

The Attorney General has exempted this system from subsections (c)(3) and (4), (d), (e) (1), (2) and (3), (e)(4) (G), and (H), (e)(5) and (8), (f), (g), (h) of the Privacy Act pursuant to 5 U.S.C. 552a (j) and (k). Rules have been promulgated in accordance with the requirements of 5 U.S.C. 553 (b), (c) and (e) and have been published in the Federal Register.

JUSTICE/DEA-003

System name:

Automated Records and Consolidated Orders System/Diversion Analysis and Detection System (ARCOS/DADS).

System location:

Drug Enforcement Administration, 1105 Eye Street, NW., Washington, D.C. 20537. Also field offices. See Appendix 1 for list of addresses.

Categories of individuals covered by the system:

Persons registered with DEA under the Comprehensive Drug Abuse Prevention and Control Act of 1970 (Pub. L. 91-513).

Categories of records in the system:

The information contained in this system consists of individual business transactions between levels of handlers of controlled substances to provide an audit trail of all manufactured and/or imported controlled substances to the dispensing level.

Authority for maintenance of the system:

This system of records is maintained pursuant to the reporting requirements of the Comprehensive Drug Abuse Prevention and Control Act of 1970 (21 U.S.C. 826(d)) and to enable the United States to fulfill its treaty obligations under the Single Convention on Narcotic Drugs and the Convention on Phychotropic Substances.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Information contained in this system is provided to the following categories of users for the purposes stated: (A) Other Federal law enforcement and regulatory agencies for law enforcement or regulatory purposes; (B) State and local law enforcement and regulatory agencies for law enforcement and regulatory purposes; (C) The International Narcotics Control Board as required by treaty obligations.

The ARCOS/DADS system of records generates the following reports: (1) Reports to the United Nations on Narcotics and Psychotropic Substances; (2) Aggregate Individual Quota Allocation Supportive Data; (3) Usage of Controlled Substances; (4) Controlled Substance Summary by reporting Registrant; (5) Controlled Substance Summary by Location; (6) Controlled Substance Usage & Inventory Summary—by Schedule; (7) Discrepancy Notice Reports; (8) Discrepancy Error Analysis Report; (9) Potential Diversion reports; (10) Incomplete Transfers; (11) Unauthorized Purchases; (12) Excess Inventory & Purchases; (13) Order Form Monitoring; (14) Improper Reporting of Partial Shipments; (15) Discrepancies in Quantities; (16) Waste & Sampling of Controlled Substances Beyond Limits; (17) Controlled Substances Used in Manufacturing of Noncontrolled Substances; (18) Controlled Substances Used in Research; (19) Controlled Substances Sold to Government Agencies; (20) Controlled Substances Destroyed; (21) Controlled Substances Imported/Exported; (22) Quota Excess.

Release of information to the news media: Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available from systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Release of information to Members of Congress. Information contained in systems of records maintained by the Department of Justice, not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and at the request of the individual who is the subject of the record.

Release of information to the National Archives and Records Administration (NARA) and to the General Services Administration (GSA). A record from a system of records may be disclosed as a routine use to the NARA and GSA in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

All automated data files associated with ARCOS-DADS are maintained in the Department of Justice Data Center and the Drug Enforcement Administration Data Center.

Retrievability:

The system is indexed by name and identifying number. In addition a number of telecommunication terminals have been added to the existing network.

Safeguards:

The portion of the records maintained in DEA headquarters is protected by twenty-four hour guard service and electronic surveillance. Access to the building is restricted to DEA employees and those persons transacting business within the building who are escorted by DEA employees. Access to the system is restricted to ARCOS Unit employees who have appropriate security clearances on a need to know basis. Information that is retrievable by terminals requires user identification numbers which are issued to authorized employees of the Department of Justice.

Retention and disposal:

Input data received from registrants is maintained for 60 days for backup purposes and then destroyed by shredding or electronic erasure. ARCOS master inventory records are retained for eight consecutive calendar quarters As the end of a new quarter is reached the oldest quarter of data is purged from the record. ARCOS transaction history will be retained for a maximum of five years and then destroyed.

System manager(s) and address:

Deputy Assistant Administrator, Office of Diversion Control, Drug Enforcement Administration; 1405 Eye Street, NW., Washington, D.C. 20537.

Record access procedures:

Business forms and individuals registered with DEA under the Comprehensive Drug Abuse Prevention and Control Act of 1970 (Pub. L. 91-513)

Systems exempted from certain provisions of the act:

The Attorney General has exempted this system from subsections (c)(3), (d) (e)(4)(G) and (H), (f) of the Privacy Act pursuant to 5 U.S.C. 552a(k). Rules have been promulgated in accordance with the requirements of 5 U.S.C. 552a(k). Rules have been promulgated in accordance with the requirements of 5 U.S.C. (b), (c) and (e) and have been published in the Federal Register.

JUSTICE/DEA-004

System name:

Congressional Correspondence File.

System location:

Drug Enforcement Administration, 1405 Eye Street NW., Washington, DC 20537. Also, field offices. See Appendix 1 for list of addresses.

Categories of individuals covered by the system:

Members of the United States Congress.

Categories of records in the system:

(A) Inquiries from Members of Congress; (B) Reply to Congressional inquiries.

Authority for maintenance of the system:

5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

This system is maintained to provide a history of Congressional inquiries. The information is not disseminated outside the Department of Justice.

Release of information to the news media: Information permitted to be released to the media and the public pursuant to 28 CFR 50.2 may be made available from systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Release of information to Members of Congress Information contained in systems of records maintained by the Department of Justice, not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and at the request of the individual who is the subject of the record.

Release of information to the National Archives and Records Administration (NARA) and to the General Services Administration (GSA): A record from a system of records may be disclosed as a routine use to the NARA and GSA in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

The documents in this system are maintained in standard file folders.

Retrievability:

The system is indexed by the name of the Member of Congress.

Safeguards:

This system of records is maintained at DEA Headquarters which is protected by twenty-four hour guard service and electronic surveillance. Access to the building is restricted to DEA employees and those persons transacting business within the building who are escorted by DEA employees. In addition, the records are stored in bar lock filing cabinets and access to the system is restricted to members of the DEA Congressional Affairs Staff.

Retention and disposal:

These records are retained indefinitely.

System manager(s) and address:

Director, Congressional Affairs, Drug Enforcement Administration, 1405 Eye Street NW., Washington, DC 20537.

Notification procedure:

Inquiries should be addressed to Freedom of Information Section, Drug Enforcement Administration, 1405 Eye Street NW., Washington, DC 20537.

Record access procedures:

Same as the above.

Contesting record procedures:

Same as the above.

Record source categories:

Members of Congress.

Systems exempted from certain provisions of the act:

None.

JUSTICE/DEA-005

System name:

Controlled Substances Act Registration Records (CSA).

System location:

Drug Enforcement Administration, 1405 Eye Street NW., Washington, DC 20537. Also, field offices. See Appendix 1 for list of addresses.

Categories of individuals covered by the system:

Records are maintained on the following categories of individuals registered under the Controlled Substances Act including registrants doing business under their individual name rather than a business name: (A) Physicians and related practitioners; (B) Dentists; (C) Veterinarians; (D) Persons conducting research with controlled substances; (E) Importers of controlled substances; (F) Exporters of controlled substances; (G) Manufacturers of controlled substances; (H) Distributors of controlled substances; (I) Pharmacies.

Categories of records in the system:

The Controlled Substances Act Registration Records are maintained in a manual system which contains the original of the application for registration under 224, 224a, 225, 225a, 226, 227, 268, and 363a, order forms (DEA-222's) and any correspondence concerning a particular registrant. In addition, the same basic data is maintained in an automated system for quick retrieval.

Authority for maintenance of the system:

The Drug Enforcement Administration is required under the Comprehensive Drug Abuse Prevention and Control Act of 1970 (Pub. L. 91-513) to register all handlers of controlled substances.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The Controlled Substances Act Registration Records produce special reports as required for statistical analytical purposes. Disclosures of information from this system are made to the following categories of users for the purposes stated: (A) Other Federal law enforcement and regulatory agencies for law enforcement and regulatory purposes; (B) State and local law enforcement and regulatory agencies for law enforcement and regulatory purposes; (C) Persons registered under the Controlled Substances Act (Pub. L. 91-513) for the purpose of verifying the registration of customers and practitioners.

Release of information to the news media: Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available from systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Release of information to Members of Congress: Information contained in systems of records maintained by the Department of Justice, not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and at the request of the individual who is the subject of the record.

Release of information to the National Archives and Records Administration (NARA) and to the General Services Administration (GSA): A record from a system of records may be disclosed as a routine use to the NARA and GSA in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

The automated portion of this system is maintained on magnetic tape and the manual portion is by batch.

Retrievability:

The automated system is retrieved by name and registration number. The manual portion is filed in batches by date the application was processed. A microfiche system of the names by State is maintained for quick reference purposes. In addition, a number of telecommunication terminals have been added to the existing network.

Safeguards:

This system of records is maintained in DEA Headquarters which is protected by twenty-four hour guard service and electronic surveillance. Access to the building is restricted to DEA employees and those persons transacting business within the building who are escorted by DEA employees. Access to the system is restricted to DEA personnel on a need-to-know basis. A specific computer program is necessary to extract information. Information that is retrievable by terminals requires user identification numbers which are issued to authorized employees of the Department of Justice.

Retention and disposal:

Records in the manual portion of the system are retired to the Federal Records Center after one year and destroyed after eight years. The automated data is stored in the Department of Justice Computer Center and destroyed after five years.

System manager(s) and address:

Deputy Assistant Administrator, Office of Diversion Control, Drug Enforcement Administration, 1405 Eye Street NW., Washington, DC 20537.

Notification procedure:

Inquiries should be addressed to Freedom of Information Section, Drug Enforcement Administration, 1405 Eye Street NW., Washington, DC 20537. Inquiries should include inquirer's name, date of birth, and social security number.

Record access procedures:

Same as the above.

Contesting record procedures:

Same as the above.

Record source categories:

Information contained in this system of records is obtained from: (A) Registrants and applicants under the Controlled Substances Act (Pub. L. 91-513); (B) DEA Investigators.

Systems exempted from certain provisions of the act:

The Attorney General has exempted this system from subsections (c)(3), (d), (e)(4) (G) and (H), (f) of the Privacy Act pursuant to 5 U.S.C. 552a(k). Rules have been promulgated in accordance with the requirements of 5 U.S.C. 553 (b) (c), and (e) and have been published in the Federal Register.

JUSTICE/DEA-006

System name:

Freedom of Information/Privacy Act Records.

System location:

Freedom of Information Section, Drug Enforcement Administration, 1405 I Street, NW., Room 200, Washington, DC 20537.

Categories of individuals covered by the system:

Persons who request disclosure of records pursuant to the Freedom of Information Act; persons who request access to or correction of records pertaining to themselves contained in DEA's system of records pursuant to the Privacy Act; and, where applicable, persons about whom records have been requested or about whom information is contained in requested records.

Categories of records in the system:

The system contains: (1) Copies of all correspondence and internal memorandums related to the Freedom of Information Act and Privacy Act request, and related records necessary to the processing of such requests receive after January 1, 1975, (2) documents responsive to Freedom of Information Act/Privacy Act requests that are contained in other DEA systems of records, and (3) copies of all documents relevant to appeals and lawsuits under the Freedom of Information Act and Privacy Act.

Authority for maintenance of the system:

This system is established and is maintained pursuant to the authority of the Comprehensive Drug Abuse Prevention and Control Act of 1970 and Reorganization Plan No. 2 of 1973; and is maintained to implement the provisions of 5 U.S.C. 552 and 552a and the provisions of 28 CFR 16.1 et seq. and 28 CFR 16.40 et seq.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

A record maintained in this system may be disseminated as a routine use of such records as follows: (1) A record may be disseminated to a Federal agency which furnished the record for the purpose of permitting a decision as to access or correction to be made by that agency, or for the purpose of consulting with that agency as to the propriety of access or correction; (2) a record may be disseminated to any appropriate Federal, State, local, or foreign agency for the purpose of verifying the accuracy of information submitted by an individual who has requested amendment or correction of records contained in a system of records maintained by the Freedom of Information Section.

Release of information to the news media: Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available from systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Release of information to Members of Congress. Information contained in systems of records maintained by the Department of Justice, not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and at the request of the individual who is the subject of the record.

routine uses of records maintained in the system, including categories of users and the purposes of such uses: Release of information to the National Archives and Records Administration (NARA) and to the General Services Administration (GSA): A record from a system of records may be disclosed as a routine use to the NARA and GSA in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

The records in this system are maintained in standard case file folders.

Retrievability:

A record is retrieved by the name of the individual or person making a request for access or correction of records.

Safeguards:

This system of records is maintained at DEA Headquarters which is protected by twenty-four hour guard service and electonic surveillance. Access to the building is restricted to DEA employees and those persons transacting business within the building who are escorted by DEA employees. In addition, the system is stored in Diebold combination vault and access is restricted to the staff of the Feedom of Information Section, on a need-to-know basis.

Retention and disposal:

Currently there are no provisions for disposal of records contained in this system. Destruction schedules will be developed as the system requirements become known.

System manager(s) and address:

Chief, Freedom of Information Section, Drug Enforcement Administration, 1405 I Street, NW., Room 200, Washington, DC 20537.

Notification procedure:

A part of this system is exempted from this requirement under 5 U.S.C. 552a (j) or (k). To the extent that this system of records is not subject to exemption, it is subject to access and contest. A determination as to exemption shall be made at the time a request is received by the Drug Enforcement Administration, 1405 I Street, Washington, D.C. 20537. A request shall be made in writing with the envelope and the letter clearly marked "Privacy Request". Each Privacy request shall contain the name of the individual involved, his date and place of birth, and other verification of identity as required by 28 CFR 16.41. Each requestor shall also provide a return address for transmitting the information. Requests shall be directed to the Chief, Freedom of Information Section, Drug Enforcement Administration, 1405 Eye Street, NW., Washington, D.C. 20537.

Record access procedures:

Same as Notification Procedures above.

Contesting record procedures:

Same as Notification Procedures above except individuals desiring to contest or amend information maintained in the system should direct their written request to the System Manager listed above, and state clearly and concisely what information is being contested, the reasons for contesting it, and the proposed amendment to the information sought.

Record source categories:

Sources of information contained in this system are the individuals and persons making requests, the systems of records searched in the processing responding to requests, and other agencies referring requests for access to or correction of records originating in the Drug Enforcement Administration.

Systems exempted from certain provisions of the act:

This system of records is exempted pursuant to the provisions of 5 U.S.C. 552a(j)(2) from subsections (c)(3) and (4), (d), (e)(1), (2) and (3), (e)(4)(G) and (H), (e)(5) and (8), (f), (g) and (h) of 5 U.S.C. 552a; in addition, this system of records is exempted pursuant to the provisions of 5 U.S.C. 552a(k)(1) and (k)(2) from subsections (c)(3), (d), (e)(1), (e)(4)(G) and (H), and (f) of 5 U.S.C. 552a. This system is exempted because the records contained in this system reflect Drug Enforcement Administration law enforcement and investigative information. Individual access to these records might compromise ongoing investigations, reveal confidential informants or constitute unwarranted invasions of the personal privacy of third parties who are involved in a certain investigation. Rules have been promulgated in accordance with the requirements of 5 U.S.C. 553(b)(c), and (e) and have been published in the Federal Register

JUSTICE/DEA-007

System name: International Intelligence Data Base.

System location: Drug Enforcement Administration, 1405 I Street NW., Washington, D.C. 20537. Also, field offices. See Appendix 1 for list of addresses.

Categories of individuals covered by the system: Known and suspected drug traffickers.

Categories of records in the system: (A) Intelligence reports; (B) Investigative reports; (C) Subject files.

Authority for maintenance of the system: This system is maintained for law enforcement and intelligence purposes pursuant to the Comprehensive Drug Abuse Prevention and Control Act of 1970, Reorganization Plan No. 2 of 1973 and the Single Convention on Narcotic Drugs.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: This system is maintained to further criminal investigations through the collation, analysis and dissemination of intelligence information. This system produces the following reports: (a) Tactical, operational and strategic intelligence reports; (b) Major organizational reports; (c) Network analysis; (d) Trafficker profiles; (e) intelligence briefs on prior experience with individuals, firms, countries, etc.; (f) Country profiles; (g) Country Intelligence Action Plans; (h) Current Situational reports; (i) Special reports as requests; (j) Drug patterns and trends and drug trafficking from source to U.S. distributors.

In addition, information is provided to the following categories of users for law enforcement purposes on a routine basis: (A) Other Federal law enforcement agencies; (B) State and local law enforcement agencies; (C) Foreign law enforcement agencies with whom DEA maintains liaison; (D) U.S. Intelligence and Military Intelligence Agencies involved in drug enforcement; (E) U.S. Department of State; (F) Committees and working groups under the Strategy Council on Drug Abuse.

Release of information to the news media: Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available from systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Release of information to Members of Congress: Information contained in systems of records maintained by the Department of Justice, not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and at the request of the individual who is the subject of the record.

Release of Information to the National Archives and Records Administration: A record from a system of records may be disclosed as a routine use to the National Archives and Records Administration (NARA) in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: These records are maintained in standard case files and on index cards.

Retrievability: The system is indexed by name and subject category and retrieved by use of a card file index.

Safeguards: This system of records is maintained at DEA Headquarters which is protected by twenty-four hour guard service and electronic surveillance. Access to the building is restricted to DEA employees and those persons transacting business within the building who are escorted by DEA employees. In addition, all records contained in this system are stored in GSA approved security containers. Access to the System is restricted to authorized DEA personnel with Secret Clearance or above.

Retention and disposal: The records contained in this system are currently retained for an indefinite period.

System manager(s) and address: Assistant Administrator for Intelligence, Drug Enforcement Administration, 1405 I Street NW., Washington, D.C. 20537.

Notification procedure: Inquiries should be addressed to Freedom of Information Unit, Drug Enforcement Administration, 1405 I Street NW., Washington, D.C. 20537. Inquiries should include inquirer's name, date of birth, and social security number.

Record access procedures: Same as Notification Procedure.

Contesting record procedures: Same as Notification Procedure.

Record source categories: (A) Other Federal Agencies; (B) State and local law enforcement agencies; (C) Foreign law enforcement agencies; (D) Confidential informants.

Systems exempted from certain provisions of the act: The Attorney General has exempted this system from subsections (c)(3) and (4), (d), (e)(1), (2) and (3), (e)(4)(G), (H), (e)(5) and (8), (f), (g), and (h) of the Privacy Act pursuant to 5 U.S.C. 552a(j) and (k). Rules have been promulgated in accordance with the requirements of 5 U.S.C. 553(b), (c), and (e) and have been published in the Federal Register.

JUSTICE/DEA-008

System name:

Investigative Reporting and Filing System.

System location:

Drug Enforcement Administration, 1405 I Street, NW., Washington, D.C. 20537. Also, field offices. See Appendix 1 for list of addresses.

Categories of individuals covered by the system:

A. Drug offenders
B. Alleged drug offenders
C. Persons suspected of drug offenses
D. Confidential informants
E. Defendants
F. Witnesses
G. Non-implicated persons with pertinent knowledge of some circumstances or aspect of a case or suspect. These are pertinent references of fact developed by personal interview or third party interview and are recorded as a matter for which a probable need for recall will exist. In the regulatory portion of the system, records are maintained on the following categories of individuals: (a) Individuals registered with DEA under the Comprehensive Drug Abuse Prevention and Control Act of 1970; (b) Responsible officials of business firms registered with DEA; (c) Employees of DEA registrants who handle controlled substances or occupy positions of trust related to the handling of controlled substances; (d) Applicants for DEA registration and their responsible employees.

Categories of records in the system:

The Investigative Reporting and Filing System includes, among other things, a system of records as defined in the Privacy Act of 1974. Individual records. i.e., items of information on an individual, may be decentralized in separate investigative file folders. Such records, as well as certain other records on persons and subjects not covered by the Act, are made retrievable and are retrieved by reference to the following subsystems.

A. The Narcotics and Dangerous Drugs Information System (NADDIS) consists of two centralized automated indices and machine records on subjects cited in and extracted from investigative reports. The two indices represent a name index and a number index which are used to access one or more specific records for examination. The system serves as both an index to the more voluminous written reports upon which it is based and as an autonomous means for developing investigative leads and aids in selecting source materials for studies of a strategic nature. The system is accessible by telecommunications by appropriately equipped DEA headquarters and field offices. Records which comprise the system are also accessed by special computer runs. These runs are typically generated from selection criteria which cannot be utilized (input) via the telecommunications equipment. Bulk products generated via off-line runs may be formatted on computer tape, in printout or on microfiche depending on the needs of the user.

Direct references to the discrete file folders in which the source reports are filed are provided within each record. Therefore, the NADDIS records point to the more comprehensive manual reports maintained centrally at Headquarters. Records are retrievable by name and by certain identifying numbers in the online mode and by virtually any record data element in the off-line mode.

B. The Confidential Source Subsystem within the Investigative Reporting and Filing System consists of demographic and administrative data concerning: (a) Persons who under the specific direction of a DEA agent, with or without the expectation of payment or other valuable consideration, furnish information regarding drug trafficking, or perform other lawful services; and (b) persons who furnish information to DEA on an occasional basis.

The information contained in this subsystem is extracted directly from investigative files and confidential informant files contained in the system.

This subsystem contains no names. The subsystem consists of alphanumeric identifiers coupled with demographic and administrative data concerning the confidential source. The subsystem serves primarily as an administrative tool to enable DEA management to perform periodic reviews of confidential sources required by DEA guidelines and regulations, to enable DEA to maintain move effective management controls over the expenditure of funds to confidential sources and to enable DEA to more systematically assess the performance of particular confidential sources. In addition, the system will generate statistical reports which will assist DEA management in evaluating the overall effectiveness of the utilization of confidential sources of information.

The system is accessed by designated ADP terminals on the strictest need to know basis.

C. Manual name indices covering foreign investigative activities are maintained by DEA foreign field offices. A residual card index is retained by DEA headquarters and domestic field offices that predates the automated central index. The items of information on the manual index records are extracted only from investigative reports and point to the more comprehensive information in pertinent investigative file folders. The records in the field office indices are subsets of the central automated and manual indices. Records are retrievable by name only by this manual technique. Four basic categories of files are maintained within the Investigative Reporting and Filing System. DEA does not maintain a dossier type file in the traditional sense on an individual. Instead, the files are complied on separate investigations, topics and on a functional basis for oversight and investigative support. (a) Criminal Investigative Case Files; (b) General Investigative Files, Criminal and Regulatory; (c) Regulatory Audit and Investigative Files; (d) Confidential Information Files.

The basic document contained in these files is a multipurpose report of investigation (DEA-6) in which investigative activities and findings are rigorously documented. The reports pertain to the full range of DEA criminal drug enforcement and regulatory investigative functions that emanate from the Comprehensive Drug Prevention and Control Act of 1970. Within the categories of files listed above, the general file category includes preliminary investigations of a criminal nature, certain topical or functional aggregations and reports of preregistrant inspections/investigations. The case files cover targeted conspiracies, trafficking situations and formal regulatory audits and investigations. Frequently the criminal drug cases are the logical extension of one or more preliminary investigations. The distinction between the case file and general file categories, therefore is based on internal administrative policy and should not be construed as a differentiation of investigation techniques or practices. These files, except for Confidential Information Files, contain also adopted reports received from other agencies to include items that comprise, when indexed, individual records within the meaning of the Act. The central files maintained at DEA Headquarters include, in general, copies of investigative reports and most of the supporting documents that are generated or adopted by DEA Headquarters and field offices.

Authority for maintenance of the system:

This system is established and maintained to enable DEA to carry out its assigned law enforcement and regulatory functions under the Comprehensive Drug Abuse Prevention and Control Act of 1970 (Pub. L. 91-513). Reorganization Plan No. 2 of 1973, and to fulfill United States obligations under the Single Convention on Narcotic Drugs.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

This system may be used as a data source or reference facility for numerous summary, management and statistical reports produced by the Drug Enforcement Administration. Only on rare occasions do such reports contain identifiable individual records. Information contained in this system is provided to the following categories of users as a matter of routine use for law enforcement and regulatory purposes: (a) Other federal law enforcement and regulatory agencies; (b) State and local law enforcement and regulatory agencies; (c) Foreign law enforcement agencies with whom DEA maintains liaison; (d) The Department of Defense and Military Departments: (e) The Department of State; (f) U.S. intelligence agencies concerned with drug enforcement; (g) The United Nations; (h) Interpol; (i) To individuals and organizations in the course of investigations to elicit information.

In addition, disclosures are routinely made to the following categories for the purposes stated: (a) To federal agencies for national security clearance purposes and to federal and state regulatory agencies responsible for the licensing or certification of individuals in the fields of pharmacy and medicine; (b) To the Office of Management and Budget upon request in order to justify the allocation of resources; (c) To State and local prosecutors for assistance in preparing cases concerning criminal and regulatory matters; (d) To the news media for public information purposes; and (e) To respondents and their attorneys for purposes of discovery, formal and informal in the course of an adjudicatory, rulemaking, or other hearing held pursuant to the Controlled Substances Act of 1970.

Release of information to the news media: Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available from systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Release of information to Members of Congress. Information contained in systems of records maintained by the Department of Justice, not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and at the request of the individual who is the subject of the record.

Release of information to the National Archives and Records Administration (NARA) and to the General Services Administration (GSA): A record from a system of records may be disclosed as a routine use to the NARA and GSA in records management inspection conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Administration regulations include detailed instructions for the preparation, adoption, handling, dissemination, indexing of individual records, storage, safeguarding of investigative reports and the accounting of disclosure of individual records.

Storage:

1. The Headquarters central files and the field office subsets of the Investigative Reporting and Filing System are maintained in standard file folders. Standard formats are employed. Manual indices are maintained using standard index record formats.

2. The Narcotics and Dangerous Drugs information subset is stored electronically on the Department of Justice computer center separate from DEA Headquarters.

Retrievability:

Access to individual records is gained by reference to either the automated or manual indices. Retrievability is a function of the presence of items in the index and the matching of names in the index with search argument names or identifying numbers in the case of the automated system. Files identified from field office indices are held by the field office of Headquarters. Files identified from the automated index may not be held by the interested office, but the originators of such files are identified. In addition a number of telecommunication terminals have been added to the existing network, including a terminal installation at the J. Edgor Hoover Building, 9th and Pennsylvania Avenue NW., Washington, D.C. 20535.

Safeguards:

The Investigative Reporting and Filing system is protected by both physical security methods and dissemination and access controls. Fundamental in all cases is that access to investigative information is limited to those persons or agencies with a demonstrated and lawful need to know for the information in order to perform assigned functions.

1. Physical security when investigative files are attended is provided by responsible DEA employees. Physical security when files are unattended is provided by the secure locking of material in approved containers or facilities. The selection of continers or facilities is made in consideration of the sensitivity or National Security Classification, as appropriate, of the files and the extent of security guard and/or surveillance afforded by electronic means.

2. Protection of the automated index is provided by physical procedural and electronic means. The Master file resides on the Department of Justice computer center and is physically attended or guarded on a full-time basis. Access or observation to active telecommunications terminals is limited to those with a demonstrated need to know for retrieval information. Surreptitious access to an unattended terminal is precluded by a complex sign-on procedure. The procedure is provided only to persons designated and authorized by DEA. For certain terminals, access is further restricted by cryptological equipment.

3. An automated log of queries is maintained for each terminal. Improper procedure results in no access. Terminals are signed-off after use. The terminals are otherwise located in locked facilities after normal working hours.

4. The dessemination of investigative information on an individual outside the Department of Justice is made in accordance with the routine uses as described herein or otherwise in accordance with the conditions of disclosure prescribed by the Act. The need to know of the recipient is determined in both cases by persons designated and authorized by DEA as a prerequisite of the release.

Retention and disposal:

Records contained within this system are retained for twenty-five (25) years.

System manager(s) and address:

Assistant Administrator, Operations Division, Drug Enforcement Administration, 1405 I Street NW., Washington D.C. 20537.

Notification procedure:

Inquiries should be addressed to: Freedom of Information Section, Drug Enforcement Administration, 1405 I Street, NW., Washington, D.C. 20537.

Record access procedures:

Same as above.

Contesting record procedures:

Same as above.

Record source categories:

(a) DEA personnel, (b) Cooperating individuals; (c) Suspects and defendants; (d) Federal, State and local law enforcement and regulatory agencies; (e) Other federal agencies: (f) Foreign law enforcement agencies; (g) Business records by subpoena; (h) Drug and chemical companies; (i) Concerned citizens.

Systems exempted from certain provisions of the act:

The Attorney General has exempted this system from subsection (c)(3) and (4), (d), (e)(1), (2) and (3), (e)(4)(G) and (H), (e)(5) and (8), (f), (g), (h) of the Privacy Act pursuant to 5 U.S.C. 552a (j) and (k). Rules have been promulgated in accordance with the requirements of 5 U.S.C. 553(b), (c) and (e) and have been published in the Federal Register.

JUSTICE/DEA-009

System name:

Medical Records.

System location:

Drug Enforcement Administration; 1405 Eye Street NW., Washington, D.C. 20537. Also, field offices. See Appendix 1 for list of addresses.

Categories of individuals covered by the system:

(A) DEA Employees; (B) Cooperating Individuals;

Categories of records in the system:

(A) Annual physical examinations; (B) Reports of disease or injury pertaining to DEA Special Agents and Chemists; (C) Reports of job related injury or illness for employees and cooperating individuals; (D) Pre-employment physical examination of DEA Special Agents and Investigators; (E) Physical examination reports of non-federal police personnel applying to attend the National Training Institute.

Authority for maintenance of the system:

These records are maintained to establish and maintain an effective and comprehensive health program for employees pursuant to 5 U.S.C. 7901, 29 U.S.C. 655 and Executive Order 11807 of September 28, 1974.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records are maintained for internal DEA use. The only disclosure outside the agency would be to a physician when authorized by the subject.

Release of information to the news media: Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available from system of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personnel privacy.

Release of information to Members of Congress: Information contained in systems of records maintained by the Department of Justice, not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and at the request of the individual who is the subject of the record.

Release of information to the National Archives and Records Administration (NARA) and to the General Services Administration (GSA): A record from a system of records may be disclosed as a routine use to the NARA and GSA in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

The records are maintained in standard file folders.

Retrievability:

Records are retrieved by name.

Safeguards:

This system of records is maintained at DEA Headquarters which is protected by twenty-four hour guard service and electronic surveillance. Access to the building is restricted to DEA employees and those persons transacting business within the building who are escorted by DEA employees. In addition, the records are stored in file safes in an alarmed, controlled access area. Access to the system is limited to employees of the medical office on a need-to-know basis.

Retention and disposal:

These records are retained indefinitely.

System manager(s) and address:

Medical Administration, Drug Enforcement Administration, 1405 Eye Street NW., Washington, D.C. 20537.

Notification procedure:

Inquiries should be addressed to Freedom of Information Section, Drug Enforcement Administration, 1405 Eye Street NW., Washington, D.C. 20537. Inquiries should contain the following information: Name; Date and Place of Birth; Dates of Employment with DEA; Employee number.

Record access procedures:

Same as the above.

Contesting record procedures:

Same as above.

Record source categories:

Individuals on whom records are maintained; Employees of Medical Office.

Systems exempted from certain provisions of the act:

None.

JUSTICE/DEA-010

System name:

Planning and Inspection Division Records.

System location:

Drug Enforcement Administration, 1405 I Street, NW., Washington, DC 20537. Also, field offices. See Appendix I for list of addresses.

Categories of individuals covered by the system:

(A) DEA employees, past and present; (B) Applicants for employment with DEA; (C) Drug offenders, alleged drug offenders, and persons suspected of drug offenses; (D) Offenders, alleged offenders, and persons suspected of committing Federal and state crimes broadly characterized as corruption or integrity offenses; (E) Confidential informants; (F) Witnesses; (G) Nonimplicated persons with pertinent knowledge of circumstances or aspects with pertinent knowledge of circumstances or aspects of a case or suspect. These are pertinent references of fact developed by personal interview or third party interview and are recorded as a matter for which a probable need will exist.

Categories of records in the system:

(A) Investigative reports with supporting memoranda and work papers relating to investigations of individuals and situations. (B) General files which include, among other things, supporting memoranda and work papers and miscellaneous memoranda relating to investigations of and the purported existence of situations and allegations about individuals. (C) Audit and inspection reports of inspections of DEA offices, personnel, and situations.

Authority for maintenance of the system:

Reorganization Plan No. 1 of 1968 and 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Information contained in this system is provided to the following categories of users as a matter or routine uses for law enforcement and regulatory purposes: A. Other Federal law enforcement and regulatory agencies; B. State and local law enforcement and regulatory agencies; C. Foreign law enforcement agencies with whom DEA maintains liaison; D. The Department of State; E. The Department of Defense and Military Departments; F. U.S. Intelligence agencies concerned with drug enforcement; G. The United Nations; H. Interpol; I. To individuals and organizations in the course of investigations to elicit information.

In addition, disclosures are routinely made to the following categories for the purposes stated: A. To Federal agencies for national security clearance purposes and to Federal and state regulatory agencies responsible for the licensing or certification of individuals in the fields of pharmacy and medicine; B. To the Office of Management and Budget upon request in order to justify the allocations of resources; C. To state and local prosecutors for assistance in preparing cases concerning criminal and regulatory matters; D. To the news media for public information purposes; E. To Federal, State and local governmental agencies who are conducting suitability for employment investigations on current or prospective employees.

Release of information to the news media: Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available from systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Release of information to Members of Congress. Information contained in systems of records maintained by the Department of Justice, not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and at the request of the individual who is the subject of the record.

Release of information to the National Archives and Records Administration (NARA) and to the General Services Administration (GSA): A record from a system of records may be disclosed as routine use to the NARA and GSA in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Manual records are maintained in standard investigation folders. Automated records are maintained on magnetic disks.

Retrievability:

Access to manual records can be accomplished by the use of a card index maintained alphabetically by employee name. Access to the automated system is achieved by reference to personal identifiers, other data elements or any combination thereof.

Safeguards:

These records are maintained at DEA Headquarters which is protected by twenty-four hour guard service and electronic surveillance. Access to the building is restricted to DEA employees and those persons transacting business within the building who are escorted by DEA employees. Access to the system is restricted to employees of the Office of Internal Security and upper level management officials. The records are stored in a vault protected by alarm and cipher locks. Access to the system will be on a strict need-to-know basis.

Retention and disposal:

Case files are destroyed after five years unless the Office of Internal Security of the Chief Counsel determines that these files are required for potential or ongoing litigation. This determination will be subject to annual review. General files and audit files shall be retained as long as the subject is employed at DEA and for two years after termination.

System manager(s) and address:

Security Programs Manager, Drug Enforcement Administration, 1405 I Street NW., Washington, DC 20537.

Notification procedure:

Inquiries should be addressed to Freedom of Information Section, Drug Enforcement Administration, 1405 I Street NW., Washington, DC 20537.

Record access procedures:

Same as above.

Contesting record procedures:

Same as above.

Record source categories:

(A) DEA Investigations; (B) Federal, State and local law enforcement agencies; (C) Cooperating individuals.

Systems exempted from certain provisions of the act:

The Attorney General has exempted this system from subsections (c), (3) and (4), (d), (e) (1), (2) and (3), (e)(4) (G), (H) (e) (5) and (8), (f), (g), (h) of the Privacy Act pursuant to 5 U.S.C. 552a (j) and (k). Rules have been promulgated in accordance with the requirements of 5 U.S.C. 553 (b), (c) and (e) and have been published in the Federal Register.

JUSTICE/DEA-011

System name:

Operations Files.

System name:

Drug Enforcement Administration, 1405 Eye Street, NW., Washington, D.C. 20537. Also, field offices. See Appendix 1 for list of addresses.

Categories of individuals covered by the system:

(A) Cooperating Individuals; (B) Confidential Informants.

Categories of records in the system:

(A) Biographic and background information; (B) Official Contact Reports; (C) Intelligence Reports (DEA-6).

Authority for maintenance of the system:

This system of records is maintained to assist in intelligence operations pursuant to the Comprehensive Drug Abuse Prevention and Control Act of 1970 (Pub. L. 91-513) and Reorganization Plan No. 2 of 1973.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

This system is used to keep a history of intelligence operations against narcotics traffickers and their support networks. Information contained in this system is provided to the following categories of users for law enforcement purposes on a routine basis: (A) Other Federal law enforcement agencies; (B) State and local law enforcement agencies; (C) Foreign law enforcement agencies with whom DEA maintains liaison; (D) United States Intelligence and Military Intelligence agencies involved in durg enforcement; (E) The United States Department of State.

Release of information to the news media. Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available from systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Release of information to Members of Congress. Information contained in systems of records maintained by the Department of Justice, not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and at the request of the individual who is the subject of the record.

Release of information to the National Archives and Records Administration (NARA) and to the General Services Administration (GSA): A record from a system of records may be disclosed as a routine use to the NARA and GSA in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

These records are maintained in standard case files.

Retrievability:

These files are retrieved manually by subject matter category and coded identification number.

Safeguards:

This system of records is maintained at DEA Headquarters which is protected by twenty-four hour guard service and electronic surveillance. Access to the building is restricted to DEA employees and those persons transacting business within the building who are escorted by DEA employees. In addition, all files are stored in GSA approved security containers approved for Secret material and treated as if they carried a Secret classification whether classified or not. Access to the files is restricted to authorized DEA employees with Top Secret clearances on a limited need-to-know basis.

Retention and disposal:

These records are retained indefinitely.

System manager(s) and address:

Deputy Assistant Administrator, Office of Intelligence, Drug Enforcement Administration, 1405 Eye Street NW., Washington, DC 20537.

Notification procedure:

Inquiries should be addressed to Freedom of Information Section, Drug Enforcement Administration, 1405 I Street NW., Washington, DC 20537.

Record access procedures:

Same as above.

Contesting record procedures:

Same as above.

Record source categories:

(A) DEA Reports; (B) Reports of federal, state and local agencies; (C) Reports of foreign agencies with whom DEA maintains liaison.

Systems exempted from certain provisions of the act:

The Attorney General has exempted this system from subsections (c)(3) and (4), (d), (e)(1), (2) and (3), (e)(4)(G), (H), (e)(5) and (8), (f), (g), (h) of the Privacy Act pursuant to 5 U.S.C. 552a (j) and (k). Rules have been promulgated in accordance with the requirements of 5 U.S.C. 553 (b), (c) and (e) and have been published in the Federal Register.

JUSTICE/DEA-012

System name:

Registration Status/Investigation Records.

System location:

Drug Enforcement Administration, 1405 Eye Street NW., Washington, D.C. 20537. Also, field offices. See Appendix 1 for list of addresses.

Categories of individuals covered by the system:

Individuals who have a Controlled Substances Act registration number under their personal name who have had some action taken against their license or registration.

Categories of records in the system:

(A) DEA reports of investigation; (B) information received from state regulatory agencies.

Authority for maintenance of the system:

This system of records is maintained to enable the Drug Enforcement Administration to perform its regulatory functions under the Comprehensive Drug Abuse Prevention and Control Act of 1970.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Information contained in this system of records is provided for law enforcement and regulatory purposes to the following categories of users on a routine basis: (A) Other federal law enforcement and regulatory agencies; (B) State and local law enforcement and regulatory agencies; (C) To respondents and their attorneys for purposes of discovery, formal and informal, in the course of an adjudicatory, rulemaking, or other hearing held pursuant to the Controlled Substances Act of 1970.

Release of information to the news media: Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available from systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Release of Information to Members of Congress. Information contained in systems or records maintained by the Department of Justice, not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and at the request of the individual who is the subject of the record.

Release of information to the National Archives and Records Administration (NARA) and to the General Services Administration (GSA): A record from a system of records may be disclosed as a routine use to the NARA and GSA in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

These records are maintained in standard case file folders.

Retrievability:

This system is indexed by name of registrant.

Safeguards:

This system of records is maintained in DEA Headquarters which is protected by 24-hour guard service and electronic surveillance. Access to the building is restricted to DEA employees and those persons transacting business within the building who are escorted by DEA employees. Access to the system is restricted to authorized employees of the Diversion Operation Section on a need-to-know basis.

Retention and disposal:

These records are retained as long as there is a need for the file. These are working files and may be destroyed when no longer required or merged into the Investigative Case File and Reporting System.

System manager(s) and address:

Deputy Assistant Administrator, Office of Diversion Control, Drug Enforcement Administration; 1405 Eye Street, NW., Washington, D.C. 20537.

Notification procedure:

Inquiries should be addressed to: Freedom of Information Section, Drug Enforcement Administration, 1405 I Street, NW., Washington, D.C. 20537.

Record access procedures:

Same as above.

Contesting record procedures:

Same as above.

Record source categories:

(A) DEA Investigators: (B) State and local regulatory agencies.

Systems exempted from certain provisions of the act:

The Attorney General has exempted this system from subsections (c)(3), (d), (e)(4)(G) and (H), (f) of the Privacy Act pursuant to 5 U.S.C. 552a(k). Rules have been promulgated in accordance with the requirements of 5 U.S.C. 553 (b), (c) and (e) and have been published in the Federal Register.

JUSTICE/DEA-013

System name:

Security Files.

System location:

Drug Enforcement Administration, 1405 Eye Street, NW., Washington, D.C. 20537. Also, field offices. See Appendix 1 for list of addresses.

Categories of individuals covered by the system:

(A) DEA personnel; (B) Cooperating individuals and informants; (C) Drug traffickers and suspected drug traffickers; (D) Individuals who might discover DEA investigations or undercover operations by chance.

Categories of records in the system:

This system of records contains reports concerning the categories of individuals stated above.

Authority for maintenance of the system:

This system of records is maintained to identify and correct security problems in the area of intelligence operations and installations pursuant to the Comprehensive Drug Abuse Prevention and Control Act of 1970 (Pub. L. 91-513) and Reorganization Plan No. 2 of 1973.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

This system is utilized to generate reports on security problems in the area of intelligence operations and installations. In addition, information is provided to the following categories of users for law enforcement purposes on a routine basis: (A) Other federal law enforcement agencies; (B) State and local law enforcement agencies; (C) Foreign law enforcement agencies with whom DEA maintains liaison.

Release of information on the news media: Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available from systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Release of information to Members of Congress. Information contained in systems of records maintained by the Department of Justice, not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and at the request of the individual who is the subject of the record.

Release of information to the National Archives and Records Administration (NARA) and to the General Services Administration (GSA): A record from a system of records may be disclosed as a routine use to the NARA and GSA in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

These records are maintained in standard case folders.

Retrievability:

The information in this system is retrieved by subject matter category or by coded identification number.

Safeguards:

This system of records is maintained at DEA Headquarters which is protected by twenty-four hour guard service and electronic surveillance. Access to the building is restricted to DEA employees and those persons transacting business within the building who are escorted by DEA employees. In addition, these records are stored in GSA approved security containers authorized for Secret material. Access to the system is restricted to authorized DEA personnel who have Top Secret Clearances on a limited need-to-know basis.

Retention and disposal:

Records in this system are retained as long as the individual remains active and then destroyed or retired to the Federal Records Center.

System manager(s) and address:

Deputy Assistant Administrator, Office of Intelligence, Drug Enforcement Administration, 1405 Eye Street, NW., Washington, D.C. 20537.

Notification procedure:

Inquiries should be addressed to: Freedom of Information Section Drug Enforcement Administration, 1405 I Street, NW, Washington, D.C. 20537.

Record access procedures:

Same as above.

Contesting record procedures:

Same as above.

Record source categories:

(A) DEA Reports; (B) Reports of federal, state and local agencies.

Systems exempted from certain provisions of the act:

The Attorney General has exempted this system from subsections (c)(3) and (4), (d), (e)(1), (2) and (3), (e)(4)(G), (H), (e)(5) and (8), (f), (g), (h) of the Privacy Act pursuant to 5 U.S.C. 552a (j) and (k). Rules have been promulgated in accordance with the requirements of 5 U.S.C. 553 (b), (c) and (e) and have been published in the Federal Register.

JUSTICE/DEA-014

System name:

System to Retrieve Information from Drug Evidence (STRIDE/Ballistics).

System location:

Drug Enforcement Administration, 1405 Eye Street, NW., Washington, D.C. 20537. Also, field office. See Appendix 1 for list of addresses.

Categories of individuals covered by the system:

Defendants and suspected violators.

Categories of records in the system:

Ballistics report.

Authority for maintenance of the system:

This system is maintained to provide drug intelligence for law enforcement purposes pursuant to the Comprehensive Drug Abuse Prevention and Control Act of 1970 and Reorganization Plan No. 2 of 1973.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Information from this system is provided to the following categories of users for law enforcement purposes on a routine basis: (A) Other federal law enforcement agencies; (B) State and local law enforcement agencies; (C) Foreign law enforcement agencies with whom DEA maintains liaison.

Release of information to the news media: Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available from systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Release of information to Members of Congress information contained in systems of records maintained by the Department of Justice, not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and at the request of the individual who is the subject of the record.

Release of information to the National Archives and Records Administration (NARA) and to the General Services Administration (GSA): A record from a system of records may be disclosed as a routine use to the NARA and GSA in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

The information is stored on magnetic tape.

Retrievability:

The system is indexed by case number and exhibit number. The information can be retrieved by name of DEA case number and exhibit number. In addition, a number of telecommunication terminals have been added to the existing network.

Safeguards:

This system of records is maintained at DEA, headquarters which is protected by twenty-four hour guard service and electronic surveillance. Access to the building is restricted to DEA employees and those persons transacting business within the building who are escorted by DEA employees. Access to the system is restricted to authorized DEA employees with appropriate clearance on a need-to-know basis. Information that is retrievable by terminals requires user identification numbers which are issued to authorized employees of the Department of Justice.

Retention and disposal:

The information contained in this system is retained indefinitely.

System manager(s) and address:

Chief, Forensic Sciences Section, Drug Enforcement Administration; 1405 Eye Street, NW., Washington, D.C. 20537.

Notification procedure:

Inquiries should be addressed to: Freedom of Information Section, Drug Enforcement Administration, 1405 I Street, NW., Washington, D.C. 20537.

Record access procedures:

Same as above.

Contesting record procedures:

Same as above.

Record source categories:

DEA Reports: Scientific Analysis.

Systems exempted from certain provisions of the act:

The Attorney General has exempted this system from subsections (c)(3) and (4), (d), (e)(1), (2) and (3), (e)(4)(G), (H), (e)(5) and (8), (f), (g), (h) of the Privacy Act pursuant to 5 U.S.C. 552a (j). Rules have been promulgated in accordance with the requirements of 5 U.S.C. 553 (b), (c) and (e) and been published in the Federal Register.

JUSTICE/DEA-015

System name:

Training Files.

System location:

Drug Enforcement Administration, 1405 I Street, NW, Washington, D.C. 20537 and DEA Office of Training, Federal Law Enforcement Training Center, Glynco, Georgia 31524.

Categories of individuals covered by the system:

Individuals who have attended training programs sponsored by the Drug Enforcement Administrative Office of Training.

Categories of records in the system:

(A) Students names; (B) Dates and locations of schools; (C) Class average and individual student grades; (D) Locations of student's employers; (E) Number of years experience in general law enforcement and drug law enforcement; (F) Classification of student's employers by state, local, county, or Federal; (G) Type of school attended; (H) Class rosters; (I) Biographic data; (J) Evaluation reports; (K) Application and attendance records.

Authority for maintenance of the system:

This system is maintained to provide educational and training programs on drug abuse and controlled substances law enforcement pursuant to the Comprehensive Drug Abuse Prevention and Control Act of 1970.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

This system is maintained to assist in performing the administrative functions of the Office of Training and is used to prepare class directories, class rosters, program evaluation reports and statistical reports. In addition, information from this system is provided to Federal, state and local law enforcement and regulatory agencies employing former students and biographical data may be provided to students and former students in the form of class rosters and alumni publications.

Release of information to the news media: Information permitted to be released to the news media and the public may be made available from systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Release of information of Members of Congress. Information contained in systems of records maintained by the Department of Justice, not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the Member's behalf when the member or staff requests the information on behalf of and at the request of the individual who is the subject of the record.

Release of information to the National Archives and Records Administration (NARA) and to the General Services Administration (GSA): A record from a system of records may be disclosed as a routine use to the NARA and GSA in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

The manual records in this system are maintained on index cards and in file folders and the automated portion is maintained on magnetic tapes.

Retrievability:

Data may be retrieved by the student's last name, school location code, or by beginning course dates.

Safeguards:

Those records maintained at DEA Headquarters are protected by twenty-four hour guard service and electronic surveillance. Access to the building is restricted to DEA employees and those persons transacting business within the building who are escorted by DEA employees. In addition, access to file is limited to Office of Training personnel on a need-to-know basis. Those records maintained at the Drug Enforcement Administration, Office of Training, FBI Academy Quantico, Virginia. Access to file is restricted to DEA personnel on a need-to-know basis.

Retention and disposal:

Records in this system are currently maintained indefinitely.

System manager(s) and address:

Deputy Assistant Administrator, Office of Training, Drug Enforcement Administration FBI Academy.

Notification procedure:

Inquiries should be addressed to: Freedom of Information Section, Drug Enforcement Administration, 1405 Eye Street NW., Washington, DC 20537.

Inquiries should contain name; date and place of birth; and dates of attendance at courses sponsored by the Office of Training.

Record access procedures:

Same as above.

Contesting record procedures:

Same as above.

Record source categories:

(A) Students: (B) Instructors.

Systems exempted from certain provisions of the act:

None.

JUSTICE/DEA-016

System name:

Drug Enforcement Administration Accounting System (DEAAS II).

System location:

Drug Enforcement Administration, 1405 Eye Street NW., Washington, D.C. 20537. Also field offices. See Appendix 1 for list of addresses.

Categories of individuals covered by the system:

All individuals who submit vouchers requesting payment for goods or services rendered, except payroll vouchers for DEA employees. These include vendors, contractors, experts, witnesses, court reporters, travelers, relocated employees, etc.

Categories of records in the system:

All vouchers paid except payroll vouchers for DEA employees. In addition all advance of funds issued to DEA travelers.

Authority for maintenance of the system:

The system is established and maintained in accordance with the Budget and Accounting Procedures Act of 1950 as amended, 31 U.S.C. 66 and U.S.C. 200(a).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

After payment of the vouchers, the accounting data is used for the purpose of internal management reporting and external reporting to agencies such as OMB, U.S. Treasury, and the GAO.

Release of information to the News Media: Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available from systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Release of Information to Members of Congess: Information contained in systems of records maintained by the Department of Justice, not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the

Member's behalf when the member or staff requests the information on behalf of and at the request of the individual who is the subject of the record.

Release of Information to the National Archives and Records Administration (NARA) and to the General Services Administration (GSA): A record from a system of records may be disclosed as a routine use to the NARA and GSA in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Manual voucher files are maintained alphabetically by payee's name. Travel advance information and other budget and accounting data are maintained by an online computerized file Information on travel advances is stored by employee identification number, other budget and accounting data is maintained by obligation number or other program identifier.

Retrievability:

Information from manual voucher files is retrieved by using the name of the payee. Travel advance information is retrieved by employee identification number; other budget and accounting data is retrieved by obligation number or other program identifier.

Safeguards:

Information contained in the system is unclassified. It is safeguarded in accordance with organizational rules and procedures. Access to manual voucher files is restricted to employees on a need to know basis. Information that is retrievable by terminals can be retrieved only by authorized employees of the Department of Justice who have been issued user identification numbers.

Retention and disposal:

The payment documents are retained at this location for three fiscal years (current and two prior years). The records are then shipped to a Federal Records Center for storage in accordance with the General Record Schedule published by the General Services Administration. In the computerized file for travel advances, only the last two transactions in any particular account are retained in the file. Old transactions are automatically purged as new transactions are entered.

System manager(s) and address:

Deputy Assistant Administrator, Office of Administration, Drug Enforcement Administration, 1405 Eye Street NW., Washington, D.C. 20537.

Notification procedure:

Inquiries should be addressed to Freedom of Information Section, Drug Enforcement Administration, 1405 Eye Street NW., Washington, D.C. 20537.

Record access procedures:

Same as "Notification Procedure" above.

Contesting record procedures:

Same as "Notification Procedure" above.

Record source categories:

Submitted by the payee involved.

Systems exempted from certain provisions of the act:

None.

JUSTICE/DEA-017

System name:

Grants of Confidentiality Files (GCF).

System location:

Drug Enforcement Administration, 1405 Eye Street, NW., Washington, D.C. 20537.

Categories of individuals covered by the system:

Applicants for grants of confidentiality.

Categories of records in the system:

(A) Requests for and actual Grants of Confidentiality; (B) Correspondence relating to above; (C) Documents relating to investigations of said applicants.

Authority for maintenance of the system:

Pursuant to 21 U.S.C. 872 of the Comprehensive Drug Abuse Prevention and Control Act of 1970.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Information in these records are utilized for the purpose of investigating applicants prior to the granting of confidentiality. In the course of such investigations, information may be disseminated to state and local law enforcement and regulatory agencies to other federal law enforcement and regulatory agencies.

Release of information to the news media: Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available from systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Release of information to Members of Congress. Information contained in systems of records maintained by the Department of Justice, not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and at the request of the individual who is the subject of the record.

Release of information to the National Archives and Records Administration (NARA) and to the General Services Administration (GSA): A record from a system of records may be disclosed as a routine use to the NARA and GSA in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

These records are maintained on standard case folders.

Retrievability:

The information in this system is retrieved by name of grantee.

Safeguards:

This systems of records is maintained at DEA Headquarters which is protected by twenty-four hour guard service and electronic surveillance. Access to the building is restricted to DEA employees and those persons transacting business within the building who are escorted by DEA employees. In addition, the records are stored in bar lock filing cabinets and access to the system is restricted to members of the DEA employees on a "need to know basis."

Retention and disposal:

Records in this system are retained indefinitely.

System manager(s) and address:

Chief Counsel, Drug Enforcement Administration, 1405 Eye Street, NW., Washington, D.C. 20537.

Notification procedure:

Inquiries should be addressed to: Freedom of Information Section, Drug Enforcement Administration, 1405 Eye Street, NW., Washington, D.C. 20537. Inquiries should include the inquirer's name, date, and place of birth.

Record access procedures:

Same as above.

Contesting record procedures:

Same as above.

Record source categories:

(A) DEA investigative reports; (B) Applicants; (C) Reports from other federal, state and local agencies.

Systems exempted from certain provisions of the act:

The Attorney General has exempted this system from subsections (d)(1) and (e)(1) of the Privacy Act pursuant to 5 U.S.C. 552a(k)(5). Rules have been promulgated in accordance with the requirements of 5 U.S.C. 553 (b), (c) and (e) and have been published in the Federal Register.

JUSTICE/DEA-018

System name:

DEA Applicant Investigations (DAI).

System location:

Drug Enforcement Administration; 1405 Eye Street, NW, Washington D.C. 20537.

Categories of individuals covered by the system:

Applicants for employment with DEA.

Categories of records in the system:

Information in records may include date and place of birth, citizenship, marital status, military and social security status. These records contain investigative information regarding an individual's character, conduct, and behavior in the community where he or she lives or lived, arrests and convictions for any violations against the law, information from inquiries directed to present and former supervisors, co-workers, associates, educators, etc, credit and National Agency checks, and other information developed from the above.

Authority for maintenance of the system:

5 U.S.C. 301 and Executive Order No. 10450.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records are used by DEA to implement an effective screening process for applicants. To foreign, federal, state and local law enforcement and regulatory agencies, where appropriate, for referral to avoid duplication of the investigative process and where the appropriate agency is charged with the responsibility of investigating or prosecuting potential violations of law.

Release of information to the news media. Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available from systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Release of information to Members of Congress. Information contained in systems of records maintained by the Department of Justice, not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and at the request of the individual who is the subject of the record.

Release of information to the National Archives and Records Administration (NARA) and to the General Services Administration (GSA): A record from a system of records may be disclosed as a routine use to the NARA and GSA in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

These records are maintained in standard investigative folders.

Retrievability:

These records are retrieved by use of a card index maintained alphabetically by employee name.

Safeguards:

These records are maintained at DEA Headquarters which is protected by twenty-four hour guard service and electronic surveillance. Access to the building is restricted to DEA employees and those persons transacting business within the building who are escorted by DEA employees. Access to the system is restricted to employees of the office of Internal Security and upper level management officials. The records are stored in safe-type combination lock file cabinets.

Retention and disposal:

These records are maintained during period of employment and for 5 years after termination of employment and then destroyed.

System manager(s) and address:

Security Programs Manager, Drug Enforcement Administration, 1405 Eye Street, NW, Washington, D.C. 20537.

Notification procedure:

Inquiries should be addressed to: Freedom of Information Section, Drug Enforcement Administration, 1405 Eye Street, NW, Washington, D.C. 20537. Inquiries should include the inquirer's name, date, and place of birth.

Record access procedures:

Same as above.

Contesting record procedures:

Same as above.

Record source categories:

DEA investigations, federal, state and local law enforcement agencies.

Cooperating individuals, employees, educational institutions, references, neighbors, associates, credit bureaus, medical officials, probation officials.

Systems exempted from certain provisions of the act:

The Attorney General has exempted this system from subsection (d)(1) and (e)(1) of the Privacy Act pursuant to 5 U.S.C. 552a(k)(5). Rules have been promulgated in accordance with the requirements at 5 U.S.C. 553 (b), (c) and (e) and have been published in the Federal Register.

JUSTICE/DEA-020

System name:

Essential Chemical Reporting System.

System location:

Drug Enforcement Administration (DEA). 1405 I Street, NW., Washington, DC 20537. Also, DEA Field Offices. See Appendix I for list of addresses.

Categories of individuals covered by the system:

A. Individual who submit reports concerning the sale, loss, or theft of precursor or other chemical essential to the manufacture of controlled substances.

B. Individuals who are reported as the purchaser, importer, or individual suffering the loss or theft of precursor or other chemical essential to the manufacture of controlled substances.

C. Individuals who are reported as the person placing an order for precursor or other chemical essential to the manufacture or controlled substances.

D. Individual who are reported as being involved in or having knowledge of the details relative to the loss or theft of precursor or other chemical essential to the manufacture of controlled substances.

Categories of records in the system:

The system contains: (1) Precursor dine reports submitted to DEA pursuant to Pub. L. No. 95-633. (2) Information extracted from precursor reports and maintained on magnetic tape. (3) Reports submitted voluntarily to DEA concerning chemicals essential to the manufacture of controlled substance.

Authority for maintenance of the system:

This system of records is maintained pursuant to the reporting requirements contained in Pub. L. 95-633.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Information contained in this system is provided to the following categories of users for the purposes stated:

(A) Other Federal law enforcement and regulatory agencies for law enforcement or regulatory purposes.

(B) State and local law enforcement and regulatory agencies for law enforcement and regulatory purposes.

(C) Release of information to the news media: Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available from systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

(D) Release of information to Members of Congress: Information contained in systems of records maintained by the Department of Justice, not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of or at the request of the individual who is the subject of the record.

(E) Release of information to the National Archives and Records Administration (NARA) and to the General Services Administration (GSA): A record from a system of records may be disclosed as a routine use to the NARA and GSA in management inspections under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Essential chemical report documents will be maintained in manual file folders. Information extracted will be maintained on magnetic tape.

Retrievability:

The information maintained on magnetic tape will be retrievable by the name of any individual mentioned in the report.

Safeguards:

The proposed system of records will be maintained in DEA Headquarters which is protected by twenty-four hour guard serivce and electronic surveillance. Access to the building is restricted to DEA employees and those persons transacting business within the building who are escorted by DEA employees. Manual files will be maintained in the DEA central files and access to these documents will be restricted to DEA employees on a need-to-know basis. Access to information maintained on magnetic tape will require a specific computer program to extract information. Access to information through ADP terminals will require a user identification code which will be issued to authorized DEA employees on a strict need-to-know basis.

Retention and disposal:

Until DEA gains experience to establish the useful life of the records in this system, the records will be maintained indefinitely.

System manager(s) and address:

Assistant Administrator for Operations, Drug Enforcement Administration, 1405 I Street NW., Washington, DC 20537.

Notification procedure:

Inquiries should be addressed to Freedom of Information Section, Drug Enforcement Administration, 1405 I Street, NW., Washington DC 20537.

Record access procedures:

Same as above.

Contesting record procedures:

Same as above.

Record source categories:

Individuals required to submit prescursor reports pursuant to Pub. L. 95-633, and individuals who voluntarily submit reports concerning the sale, distribution or importation of chemicals essential to the manufacture of controlled substances.

Systems exempted from certain provisions of the act:

None.

JUSTICE/DEA-021

System name:

DEA Aviation Unit Reporting System.

System location:

Drug Enforcement Administration (DEA), Investigative Support Section, Aviation Unit, DEA/Justice, P.O. Box 534, Addison, Texas 75001.

Categories of individuals covered by the system:

DEA pilots.

Categories of records in the system:

The system contains: (1) Records relating to the operation and maintenance of DEA aircraft. (2) Records relating to pilot qualifications (CSC Form 671).

This system is maintained to monitor the utilization and maintenance of DEA aircraft and the qualifications of DEA pilots in furtherance of DEA enforcement operations conducted pursuant to the Comprehensive Drug Abuse Prevention and Control Act of 1970 (Pub. L. 91-513).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

(1) Federal Aviation Administration for purposes of aircraft documentation and pilot certification.

(2) Department of Defense for communication purposes.

(3) United States Coast Guard for communication purposes.

(4) Communications relay services under contract with DEA for communications purposes.

(5) Release of information to the news media: Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available from systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

(6) Release of information to Members of Congress. Information contained in the systems of records maintained by the Department of Justice, not otherwise requested to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and at the request of the individual who is the subject of the record.

(7) Release of information to the National Archives and Records Administration (NARA) and to the General Services Administration (GSA): A record from a system of records may be disclosed as a routine use to the NARA and GSA in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

The automated portions of the records is maintained on an ADP disk storage device. Documentary records are maintained in manual file folders.

Retrievability:

Information relating to individuals in the system is retrieved by pilot name or identifying number assigned by DEA.

Safeguards:

Access to the system is restricted to DEA personnel on a need-to-know basis. The records are maintained in a secure room at the Addison Aviation Facility in accordance with DEA security procedures and are protected by an electronic alarm system.

Retention and disposal:

The automated records are maintained for five years and then purged from the data base. Manual records are maintained indefinitely.

System manager(s) and address:

Chief, Investigative Support Section, Drug Enforcement Administration, 1405 I Street, NW., Washington, D.C. 20537.

Notification procedure:

Inquiries should be addressed to the Freedom of Information Section, Drug Enforcement Administration, 1405 I Street, NW., Washington, D.C. 20537.

Record access procedures:

Same as above.

Contesting record procedures:

Same as above.

Record source categories:

Information pertaining to individuals in the system is obtained from reports submitted by DEA pilots.

Systems exempted from certain provisions of the act:

None.

JUSTICE/DEA-023

System name:

Clerical, Technical and Professional (CTAP) Program Files.

System location:

Drug Enforcement Administration, 1405 I Street, NW., Washington, D.C. 20537 and field offices (see Appendix 1 for addresses).

Categories of individuals covered by the system:

Clerical technical and professional employees (GS/1-12) of DEA who volunteer to participate in the CTAP program.

Categories of records in the system:

Biographic, educational and career development records of CTAP employees, interview and evaluation forms concerning CTAP employees and individual career development plans.

Authority for maintenance of the system:

OMB Circular No. A-48 (September 23, 1971). Federal Personnel Manual, Chapter 410.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Information is disclosed to DEA counselors and supervisors to develop and plan individualized career development programs for DEA employees.

Release of information to the news media: Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2, may be made available from systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personnel privacy.

Release of information to Members of Congress: Information contained in systems of records maintained by the Department of Justice, not otherwise requested to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests that information on behalf of and at the request of the individual who is the subject of the record.

Release of information to the National Archives and Record Administration (NARA) and to the General Service Administration (GSA): A record from a system of records may be dislcosed as a routine use to the NARA and GSA in records management inspections conducted under the authority of 44 U.S.C 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

The records in the system are maintained in manual file folders and on ADP equipment.

Retrievability:

Records will be retrieved by employee name.

Safeguards:

The records in the system will be maintained in facilities which meet DEA security requirements. Access to the system will be restricted to DEA employees on a need-to-know basis.

Retention and disposal:

Indefinite.

System manager(s) and address:

Assistant Administrator, Office of Administration, Drug Enforcement Administration, 1405 I Street, NW., Washington, D.C. 20537.

Notification procedure:

Inquiries should be addressed to Freedom of Information Section, Drug Enforcement Administration, 1405 I Street, NW., Washington, D.C. 20537.

Record access procedures:

Same as above.

Contesting record procedures:

Same as above.

Record source categories:

DEA employees, CTAP Counselors, DEA personnel files.

Systems exempted from certain provisions of the act:

None.

JUSTICE/DEA-027

System name:

DEA Employee Profile System (DEPS).

System location:

Drug Enforcement Administration, 1405 I Street, NW., Washington, D.C. 20537.

Categories of individuals covered by the system:

DEA employees.

Categories of records in the system:

The following eight categories of information will be maintained in the system:

1. Personal identification
2. Work experience
3. Language & geographical areas
4. Formal education
5. Special skills
6. Record of training
7. Consideration for vacancies
8. Awards

Authority for maintenance of the system:

This system is maintained to effectively place and assign employees to positions to further the mandates of the Comprehensive Drug Abuse Prevention and Control Act of 1970.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The records will be used principally by the Personnel Management Division. Selected data will be forwarded by this personnel section to the Career Development Board and operational units throughout DEA for the purpose of:

1. Identifying employees with particular skills or qualifications for assignment to special projects.
2. Identification of candidates for overseas assignments who have specific language skills.
3. Insuring that the Career Development Board will be reviewing the entirety of an applicant's background.
4. Calculating DEA's human resources on hand and to project more accurately future resource needs and capabilities.

Information from this system will not be disseminated outside of DEA.

Release of information to the National Archives and Records Administration (NARA) and to the General Services Administration (GSA): A record from a system of records may be disclosed as a routine use to the NARA and GSA in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

These records will be maintained on magnetic tape and a disk storage device.

Retrievability:

The information in this system can be retrieved by the individual's name, special skills information, special knowledge information or by some combination of the above information.

Safeguards:

The records of the system will be maintained at DEA Headquarters which is protected by twenty-four hour guard service and electronic surveillance. Access to the building is restricted to DEA employees and those transacting business within the building who are escorted by DEA employees. In addition, the area where the tapes and disks are stored is a secured area and access is restricted to those employees who have business in the area and those non-DEA people who are transacting business within the area and escorted by a DEA employee. Inquiries to the system are only made by the written request of the Chief, Personnel Management Division.

Safeguards:

Records in this system are retained as long as the individual is employed by DEA.

System manager(s) and address:

Deputy Assistant Administrator, Office of Administration, Drug Enforcement Administration, 1405 I Street NW., Washington, D.C. 20537.

Notification procedure:

Inquiries should be addressed to Freedom of Information Section, Drug Enforcement Administration, 1405 I Street NW., Washington, D.C. 20537. Inquiries should include inquirer's name, date of birth, and social security number.

Record access procedures:

Same as notification procedure.

Contesting record procedures:

Same as Notification Procedures

Record source categories:

1. DEA employee
2. Servicing personnel Office
3. The Justice Uniform Personnel System (Juniper).

Systems exempted from certain provisions of the act: None.

JUSTICE/DEA-028

System name: Regional Automated Intelligence Data System (RAIDS).

System location: Drug Enforcement Administration, 8400 NW 53rd Street, Miami, Florida 33166.

Categories of individuals covered by the system: Individuals suspected of illicit narcotic trafficking.

Categories of records in the system: Information extracted from DEA investigative reports.

Authority for maintenance of the system: The Comprehensive Drug Abuse Prevention and Control Act of 1970 (Pub. L. 91-513).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Information contained in this system is provided to the following categories of users as a matter of routine use for law enforcement and regulatory purposes: (a) Other federal law enforcement and regulatory agencies; (b) State and local law enforcement and regulatory agencies; (c) Foreign law enforcement agencies with whom DEA maintains liaison; (d) The Department of Defense and military departments; (e) The Department of State; (f) United States intelligence agencies concerned with drug enforcement; (g) The United Nations; (h) The International Police Organization (Interpol); and (i) To individuals and organizations in the course of investigations to elicit information.

In addition, disclosures are routinely made to the following categories for the purposes stated: (a) To federal agencies for national security clearance purposes and to federal and state regulatory agencies responsible for the licensing or certification of individuals in the fields of pharmacy and medicine; (b) To the Office of Management and Budget, upon request, in order to justify the allocation of resources; (c) To state and local prosecutors for assistance in preparing cases concerning criminal and regulatory matters; and (d) To respondents and their attorneys for purposes of discovery, formal and informal, in the course of an adjudicatory, rulemaking, or other hearing held pursuant to the Controlled Substances Act of 1970.

Release of information to the news media: Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available from systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Release of information to Members of Congress: Information contained in systems of records maintained by the Department of Justice, not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and at the request of the individual who is the subject of the record.

Release of information to the National Archives and Records Administration: A record from a system of records may be disclosed as a routine use to the National Archives and Records Administration

(NARA) in records management inspection conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records in the system are maintained on magnetic discs

Retrievability: Information is retrieved by name of the subject and by various topical queries.

Safeguards: The system is protected by both physical security and dissemination and access controls. The system is maintained in a secure DEA facility and protected by electronic means. Access to the computer is restricted by the assignment of unique input and query access codes to authorized DEA employees on a strict need-to-know basis.

Retention and disposal: Records in the system are currently maintained indefinitely.

System manager(s) and address: Regional Director, DEA South Eastern Regional Office, 8400 NW, 53rd Street, Miami, Florida 33166.

Notification procedure: Inquiries should be addressed to: Freedom of Information Unit, Drug Enforcement Administration, 1405 I Street, NW, Washington, D.C. 20537.

Record access procedures: Same as above.

Contesting record procedures: Same as above.

Record source categories: Records in the system consist entirely of information extracted from DEA investigative reports.

Systems exempted from certain provisions of the act: The Attorney General has exempted this system from subsections (c)(3) and (4), (d), (e), (1), (2), and (3), (e)(4) (G) and (H), (e) (5) and (8), (f), (g) and (h) of the Privacy Act pursuant to 5 U.S.C. 552a (j) and (k). Rules have been promulgated in accordance with the requirements of 5 U.S.C. 553(b), (c) and (e) and are being published in the Rules Section of today's Federal Register.

JUSTICE/DEA-030

System name:

Agent Recruit Assessment Program.

System location:

Drug Enforcement Administration (DEA), 1405 I Street, NW., Washington, D.C. 20537.

Categories of individuals covered by the system:

A. Prospective recruits for basic agent classes
B. Basic agent trainees
C. Special Agents

Categories of records in the system:

The system contains information concerning: (1) Scores on measurement instruments; (2) personality score derivatives; and (3) job-related factors.

Authority for maintenance of the system:

This system is maintained under DEA's authority to recruit and train Special Agents to enforce the Comprehensive Drug Abuse Prevention and Control Act of 1970 (Pub. L. 91-513).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The records maintained in this system are utilized only for internal purposes and no disseminaton outside the Department of Justice is contemplated.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

The automated portion of the records is maintained on an ADP storage device. Documentary records are maintained in manual file folders.

Retrievability:

Information relating to an individual is retrieved by name or a unique identifying number assigned by DEA.

Safeguards:

Access to the system is restricted to DEA personnel on a strict need-to-know basis. The records are maintained in a secure area at DEA headquarters, which is protected by guards and electronic means.

Retention and disposal:

The automated portion of the system is maintained for 15 years and then purged from the data base. Manual records are maintained indefinitely.

System manager(s) and address:

Assistant Administrator for Enforcement, Drug Enforcement Administration, 1405 I Street, NW., Washington, D.C. 20537.

Notification procedure:

Inquiries should be addressed to: Freedom of Information Division, Drug Enforcement Administration, 1405 I Street, NW., Washington, D.C. 20537.

Record access procedures:

Same as above.

Contesting record procedures:

Same as above.

Record source categories:

Information pertaining to individuals in the system is obtained from test protocols and allied records or provided by the individuals.

Systems exempted from certain provisions of the act:

The Attorney General has exempted this system from subsections (d), (e)(4)(G) and (H), and (f) of the Privacy Act pursuant to 5 U.S.C. 552a(k)(6). See 28 CFR 16.98 for exemption regulations.

JUSTICE/DEA-INS-111

System name:

Automated Intelligence Records System (Pathfinder).

System location:

U.S. Department of Justice, Drug Enforcement Administration, 1405 Eye Street, NW, Washington, D.C. 20537 and El Paso Intelligence Center (EPIC), El Paso, Texas 79902.

Categories of individuals covered by the system:

(1) Those individuals who are known, suspected, or alleged to be involved in (a) narcotic trafficking, (b) narcotic-arms trafficking, (c) alien smuggling or transporting, (d) illegally procuring, using, selling, counterfeiting, reproducing, or altering identification documents relating to status under the immigration and nationality laws, (e) terrorist activities (narcotic, arms or alien trafficking/smuggling related), (f) crewman desertions and stowaways, (g) arranging or contracting a marriage to defraud the immigration laws; and (h) facilitating the transportation of narcotics proceeds; (2) In addition to the categories of individuals listed above, those individuals who (a) have had citizenship or alien identification documents put to fraudulent use or have reported them as lost or stolen, (b) arrive in the United States from a foreign territory by private aircraft, and (c) are informants or witnesses (including non-implicated persons) who have pertinent knowledge of some circumstances or aspect of a case or suspect may be the subject of a file within this system; and (3) In the course of criminal investigation and intelligence gathering, DEA and INS may detect violation of non-drug or non-alien related laws. In the interests of effective law enforcement, this information is retained in order to establish patterns of criminal activity and to assist other law enforcement agencies that are charged with enforcing other segments of criminal law. Therefore, under certain limited circumstances, individuals known, suspected, or alleged to be involved in non-narcotic or non-alien criminal activity may be the subject of a file maintained within this system.

Categories of records in the system:

In general, this system contains computerized and manual intelligence information gathered from DEA and INS investigative records and reports. Specifically, intelligence information is gathered and collated from the following DEA and INS records and reports: (1) DEA Reports of Investigation (DEA-6), (2) DEA and INS Intelligence Reports, (3) INS Air Detail Office Index (I-92A), (4) INS Anti-Smuggling Indices (G-70), (5) INS Marine Intelligence Index, (6) INS Fraudulent Document Center Index, (7) INS Terrorist Index, (8) INS Reports of Investigation and Apprehension (I-44, I-213, G-166) and (9) U.S. Coast Guard Vessel 408 file. In addition, data is obtained from commercially available flight plan information concerning individuals known, suspected or alleged to be involved in criminal smuggling activities using private aircraft.

Authority for maintenance of the system:

This system has been established in order for DEA and INS to carry out their law enforcement, regulatory, and intelligence functions mandated by the Comprehensive Drug Abuse Prevention and Control Act of 1970 (84 Stat. 1236), Reorganization Plan No. 2 of 1973, the Single Convention on Narcotic Drugs, (18 UST 1407), and Sections 103, 265, and 290 and Title III of the Immigration and Nationality Act, as amended (8 U.S.C. 1103, 1305, 1360, 1401 et seq.). Additional authority is derived from Treaties, Statutes, Executive Orders and Presidential Proclamations which DEA and INS have been charged with administering.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

This system will be used to produce association and link analysis reports and such special reports as required by intelligence analysts of DEA and INS. The system will also be used to provide "real-time" responses to queries from Federal, state, and local agencies charged with border law enforcement responsibilities.

Information from this system will be provided to the following categories of users for law enforcement and intelligence purposes provided a legitimate and lawful "need to know" is demonstrated: (a) Other Federal law enforcement agencies, (b) state and local law enforcement agencies, (c) foreign law enforcement agencies with whom DEA and INS maintain liaison, (d) U.S. intelligence and military intelligence agencies involved in border criminal law enforcement, (e) clerks and judges of courts exercising appropriate jurisdiction over subject matter maintained within this system, and (f) Department of State; (g) various Federal, State, and local law enforcement committees and working groups including Congress and senior Administration officials; (h) The Department of Defense and military departments; (i) The United Nations; (j) The International Police Organization (Interpol); (k) to individuals and organizations in the course of investigations to elicit information; (l) to the Office of Management and Budget, upon request, in order to justify the allocation of resources; (m) to respondents and their attorneys for purposes of discovery, formal and informal, in the course of an adjudicatory, rulemaking, or other hearing held pursuant to the Controlled Substances Act of 1970; and (n) in the event there is an indication of a violation or potential violation of law whether civil, criminal, regulatory, or administrative in nature, the relevant information may be referred to the appropriate agency, whether Federal, state, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute or rule, regulations, or order issued pursuant thereto.

Release of information to the National Archives and Records Administration (NARA) and to the General Services Administration (GSA): A record from a system of records may be disclosed as a routine use to the NARA and GSA records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Manual subsets of the Pathfinder Information System are maintained on standard index cards and manual folders. Standard security formats are employed. The records are stored on computer at the DOJ computer center, Washington, D.C.

Retrievability:

Access to individual records can be accomplished by reference to either the manual indices or the automated information system. Access is achieved by reference to personal identifiers, other data elements or any combination thereof.

Safeguards:

The Pathfinder System of Records is protected by both physical security methods and dissemination and access controls. Fundamental in all cases is that access to intelligence information is limited to those persons or agencies with a demonstrated and lawful need to know for the information in order to perform assigned functions.

Physical security when intelligence files are attended is provided by responsible DEA and INS employees. Physical security when files are unattended is provided by the secure locking of material in approved containers or facilities. The selection of containers or facilities is made in consideration of the sensitivity or National Security Classification as appropriate, of the files, and the extent of security guard and/or surveillance afforded by electronic means.

Protection of the automated information system is provided by physical, procedural, and electronic means. The master file resides in the DEA Office of Intelligence Secured Computer System and is physically attended or safe-guarded on a full time basis. Access or observation to active telecommunications terminals is limited to those with a demonstrated need to know for retrieval information. Surreptitious access to an unattended terminal is precluded by a complex authentication procedure. The procedure is provided only to authorized DEA and INS employees. Transmission from DEA Headquarters to El Paso, Texas is accomplished via a dedicated secured line.

An automated log of queries is maintained for each terminal. Improper procedure results in no access and under certain conditions completely locks out the terminal pending restoration by the master controller at DEA Headquarters after appropriate verification. Unattended terminals are otherwise located in locked facilities after normal working hours.

The dissemination of intelligence information to an individual outside the Department of Justice is made in accordance with the routine uses as described herein and otherwise in accordance with conditions of disclosure prescribed in the Privacy Act. The need to know is determined in both cases by DEA and INS as a prerequisite to the release of information.

Retention and disposal:

Records maintained within this system are retained for fifty-five (55) years.

System manager(s) and address:

Deputy Assistant Administrator, Office of Intelligence, Drug Enforcement Administration, 1405 Eye Street, NW, Washington, D.C. 20537 and Associate Commissioner, Enforcement, Immigration and Naturalization Service, 425 Eye Street, NW, Washington, D.C. 20536.

Notification procedure:

Inquiries should be addressed to Freedom of Information Section, Drug Enforcement Administration, 1405 Eye Street, NW, Washington, D.C. 20537.

Record access procedures:

Same as notification procedure.

Contesting record procedures:

Same as notification procedure.

Record source categories:

Commercially available flight plan information source; Confidential informants; DEA intelligence and investigative records/reports; INS investigative, intelligence and statutory mandated records/reports; records and reports of other Federal, state and local agencies; and reports and records of foreign agencies with whom DEA maintains liaison.

Systems exempted from certain provisions of the act:

The Attorney General has exempted this system from subsections (c)(3) and (4), (d), (e)(1), (2), and (3), (e)(4)(g), (H) and (I), (e)(5) and (8), (f), (g), and (h) of the Privacy Act pursuant to 5 U.S.C. 552a (j) and (k). Rules have been promulgated in accordance with the requirements of 5 U.S.C. 553(b), (c) and (e) and have been published in the Federal Register.

JUSTICE/DEA-999

DEA Appendix 1—List of record location addresses. Copies of all or part of any system of records published by the Drug Enforcement Administration pursuant to 5 U.S.C. 552a may be maintained at the DEA field offices listed below. However, procedures for processing inquiries concerning DEA systems of records have been centralized in DEA Headquarters. Inquiries concerning all DEA systems of records should be addressed to:

Freedom of Information Section:

Drug Enforcement Administration, 1405 Eye Street, NW.,
Washington, DC 20537.

Drug Enforcement Administration Field Offices:

Atlanta Division

Atlanta Division Office, 75 Spring Street, SW., Room 740,
Atlanta, Georgia 30303

Charleston Resident Office, 334 Meeting Street, Room 325,
Charleston, South Carolina 29403

Columbia Resident Office, 1101 Laurel, P.O. Box 702, Room
204, Columbia, South Carolina 29202

Columbus Resident Office, P.O. Box 1565, Columbus, Georgia
31902

Greensboro Resident Office, 2300 W. Meadowview Road, Suite
224, Greensboro, North Carolina 27407

Knoxville Resident Office, 1111 Northshore Drive, Room 610,
Knoxville, Tennessee 37919

Memphis Resident Office, 167 N. Main Street, 401 Federal
Building, Memphis, Tennessee 38103

Nashville Resident Office, 801 Broadway, A929, Estes Kefauver
Building, FB-USCH, Nashville, Tennessee 37203

Savannah Resident Office, 124 Barnard Street, Room B-220,
Savannah, Georgia 31401

Wilmington Resident Office, 272 Front Street, Suite 423,
Wilmington, North Carolina 28401

Boston Division

Boston Division Office, G-64 JFK Federal Building, Boston,
Massachusetts 02203

Bridgeport Resident Office, 915 Lafayette Boulevard, FB-
USCH, Room 200, Bridgeport, Connecticut 06604

Burlington Resident Office, P.O. Box 327, Essex Junction,
Vermont 05452

Concord Resident Office, 55 Pleasant Street, Federal Building, P.O. Box 1314, Concord, New Hampshire 03301
Hartford Resident Office, 450 Main Street, Room 628, Hartford, Connecticut 06103
Portland Resident Office, 1355 Congress Street, Suite D, Portland, Maine 04102
Providence Resident Office, 232 John O. Pastore Federal Building, Exchange Terrace, Providence, Rhode Island 02903
Springfield Resident Office, 1550 Main Street, Room 408, Springfield, Massachusetts 01103
Chicago Division
Chicago Division Office, 219 Dearborn Street, Chicago, Illinois 60604
Fargo Resident Office, P.O. Box 1127, Fargo, North Dakota 58107
Hammond Resident Office, 507 State Street, Room 632, Hammond, Indiana 46320
Indianapolis Resident Office, 575 N. Pennsylvania, Room 290, Indianapolis, Indiana 46204
Milwaukee Resident Office, 517 E. Wisconsin, 228A FB-USCH, Milwaukee, Wisconsin 53202
Minneapolis Resident Office, 110 S. 4th Street, 402 Federal Building, Minneapolis, Minnesota 55401
Springfield Resident Office, 524 S. Second Street, Suite 650, Springfield, Illinois 62701
Dallas Division
Dallas Division Office, 1880 Regal Row, Dallas, Texas 75235
Fort Worth Resident Office, 501 W. 10th Street, U.S. Courthouse, Room 506, Fort Worth, Texas 76102
Oklahoma City Resident Office, 200 NW Fifth Street, Federal Building, Suite 960, Oklahoma City, Oklahoma 73102-3202
Tulas Resident Office, 333 W. Fourth Street, Room 3335, Tulsa, Oklahoma 74103
El Paso Resident Office, 4110 Rio Bravo, Suite 100, El Paso, Texas 79902
Alpine Resident Office, P.O. Box 1282, Alpine, Texas 79830
Lubbock Resident Office, 2345 50th Street, Suite 120, Lubbock, Texas 79412
Midland, Texas, Post of Duty, 200 E. Wall, Federal Building, Room 105, Midland, Texas 79701
Tyler, Texas, Post of Duty, 3301 Golden Road No. 5, Tyler, Texas 75713
Denver Division
Denver Division Office, 316 US Customs House, P.O. Box 1860, Denver, Colorado 80201
Cheyenne Resident Office, 2120 Capitol Avenue, 8020 Federal Center, Cheyenne, Wyoming 82001
Salt Lake City Resident Office, 125 State Street, 8416 Federal Building, Salt Lake City, Utah 84138
Albuquerque District Office, 5301 Central Avenue NE., 1st National Bank Building East, Suite 900, Albuquerque, New Mexico 87108
Glenwood Springs Resident Office, 401 23rd Street, Suite 104, Glenwood Springs, Colorado 81601
Las Cruces Resident Office, P.O. Box 399, Las Cruces, New Mexico 88004
Detroit Division
Detroit Division Office, 231 W. Lafayette, 357 Federal Building, Detroit, Michigan 48226
Cincinnati Resident Office, 505 Main Street, 7405 Federal Office Building, Cincinnati, Ohio 45202
Cleveland Resident Office, 601 Rockwell Avenue, Room 300, Cleveland, Ohio 44114
Grand Rapids Resident Office, 110 Michigan Avenue, NW., 310 FB-USCH, Grand Rapids, Michigan 49503
Louisville Resident Office, 600 Federal Place, 1006 Federal Building, Louisville, Kentucky 40202
Saginaw Resident Office, 100 S. Warren Street, Room 1061, Federal Building, Saginaw, Michigan 48606
Houston Division
Houston Division Office, 333 West Loop North, Houston, Texas 77024
Corpus Christi Resident Office, 400 Mann Street, P.O. Box 2443, Suite 403, Corpus Christi, Texas 78403
Galveston Resident Office, 6000 Broadway, Suite 104, Galveston, Texas 77550
Beaumont, Texas, Post of Duty, 700 North Street, Suite 102, Beaumont, Texas 77701-1899
McAllen District Office, 3017 S. 10th Street, McAllen, Texas 78503
Brownsville, Resident Office, 1100 FM 802, Suite, 200, Brownsville, Texas 78521
Laredo Resident Office, P.O. Box Drawer 2307, Laredo, Texas 78044
San Antonio Resident Office, 1802 NE Loop 410, 1800 Central Building, 4th Floor, San Antonio, Texas 78217
Austin Resident Office, 55 N. Interregional Highway, P.O. Box 8, Austin, Texas 78767
Eagle Pass Resident Office, 342 Rio Grande, Room 102, Eagle Pass, Texas 78852
Los Angeles Division
Los Angeles Division Office, 305 S. Figueroa Street, Los Angeles, California 90071
Guam Resident Office, 238 O'Hara Street, Suite 502C, Agana, Guam 96910
Honolulu Resident Office, 300 Ala Moana Boulevard, Room 3129, P.O. Box 50163, Honolulu, Hawaii 96850
Las Vegas Resident Office, 300 Las Vegas Boulevard South, FB-USCH, Room 204, P.O. Box 16023, Las Vegas, Nevada 89101-0023
Reno Resident Office, 4600 Kietzke Lane, 209 Building I, Reno, Nevada 89502
Riverside Resident Office, 3610 Central Avenue, Room 511, P.O. Box 2946, Riverside, California 92516
Santa Ana Resident Office, 34 Civic Center Plaza, P.O. Box 12609, Santa Ana, California 92712
Santa Barbara Resident Office, 6445 Calle Real, Suite C, Goleta, California 93117
Miami Division
Miami Division Office, 8400 NW 53rd Street, Miami, Florida 33166
Ft. Lauderdale Resident Office, 299 E. Broward Boulevard, FB-USCH, Suite 404, Ft. Lauderdale, Florida 33301
Ft. Myers Resident Office, 2345 Union Street, Suite D, Ft. Myers, Florida 33902
Gainsville Resident Office, 1717 NE 9th Street, Suite 134, P.O. Box 2918, Gainsville, Florida 32601
Jacksonville Resident Office, 4077 Woodcock Drive, Suite 210, Jacksonville, Florida 32207
Marathon Resident Office, 11400 Overseas Highway, P.O. Box 1269, Room 215, Marathon, Florida 33050
Orlando Resident Office, 498 Palm Springs Plaza Drive, Suite 801, Altamonte Springs, Florida 32701
Panama City Resident Office, 410 Jenks Avenue, P.O. Box 1486, Panama City, Florida 32402
Tampa Resident Office, 700 Twiggs Street, Suite 400, Tampa, Florida 33602
Tampa Task Force Airport Detail, 700 Twiggs Street, Suite 400, Tampa, Florida 33602
West Palm Beach Resident Office, 701 Clematis Street, Room 223, West Palm Beach, Florida 33401
San Juan District Office, 416 Ponce de Leon Avenue, Chase Building, Suite 514, Hato Rey, Puerto Rico 00918
Newark Division
Newark Division Office, 970 Broad Street, Federal Office Building, Room 806, Newark, New Jersey 07102
Atlantic City Resident Office, P.O. Box AB, Northfield, New Jersey 08225
Camden, New Jersey Resident Office, c/o DEA, P.O. Box 428, Bellmawr, New Jersey 08031
New Orleans Division
1661 Canal Street, Suite 2200, New Orleans, Louisiana 70112
Baton Rouge Resident Office, 4560 North Boulevard, Suite 118, Baton Rouge, Louisiana 70806
Birmingham Resident Office, 236 Goodwin Crest, Suite 520, Birmingham, Alabama 35209
Gulfport Mississippi, Post of Duty, P.O. Box 1387, Gulfport, Mississippi 39502
Jackson Resident Office, 100 W. Capitol Street, 1501 Federal Building, Jackson, Mississippi 39269
Little Rock Resident Office, One Union National Plaza, Suite 850, Little Rock, Arkansas 72201
Mobile Resident Office, 2 Office Park, Suite 216, Mobile, Alabama 36609
Shreveport Resident Office, 8A20A Federal Building, Shreveport, Louisiana 71101
New York Division
New York Division Office, 555 W. 57th Street, Suite 1900, New York, New York 10019
Albany Resident Office, Clinton Avenue & North Pearl Street, 746 Leo W. O'Brien Federal Building, Albany, New York 12207
Buffalo Resident Office, 28 Church Street, Suite 300, Buffalo, New York 14202

Rochester Resident Office, P.O. Box 14210, Rochester, New York 14614
Long Island Resident Office, One Huntington Quadrangle, Suite 1C-02, Melville, New York 11747
New York DEA Drug Task Force, 555 W. 57th Street, Suite 1700, New York, New York 10019-2978
JFK Airport Station, P.O. Box 361, Jamaica, New York 11430
Philadelphia Division
Philadelphia Division Office, 600 Arch Street, Room 10224, William J. Green Federal Building, Philadelphia, Pennsylvania 19106
Harrisburg Resident Office, P.O. Box 557, Harrisburg, Pennsylvania 17108-0557
Pittsburgh Resident Office, 1000 Liberty Avenue, Federal Building, Room 2306, Pittsburgh Pennsylvania 15222
Wilmington Resident Office, 844 King Street, J. Caleb Boggs Federal Building, Rms. 5305-5307, Wilmington, Delaware 19801
Phoenix Division
Phoenix Division Office, One N. First Street, Suite 201, Phoenix, Arizona 85004
Yuma Resident Office, 3150 Winsor Avenue, Suite 202, Yuma, Arizona 85364
Tucson Resident Office, 2110 E. Airport Drive, Tucson, Arizona 85706
Nogales Resident Office, 3970 Fairway Drive, Nogales, Arizona 85621
San Diego Division
San Diego Division Office, 402 W. 35th Street, National City, California 92050
Calexico Resident Office, 38 W. 4th Street, P.O. Box J, Calexico, California 92231
Tecate Resident Office, Highway 188, P.O. Box 280, Tecate, California 92080
San Francisco Division
San Francisco Division Office, 450 Golden Gate Avenue, P.O. Box 36035, Room 12215, San Francisco, California 94102
Fresno Resident Office, 2202 Monterrey Street Room, 104F, Fresno, California 93721
Sacramento Resident Office, 2941 Fulton Avenue, P.O. Box 214556, Sacramento, California 95821
San Jose Resident Office, 280 S. First Street, Room 2133, San Jose, California 95113
Seattle Division
Seattle Division Office, 220 W. Mercer, Suite 301, Seattle, Washington 98119
Anchorage Resident Office, 701 C Street, Anchorage, Alaska 99513
Blaine Resident Office, 170 C Street, P.O. Box 1680, Blaine, Washington 98230
Boise Resident Office, 2404 Bank Drive, American Reserve Building, Suite 212, Boise, Idaho 83705
Eugene Resident Office, 211 E. 7th Avenue, 230 Federal Building, Eugene, Oregon, 97401
Great Falls Resident Office, 1111 4th Street South, P.O. Box 2887, Great Falls, Montana 59403
Portland Resident Office, 1220 S.W. 3rd Avenue, Room 1566, Portland, Oregon 97204
Spokane Resident Office, 920 W. Riverside, P.O. Box 1504, USCH, Spokane, Washington 99201
St. Louis Division
St. Louis Division Office, 120 S. Central Avenue, Suite 200, St. Louis, Missouri 63105
Cape Girardeau, Missouri, Post of Duty, 339 Broadway, Room 159, Cape Girardeau, Missouri 63701
Des Moines Resident Office, 210 Walnut Street, P.O. Box 1784, USCH, Federal Building, Room 667, Des Moines, Iowa 50309
Kansas City Resident Office, 812 N. 7th Street, Room 206, Kansas City, Kansas 66101
Omaha Resident Office, 215 N. 17th Street, Federal Building, P.O. Box 661, Downtown Station, Omaha, Nebraska 68101
Sioux Falls Resident Office, P.O. Box 1109, Sioux Falls, South Dakota 57101
Wichita Resident Office, 1919 Amidon, Suite 218, Wichita, Kansas 67230
Washington, DC Divsiion
Washington, DC Division Office, 400 Sixth Street SW., Room 2558, Washington, DC 20024
Charleston Resident Office, 22 Capital Street, P.O. Box 1146, Charleston, West Virginia 25324
Clarksburg, West Virginia, Post of Duty, 168 W. Main Street, P.O. Box 262, Room 502, Clarksburg, West Virginia 26301
Charleston Resident Office, 22 Capital Street, P.O. Box 1146, Charleston, West Virginia 25324
Norfolk Resident Office, 200 Granby Mall, Federal Building, Suite 320, Norfolk, Virginia 23510
Richmond Resident Office, 400 N. 8th Street, P.O. Box 10150, Richmond, Virginia 23240
Baltimore District Office, 31 Hopkins Plaza, 955 Federal Building, Baltimore, Maryland 21201
El Paso Intelligence Division
El Paso Intelligence Division, 2211 E. Missouri, Suite 200, El Paso, Texas 79903

Laboratories

Special Testing & Research Laboratory, 7704 Old Springhouse Road, McLean, Virginia 22102-3494
Mid-Atlantic Laboratory, 460 New York Avenue NW, Washington, DC 20537
Northeast Laboratory, 555 W. 57th Street, New York, New York 10019
Southeast Laboratory, 5205 NW 84th Avenue, Miami, Florida 33166
North Central Laboratory, 610 S. Canal Street, Room 500, Chicago, Illinois 60607
South Central Laboratory, 1880 Regal Row, Dallas, Texas 75235
Southwest Laboratory, P.O. Box 1536, National City, California 92050
Western Laboratory, 450 Golden Gate Avenue, Box 36075, San Francisco, California 94102

Other DEA Offices

Aviation Unit
Addison Aviation Facility, DEA/Justice, P.O. Box 534, Addison, Texas 75001
Foreign Offices
Ankara, Turkey Country Office, DEA/Justice, American Embassy, APO New York, New York 09254
Istanbul Resident Office, DEA/Justice, American Consulate General, APO New York, New York 09380
Athens Greece Country Office, DEA/Justice, American Embassy, APO New York, New York 09253
Bangkok, Thailand Country Office, DEA/Justice, American Embassy, APO San Francisco, California 96346
Chiang Mai Resident Office, DEA/Justice, American Embassy, Box C, APO San Francisco, California 96346
Songkhla Resident Office, DEA/Justice, American Embassy, Box S, APO San Francisco, California 96346
Bern, Switzerland County Office, DEA/Justice, American Embassy, Department of State Pouch Mail 20520
Bogota, Colombia Country Office, DEA/Justice, American Embassy, APO Miami, Florida 34038
Barranquilla Resident Office, DEA/Justice, American Embassy, APO Miami, Florida 34038
Cali Resident Office, DEA/Justice, American Embassy, APO Miami, Florida 34038
Medellin Resident Office, DEA/Justice, American Embassy, APO Miami, Florida 34038
Bonn, W. Germany Country Office, DEA/Justice, American Embassy, Box 290, APO New York, New York 09080
Frankfurt Resident Office, DEA/Justice, American Consulate General, APO New York, New York 09213
Brasilia, Brazil Country Office, DEA/Justice, American Embassy, APO Miami, Florida 34030
Sao Paulo Resident Office, c/o Brasilia Country Office, APO Miami, Florida 34030
Brussels, Belgium Country Office, DEA/Justice, American Embassy, APO New York, New York 09667
Buenos Aires, Argentina Country Office, DEA/Justice, American Embassy, APO Miami, Florida 34034
Cairo, Egypt Country Office, DEA/Justice, American Embassy, Box 10, FPO New York, New York 09527
Caracas, Venezuela Country Office, DEA/Justice, American Embassy, APO Miami, Florida 34037
Copenhagen, Denmark Country Office, DEA/Justice, American Embassy, APO New York, New York 09170
Caracao, Netherlands Antilles Country Office, DEA/Justice, c/o U.S. Consulate General, Department of State Pouch Mail 20520
Guatemala City, Guatemala Country Office, DEA/Justice, American Embassy, APO Miami, Florida 34024
Hong Kong Country Office, DEA/Justice, American Consulate General, Box 30, FPO San Francisco, California 96659

Islamabad, Pakistan Country Office, DEA/Justice, Department of State, Pouch Mail 20520
Karachi Resident Office, DEA/Justice, Department of State, Pouch Mail 20520
Lahore Resident Office, DEA/Justice, Department of State, Pouch Mail 20520
Peshawar Resident Office, DEA/Justice, Department of State, Pouch Mail 20520
Jakarta, Indonesia Country Office, DEA/Justice, Department of State, Pouch Mail 20520
Kingston, Jamaica Country Office, DEA/Justice, Department of State, Pouch Mail 20520
Kuala Lumpur, Malaysia Country Office, DEA/Justice, Department of State, Pouch Mail 20520
La Paz, Bolivia Country Office, DEA/Justice, American Embassy, APO Miami, Florida 34032
Santa Cruz Resident Office, c/o La Paz, Bolivia Country Office, APO Miami, Florida 34032
Lagos, Nigeria Country Office, DEA/Justice, Department of State, Pouch Mail 20520
Cochabamba Resident Office, c/o La Paz, Bolivia Country Office, APO Miami, Florida 34032
Lima, Peru Country Office, DEA/Justice, American Embassy, APO Miami, Florida 34031
London, England Country Office, DEA/Justice, American Embassy, Box 40, FPO New York, New York 09510
Madrid, Spain Country Office, DEA/Justice, American Embassy, APO New York, New York 09285
Manila, Philippines Country Office, DEA/Justice, American Embassy, APO San Francisco, California 96528
Mexico City, Mexico Country Office, DEA/Justice, P.O. Box 3087, Laredo, Texas 78041
Guadalajara Resident Office, DEA/Justice, P.O. Box 3088, Laredo, Texas 78041
Hermosillo Resident Office, P.O. Box 1090, Nogales, Arizona 85621
Mazatlan Resident Office, DEA/Justice, Department of State, Pouch Mail 20520
Merida Resident Office, DEA/Justice, American Consulate, P.O. Box 3087, Laredo, Texas 78044
Monterrey Resident Office, DEA/Justice, American Consulate, P.O. Box 3098, Laredo, Texas 78040
Nassau, Bahamas Country Office, DEA/Justice, P.O. Box N8197, Department of State, Pouch Mail 20520
New Delhi, India Country Office, DEA/Justice, American Consulate, Department of State, Pouch Mail 20520
Nicosia, Cypress Country Office, DEA/Justice, American Embassy, FPO New York, New York 09530
Ottawa Country Office, 100 Wellington Street, DEA/Justice, American Embassy, Ottawa, Ontario, Canada KIP-5T1
Montreal Resident Office, DEA/Justice, P.O. Box 65, Postal Station, Desjardins, Montreal, American Consulate General, Montreal, Quebec, Canada HSB 161
Panama City, Panama Country Office, DEA/Justice, American Embassy, Box E, APO Miami, Florida 34002
Paris, France Country Office, DEA/Justice, American Embassy, APO New York, New York 09777
Marseilles Resident Office, DEA/Justice, American Embassy, APO New York, New York 09777
Quito, Ecuador Country Office, DEA/Justice, American Embassy, APO Miami, Florida 34039
Guayaquil Resident Office, DEA/Justice, U.S. Consulate, APO Miami, Florida 34039
Rome, Italy Country Office, DEA/Justice, American Embassy, APO New York, New York 09794–0007
Milan Resident Office, DEA/Justice, American Embassy, Box M, APO New York, New York 09794
San Jose, Costa Rica Country Office, DEA/Justice, American Embassy, APO Miami, Florida 34020
Santiago, Chile Country Office, DEA/Justice, American Embassy, APO Miami, Florida 34033
Santo Domingo, Dominican Republic Country Office, DEA/Justice, American Embassy, APO Miami, Florida 34041
Seoul, Korea Country Office, DEA/Justice, American Embassy, APO San Francisco, California 96301
Singapore Country Office, DEA/Justice, American Embassy, FPO San Francisco, California 96699–0001
The Hague, Netherlands Country Office, DEA/Justice, American Embassy, APO New York, New York 09159
Tokyo, Japan Country Office, DEA/Justice, American Embassy, APO San Francisco, California 96503
Vienna, Austria Country Office, DEA/Justice, American Embassy, APO New York, New York 09108

EXECUTIVE OFFICE FOR IMMIGRATION REVIEW

JUSTICE/EOIR-001

System name:

Records and Management Information System (JUSTICE/EOIR-001).

System location:

Executive Office for Immigration Review, Department of Justice, 5205 Leesburg Pike, Suite 800, Falls Church, Virginia 22041. The system is also located in EOIR field offices (see appendix identified as JUSTICE/EOIR-999)

Categories of individuals covered by the system:

This system contains case-related information pertaining to aliens and alleged aliens brought into the immigration hearing process, including certain aliens previously or subsequently admitted for lawful permanent residence.

Categories of records in the system:

This system includes the name, file number, address and nationality of aliens and alleged aliens, decision memoranda, investigatory reports and materials compiled for the purpose of enforcing immigration laws, exhibits, transcripts, and other case-related papers concerning aliens, alleged aliens or lawful permanent residents brought into the administrative adjudication process.

Authority for maintenance of the system:

This system is established and maintained under the authority granted the Attorney General, pursuant to 44 U.S.C. 3101 and 3103 and to fulfill the legislative mandate under 8 U.S.C. 1103, 1226 and 1252. Such authority has been delegated to EOIR by 8 CFR Part 3.

Purpose(s):

Information in this system serves as the official record of immigration proceedings. EOIR employees use the information to prepare, process and track the proceedings. The information is further used to generate statistical reports and various documents, i.e., hearing calendars and administrative orders.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Information may be disseminated to the Department of State; Federal courts; Members of Congress; the alien or alleged alien's representative or attorney of record; and, to Federal, State and local agencies. Information is disseminated to the Department of State, pursuant to 8 CFR 208.10(b), to allow its preparation of advisory opinions regarding applications for political asylum; to the Federal courts to enable their review of EOIR administrative decisions on appeal; to Members of Congress to respond to constituent inquiries; and, to the representative or attorney of record to ensure fair representation. Finally, in any claim in which there is an indication of a violation or potential violation of law, whether civil, criminal or regulatory in nature, information, including investigatory information, may be disseminated to the appropriate Federal, State or local agency charged with the responsibility of investigating or prosecuting such violation or with enforcing or implementing such law.

Release of information to the news media and the public: Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available from systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular matter would constitute an unwarranted invasion of personal privacy.

Release of information to Members of Congress: Information contained in the system, not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and at the request of the individual who is the subject of the record.

Release of information to the National Archives and Records Administration (NARA) and to the General Services Administration (GSA): A record from the system of records may be disclosed to NARA and GSA for records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are maintained in file folders which are stored in file cabinets. A subset of the records is maintained on fixed disks or removable disk packs which are stored in flie cabinets. All records are stored in secured EOIR office space.

Retrievability:

Manual records are indexed by alien file number. Automated records are retrievable by a variety of indentifying data elements including, but not limited to, alien file number, alien name and nationality.

Safeguards:

Information maintained in the system is safeguarded in accordance with Department of Justice rules and procedures. Record files are maintained in file cabinets accessible only to EOIR employees. Automated information is stored on either fixed disks or removable disk packs which are stored in cabinets. Only EOIR empoyees in possession of specific access codes and passwords will be able to access automated information. All manual and automated records and mediums are located in EOIR office space accessible only to EOIR employees and locked during off-duty hours.

Retention and disposal:

Record files are retained for six months after the final disposition of the case, then forwarded to regional Federal Records Centers. Automated records are maintained in EOIR field office data bases for ninety days after final disposition, then transferred to the host computer at EOIR headquarters and retained indefinitely.

System manager(s) and address:

Counsel to the Director Executive Office of Immigration Review, Office of the Chief Immigration Judge, U.S. Department of Justice, 5203 Leesburg Pike, Suite 1609, Falls Church, Virginia 22041.

Notification procedure:

Address all inquiries to the system manager listed above.

Record access procedures:

Portions of this system are exempt from disclosure and contest by 5 U.S.C. 552a (k)(1) and (k)(2). Make all request for access to those portions not so exempted by writing to the system manager identified above. Clearly mark the envelop and letter "Privacy Access Requests"; provide the full name and notarized signature to the individual who is the subject of the record, his/her date and place of birth, or any other identifying number or information which may assist in locating the record; and, a return address.

Contesting record procedures:

Direct all requests to contest or amend information maintained to the system manager listed above. State clearly and concisely what information is being contested, the reasons for contesting it, and the proposed amendment to the information.

Record source categories:

Department of Justice offices and employees, primarily those of the Immigration and Naturalization Service; the Department of State and other Federal, State and local agencies; and the parties to immigration proceedings and their witnesses.

Systems exempted from certain provisions of the act:

The Attorney General has exempted certain records of this system from the access provisions of the Privacy Act (5 U.S.C. 552a(d)) pursuant to 5 U.S.C. 552a (k)(1) and (k)(2). Rules have promulgated in accordance with the requirements of 5 U.S.C. 553 (b), (c) and (e) and have been published in the Federal Register.

JUSTICE/EOIR-999

System name:

Appendix to Executive Office for Immigration Review System of Records.

EOIR field offices are located as follows:

Executive Office for Immigration Review, Office of the Immigration Judge, 4420 N. Fairfax Drive, Room 414, Arlington, Virginia 22203

Executive Office for Immigration Review, Office of the Immigration Judge, Richard B. Russell Federal Building, 75 Spring Street, SW., Room 1310, Atlanta, Georgia 30303

Executive Office for Immigration Review, Office of the Immigration Judge, U.S. Appraisers Building, 103 South Gay Street, Room 316, Baltimore, Maryland 21202

Executive Office for Immigration Review, Office of the Immigration Judge, John F. Kennedy Federal Building, Government Center, Room 510-A, Boston, Massachusetts 02203

Executive Office for Immigration Review, Office of the Immigration Judge, 219 South Dearborn Street, Room 423, Chicago, Illinois 60604

Executive Office for Immigration Review, Office of the Immigration Judge, Federal Building, 1100 Commerce Street, Room 2C12, Dallas, Texas 75242

Executive Office for Immigration Review, Office of the Immigration Judge, Federal Office Building, 1961 Stout Street, Room 1708, Denver, Colorado 80202

Executive Office for Immigration Review, Office of the Immigration Judge, 511 East San Antonio, U.S. Courthouse, Room 509, El Paso, Texas 79901

El Paso Service Processing Center, 8915 Montana, El Paso, TX 79925

Executive Office for Immigration Review, Office of the Immigration Judge, 2320 La Branch Street, Room 2235, Houston, Texas 77004

Houston Detention Facility, 15850 Export Plaza Drive, Houston, TX 77032

Executive Office for Immigration Review, Office of the Immigration Judge, 300 North Los Angeles Street, Room 2001, Los Angeles, California 90012

Executive Office for Immigration Review, Office of the Immigration Judge, Interfirst Bank Tower, 222 East Van Buren, Harlingen, Texas 78550

Port Isabel Service Processing Center, Route 3, Box 1200, Building 37, Los Fresnos, TX 78566

Executive Office for Immigration Review, Office of the Immigration Judge, 7880 Biscayne Boulevard, 8th Floor, Miami, Florida 33138

Krome North Processing Center, Office of the Immigration Judge, Snapper Creek Station, Miami, Florida 33116

Executive Office for Immigration Review, Office of the Immigration Judge, Federal Building, 970 Broad Street, Room 308, Newark, New Jersey 07102

Executive Office for Immigration Review, Office of the Immigration Judge, 26 Federal Plaza, Room 13130, New York, New York 10278

Varick Street Service Processing Center, 201 Varick Street, Room 645, New York, New York 10014

Executive Office for Immigration Review, Office of the Immigration Judge, 211 Highway 165 South, Oakdale, Louisiana 71463

Executive Office for Immigration Review, Office of the Immigration Judge, Federal Building, Room 3114, 230 North First Avenue, Phoenix, Arizona 85025

INS Detention Camp, Highways 80 and 89, Florence, Arizona 85232

Executive Office for Immigration Review, Office of the Immigration Judge, 727 East Durango Boulevard, Room A-513, San Antonio, Texas 78206

Executive Office for Immigration Review, Office of the Immigration Judge, Samuel Fox Building, 950 Sixth Avenue, Suite 400, San Diego, California 92101

Office of the Immigration Judge, 1115 N. Imperial Avenue, First Floor, El Centro, California 92243

Executive Office for Immigration Review, Office of the Immigration Judge, 630 Sansome Street, Room 404, San Francisco, California 94111

Executive Office for Immigration Review, Office of the Immigration Judge, Key Tower Building, 1000 Second Avenue, Suite 3150, Seattle, Washington 98104

FEDERAL BUREAU OF INVESTIGATION

JUSTICE/FBI- 001

System name:

National Crime Information Center (NCIC).

System location:

Federal Bureau of Investigation: J. Edgar Hoover Bldg., 10th and Pennsylvania Avenue NW., Washington, D.C. 20535.

Categories of individuals covered by the system:

A. Wanted Persons: 1. Individuals for whom Federal warrants are outstanding.

2. Individuals who have committed or have been identified with an offense which is classified as a felony or serious misdemeanor under the existing penal statutes of the jurisdictions originating the entry and felony or misdemeanor warrant has been issued for the individual with respect to the offense which was the basis of the entry. Probation and parole violators meeting the foregoing criteria.

3. A "Temporary Felony Want" may be entered when a law enforcement agency has need to take prompt action to establish a "want" entry for the apprehension of a person who has committed, or the officer has reasonable grounds to believe has committed, a felony and who may seek refuge by fleeing across jurisdictionary boundaries and circumstances preclude the immediate procurement of a felony warrant. A "Temporary Felony Want" shall be specifically identified as such and subject to verification and support by a proper warrant within 48 hours following the initial entry of a temporary want. The agency originating the "Temporary Felony

Want" shall be responsible for subsequent verification or re-entry of a permanent want.

4. Juveniles who have been adjudicated delinquent and who have escaped or absconded from custody, even though no arrest warrants were issued. Juveniles who have been charged with the commission of a delinquent act that would be a crime if committed by an adult, and who have fled from the state where the act was committed.

5. Individuals who have committed or have been identified with an offense committed in a foreign country, which would be a felony if committed in the United States, and for whom a warrant of arrest is outstanding and for which act an extradition treaty exists between the United States and that country.

6. Individuals who have committed or have been identified with an offense committed in Canada and for whom a Canada-Wide Warrant has been issued which meets the requirements of the Canada-U.S. Extradition Treaty, 18 U.S.C. 3184.

B. Individuals who have been charged with serious and/or significant offenses.

C. Missing Persons: 1. A person of any age who is missing and who is under proven physical/mental disability or is senile, thereby subjecting himself or others to personal and immediate danger.

2. A person of any age who is missing under circumstances indicating that his disappearance was not voluntary.

3. A person of any age who is missing under circumstances indicating that his physical safety is in danger.

4. A person who is missing and declared unemancipated as defined by the laws of his state of residence and does not meet any of the entry criteria set forth in 1, 2, or 3 above.

D. Individuals designated by the U.S. Secret Service as posing a potential danger to the President and/or other authorized protectees.

E. Unidentified Persons: 1. Any unidentified deceased person. 2. Any person who is living and unable to ascertain his/her identity (e.g. infant, amnesia victim). 3. Any unidentified catastrophe victim. 4. Body parts when a body has been dismembered.

Categories of records in the system:

A. Stolen Vehicle File: 1. Stolen vehicles. 2. Vehicles wanted in conjunction with felonies or serious misdemeanors. 3. Stolen vehicle parts, including certificates of origin or title.

B. Stolen License Plate File: 1. Stolen or missing license plate.

C. Stolen/Missing Gun File: 1. Stolen or missing guns. 2. Recovered guns, when ownership of which has not been established.

D. Stolen Article File

E. Wanted Persons File: Described in "CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM: A. Wanted Persons."

F. Securities File: 1. Serially numbered stolen, embezzled, counterfeited, missing securities.

2. "Securities" for present purposes of this file are currency (e.g., bills, bank notes) and those documents or certificates which generally are considered to be evidence or debt (e.g., bonds, debentures, notes) or ownership of property (e.g., common stock, preferred stock), and documents which represent subscription rights, warrants) and which are of those types trades in the securities exchanges in the United States, except for commodities futures. Also included are warehouse receipts, travelers checks and money orders.

G. Stolen Boat File

H. Computerized Criminal History File: A cooperative federal-State program for the interstate exchange of criminal history record information for the purpsoe of facilitating the interstate exchange of such information among criminal justice agencies.

I. Missing Person File: Described in "CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM: C. Missing Persons."

J. U.S. Secret Service Protective File: Described in "CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM: D."

K. Identification records regarding persons enrolled in the United States Marshals Service Witness Security Program who have been charged with serious and/or significant offenses: Described in "CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM; B."

L. Foreign Fugitive File: Identification data regarding persons who are fugitives from foreign countries, who are described in "CATEGORIES OF INDIVIDUALS COVERED BY the SYSTEM: A. Wanted Persons, 5."

M. Canadian Warrant File: Identification data regarding Canadian wanted persons who are described in "CATEGORIES OF INDIVIDUALS COVERED BY the SYSTEM: A. Wanted Persons, 6."

N. Unidentified Person File: Described in "CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM: E. Unidentified Persons."

Authority for maintenance of the system:

The system is established and maintained in accordance with 28 U.S.C. 534; Department of Justice Appropriation Act, 1973, Pub. L. 92-544, 86 Stat. 1115, Securities Acts Amendment of 1975 Pub. L. 94-29, 89 Stat. 97; and Exec. Order No. 10450, 3 CFR (1974).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Data in NCIC files is exchanged with and for the official use of authorized officials of the Federal Governemnt, the States, cities, penal and other institutions, and certain foreign governments. The data is exchanged through NCIC lines to Federal criminal justice agencies, criminal justice agencies in the 50 States, the District of Columbia, Puerto Rico, U.S. Possessions and U.S. Territories. Additionally, data contained in the various "want files," i.e., the stolen vehicle file, stolen license plate file, stolen missing gun file, stolen article file, wanted person file, securities file and boat file may be accessed by the Royal Canadian Mounted Police. Criminal history data is disseminated to non-criminal justice agencies for use in connection with licensing for local/state employment or other uses, but only where such dissemination is authorized by Federal or state statutes and approved by the Attorney General of the United States.

Data in NCIC files, other than the Computerized Criminal History File, is disseminated to (1) a nongovernmental agency or subunit thereof which allocates a substantial part of its annual budget to the administration of criminal justice, whose regularly employed peace officers have full police powers pursuant to state law and have complied with the minimum employment standards of governmentally employed police officers as specified by state statute; (2) a noncriminal justice governmental department of motor vehicle or driver's license registry established by a statute, which provides vehicles registration and driver record information to criminal justice agencies; (3) a governmental regional dispatch center, established by a state statute, resolution, ordinance or Executive order, which provides communications services to criminal justice agencies; and (4) the national Automobile Theft Bureau, a nongovernmental nonprofit agency which acts as a national clearinghouse for information on stolen vehicles and offers free assistance to law enforcement agencies concerning automobile thefts, identification and recovery of stolen vehicles.

Disclosures of information from this system, as described above, are for the purpose of providing information to authorized agencies to facilitate the apprehension of fugitives, the location of missing persons, the location and/or return of stolen property, or similar criminal justice objectives.

Information on missing children, missing adults who were reported missing while children, and unidentified living and deceased persons may be disclosed to the National Center for Missing and Exploited Children (NCMEC). The NCMEC is a nongovernmental, nonprofit, federally funded corporation, serving as a national resource and technical assistance clearinghouse focusing on missing and exploited children. Information is disclosed to NCMEC to assist it in its efforts to provide technical assistance and education to parents and local governments regarding the problems of missing and exploited children, and to operate a nationwide missing children hotline to permit members of the public to telephone the Center from anywhere in the United States with information about a missing child.

Release of information to the news media: Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2, may be made available from systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Release of information to Members of Congress: Information contained in systems of records maintained by the Department of Justice, not otherwise requested to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the Member's behalf whom the Member or staff requests the information on behalf of and at the request of the individual who is the subject of the record.

Release of Information to the National Archives and Records Administration (NARA) and to the General Services Administration (GSA): A record from a system of records may be disclosed as a routine use to NARA and GSA in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Information maintained in the NCIC system is stored electronically for use in a computer environment.

Retrievability:

On-line access to data in NCIC is achieved by using the following search descriptors 1. Vehicle file:

(a) Vehicle identification number:

(b) License plate number:

(c) NCIC number (unique number assigned by the NCIC computer to each NCIC record). 2. License Plate file: (a) License plate number: (b) NCIC number. 3. Gun file: (a) Serial number of gun: (b) NCIC number. 4. Article File: (a) Serial number of article: (b) NCIC number. 5. Wanted Person File U.S. Secret Service Protective File, Foreign Fugitive File, and Canadian Warrant File: (a) Name and one of the following numerical identifiers, date of birth, FBI Number (number assigned by the Federal Bureau of Investigation to an arrest fingerprint record). Social Security number (It is noted the requirements of the Privacy Act with regard to the solicitation of Social Security numbers have been brought to the attention of the members of the NCIC system). Operator's license number (drivers number). Miscellaneous identifying number (military number or number assigned by Federal, state, or local authorities to an individual's record). Origination agency case number. (b) Vehicle or license plate known to be in the possession of the wanted person. (c) NCIC number (unique number assigned to each NCIC record). 6. Securities File: (a) Type, serial number, denomination of security; (b) Type of security and name of owner of security; (c) Social Security number of owner of security; (d) NCIC number. 7. Boat File: (a) Registration document number; (b) Hull serial number: (c) NCIC number. 8. Computerized Criminal History File: (a) Name, sex, race and date of birth: (b) FBI number: (c) State identification number; (d) Social Security number; (e) Miscellaneous number. 9. Missing Person File: Same as "Wanted Person" File, plus the age, sex, race, height and weight, eye and hair color, of the missing individual. 10. Unidentified Person File: Age, sex, race, height and weight, eye and hair color, of the unidentified individual.

Safeguards:

Data stored in the NCIC is documented criminal justice agency information and access to that data is restricted to duly authorized criminal justice agencies. The following security measures are the minimum to be adopted by all criminal justice agencies having access to the NCIC.

Computerized Criminal History File. These measures are designed to prevent unauthorized access to the system data and/or unauthorized use of data obtained from the computerized file.

1. Computer Center: a. The criminal justice agency computer site must have adequate physical security to protect against any unauthorized personnel gaining access to the computer equipment or to any of the stored data. b. Since personnel at these computer centers can have access data stored in the system, they must be screened thoroughly under the authority and supervision of an NCIC control terminal agency. (This authority and supervision may be delegated to responsible criminal justice agency personnel in the case of a satellite computer center being serviced through a stated control terminal agency.) This screening will also apply to non-criminal justice maintenance or technical personnel. c. All visitors to these computer centers must be accompanied by staff personnel at all times. d. Computers having access to the NCIC must have the proper computer instructions written and other built-in controls to prevent criminal history data from being accessible to any terminals other than authorized terminals. e. Computers having access to the NCIC must maintain a record of all transactions against the criminal history filed in the same manner the NCIC computer logs all transactions. The NCIC identifies each specific agency entering or receiving information and maintains a record of those transactions. This transaction record must be monitored and reviewed on a regular basis to detect any possible misuse of criminal history data. f. Each State Control terminal shall build its data system around a central computer, through which each inquiry must pass for screening and verification. The configuration and operation of the center shall provide for the integrity of the data base.

2. Communications: a. Lines/channels being used to transmit criminal history information must be dedicated solely to criminal justice, i.e., there must be no terminals belonging to agencies outside the criminal justice system sharing these lines/channels. b. Physical security of the lines/channels must be protected to guard against clandestine devices being utilized to intercept of inject system traffic.

3. Terminal Devices Having Access to NCIC: a. All agencies having terminals on the system must be required to physically place these terminals in secure locations within the authorized agency. b. The agencies having terminals with access to criminal history must have terminal operators screened and restricted access to the terminal to a minimum number of authorized employees. c. Copies of criminal history data obtained from terminal devices must be afforded security to prevent any unauthorized access to or use of the data. d. All remote terminals on NCIC Computerized Criminal History will maintain a hard copy of computerized criminal history inquiries with notations of individual making request for record (90 days).

Retention and disposal:

Unless otherwise removed, records will be retained in files as follows:

1. Vehicle File: a. Unrecovered stolen vehicle records (including snowmobile records) which do not contain vehicle identification numbers (VIN) therein, will be purged from file 90 days after date of entry. Unrecovered stolen vehicle records (including snowmobile records) which contain VIN's will remain in file for the year of entry plus 4. Unrecovered vehicles wanted in conjunction with a felony will remain in file for 90 days after entry. In the event a longer retention period is desired, the vehicle must be reentered. c. Unrecovered stolen VIN plates, certificates or origin or title, and serially numbered stolen vehicles engines or transmissions will remain in file for the year of entry plus 4.

(Job No. NC1-65-82-4, Part E. 13 h.(1))

2. License Plate File: Unrecovered stolen license plates not associated with a vehicle will remain in file for one year after the end of the plate's expiration year as shown in the record.

(Job No. NC1-65-82-4, Part E. 13 h.(2))

3. Gun file: a. Unrecovered weapons will be retained in file for an indefinite period until action is taken by the originating agency to clear the record. b. Weapons entered in file as "recovered" weapons will remain in file for the balance of the year entered plus 2.

(Job No. NC1-65-82-4, Part E. 13 h.(3))

4. Article File: Unrecovered stolen articles will be retained for the balance of the year entered plus one year.

(Job No. NC1-65-82-4, Part E. 13 h.(4))

5. Wanted Person File: Person not located will remain in file indefinitely until action is taken by the originating agency to clear the record (except "Temporary Felony Wants", which will be automatically removed from the file after 48 hours).

(Job No. NC1-65-87-114, Part E. 13 h.(7))

6. Securities File: Unrecovered, stolen, embezzled, counterfeited or missing securities will be retained for the balance of the year entered plus 4, except for travelers checks and money orders, which will be retained for the balance of the year entered plus 2.

(Job No. NC1-65-82-4, Part E. 13h. (5))

7. Boat File: Unrecovered stolen boats will be retained in file for the balance of the year entered plus 4. Unrecovered stolen boat records which do not contain a hull serial number will be purged from file 90 days after date of entry.

(Job No. NC1-65-82-4, Part E. 13h. (6))

8. Missing Persons File: Will remain in the file until the individual is located or, in the case of unemancipated persons, the individual reaches the age of emancipation as defined by law of his state.

(Job No. N 1-65-87-11, Part E. 13h. (8))

9. Computerized Criminal History File: When an individual reaches age of 80.

(Job No. NC1-65-76-1)

10. U.S. Secret Service Protective File: Will be retained until names are removed by the U.S. Secret Service.

11. Foreign Fugitive File: Person not located will remain in file indefinitely until action is taken by the originating agency to clear the record.

12. Canadian Warrant File: Person and located will remain in file indefinitely until action is taken by the originating agency to clear the record.

13. Unidentified Person File: Will be retained for the remainder of the year of entry plus 9.

System manager(s) and address:

Director, Federal Bureau of Investigation, J. Edgar Hoover F.B.I. Building, 9th and Pennsylvania Avenue NW., Washington, D.C. 20535.

Notification procedure:

Same as the above.

Record access procedures:

It is noted the Attorney General is exempting this system from the access and contest procedures of the Privacy Act. However, the following alternative procedures are available to requester. The procedures by which an individual may obtain a copy of his computerized Criminal History are as follows:

If an individual has a criminal record supported by fingerprints and that record has been entered in the NCIC CCH File, it is available to that individual for review, upon presentation of appropriate identification and in accordance with applicable State and Federal administrative and statutory regulations.

Appropriate identification includes being fingerprinted for the purpose of insuring that he is the individual that he purports to be. The record on file will then be verified as his through comparison of fingerprints.

Procedure 1. All requests for review must be made by the subject of his record through a law enforcement agency which has access to the NCIC CCH File. That agency within statutory or regulatory limits can require additional identification to assist in securing a positive identification.

2. If the cooperative law enforcement agency can make an identification with fingerprints previously taken which are on file locally and if the FBI identification number of the individuals's record is available to that agency, it can make an on-line inquiry of NCIC to obtain his record on-line or, if it does not have suitable equipment to obtain an on-line response, obtain the record from Washington, D.C. by mail. The individual will then be afforded the opportunity to see that record.

3. Should the cooperating law enforcement agency not have the individual's fingerprints on file locally, it is necessary for that agency to relate his prints to an existing record by having his identification prints compared with those already on file in the FBI or possibly, in the State's central identification agency.

Contesting record procedures:

The subject of the requested record shall request the appropriate arresting agency, court, or correctional agency to initiate action necessary to correct any stated inaccuracy in his record or provide the information needed to make the record complete.

Record source categories:

Information contained in the NCIC system is obtained from local, State, Federal and international criminal justice agencies.

Systems exempted from certain provisions of the act:

The Attorney General has exempted this system from subsection (c)(3) and (4), (d), (e) (1), (2) and (3), (e)(4) (G), (H), (e)(8) (f) and (g) of the Privacy Act pursuant to 5 U.S.C. 552a (j)(2) and (k)(3). Rules have been promulgated in accordance with the requirements of 5 U.S.C. 553 (b), (c) and (e) and have been published in the Federal Register.

JUSTICE/FBI-002

System name:

The FBI Central Records System.

System location:

a. Federal Bureau of Investigation, J. Edgar Hoover FBI Building, 10th and Pennsylvania Avenue, NW., Washington, DC 20535; b. 57 field divisions (see Appendix); c. 16 Legal Attachés (see Appendix).

Categories of individuals covered by the system:

a. Individuals who relate in any manner to official FBI investigations including, but not limited to subjects, suspects, victims, witnesses, and close relatives and associates who are relevant to an investigation.

b. Applicants for and current and former personnel of the FBI and persons related thereto who are considered relevant to an applicant investigation, personnel inquiry, or other personnel matters.

c. Applicants for and appointees to sensitive positions in the United States Government and persons related thereto who are considered relevant to the investigation.

d. Individuals who are the subject of unsolicited information, who offer unsolicited information, request assistance, and make inquiries concerning record material, including general correspondence, and contacts with other agencies, businesses, institutions, clubs; the public and the news media.

e. Individuals associated with administrative operations or services including pertinent functions, contractors and pertinent persons related thereto.

(All manner of information concerning individuals may be acquired in connection with and relating to the varied investigative responsibilities of the FBI which are further described in "CATEGORIES OF RECORDS IN THE SYSTEM." Depending on the nature and scope of the investigation this information may include, among other things, personal habits and conduct, financial information, travel and organizational affiliation of individuals. The information collected is made a matter of record and placed in FBI files.)

Categories of records in the system:

The FBI Central Records Systems—The FBI utilizes a central records system of maintaining its investigative, personnel, applicant, administrative, and general files. This system consists of one numerical sequence of subject matter files, an alphabetical index to the files, and a supporting abstract system to facilitate processing and accountability of all important mail placed in files. This abstract system is both a textual and an automated capability for locating mail. Files kept in FBI field offices are also structured in the same manner, except they do not utilize an abstract system.

The FBI has 266 classifications used in its basic filing system which pertain primarily to Federal violations over which the FBI has investigative jurisdiction. However, included in the 266 classifications are personnel, applicant, and administrative matters to facilitate the overall filing scheme. These classifications are as follows (the word "obsolete" following the name of the classification indicates the FBI is no longer initiating investigative cases in these matters, although the material is retained for reference purposes):

1. Training Schools; National Academy Matters; FBI National Academy Applicants. Covers general information concerning the FBI National Academy, including background investigations of individual candidates.

2. Neutrality Matters. Title 18, United States Code, Sections 956 and 958-962; Title 22, United States Code, Sections 1934 and 401.

3. Overthrow or Destruction of the Government. Title 18, United States Code, Section 2385.

4. National Firearms Act; Federal Firearms Act; State Firearms Control Assistance Act; Unlawful Possession or Receipt of Firearms. Title 26, United States Code, Sections 5801-5812; Title 18, United States Code, Sections 921-928; Title 18, United States Code, Sections 1201-1203.

5. Income Tax. Covers violations of Federal income tax laws reported to the FBI. Complaints are forwarded to the Commissioner of the Internal Revenue Service.

6. Interstate Transportation of Strikebreakers. Title 18, United States Code, Section 1231.

7. Kidnapping. Title 18, United States Code, Sections 1201 and 1202.

8. Migratory Bird Act. Title 18, United States Code, Section 43; Title 16, United States Code, Section 703 through 718.

9. Extortion. Title 18, United States Code, Sections 876, 877, 875, and 873.

10. Red Cross Act. Title 18, United States Code, Sections 706 and 917.

11. Tax (Other than Income). This classification covers complaints concerning violations of Internal Revenue law as they apply to other than alcohol, social security and income and profits taxes, which are forwarded to the Internal Revenue Service.

12. Narcotics. This classification covers complaints received by the FBI concerning alleged violations of Federal drug laws. Complaints are forwarded to the headquarters of the Drug Enforcement Administration (DEA), or the nearest district office of DEA.

13. Miscellaneous. Section 125, National Defense Act, Prostitution; Selling Whiskey Within Five Miles Of An Army Camp. 1920 only. Subjects were alleged violators of abuse of U.S. flag, fraudulent enlistment, selling liquor and operating houses of prostitution within restricted bounds of military reservations. Violations of Section 13 of the Selective Service Act (Conscription Act) were enforced by the Department of Justice as a war emergency measure with the Bureau exercising jurisdiction in the detection and prosecution of cases within the purview of that Section.

14. Sedition. Title 18, United States Code, Sections 2387, 2388, and 2391.

15. Theft from Interest Shipment. Title 18, United States Code, Section 659; Title 18, United States Code, Section 660; Title 18, United States Code, Section 2117.

16. Violations of Federal Injunction (obsolete). Consolidated into Classification 69, "Contempt of Court".

17. Fraud Against the Government—Veterans Administration, Veterans Administration Matters. Title 18, United States Code, Section 287, 289, 290, 371, or 1001; and Title 38, United States Code, Sections 787(a), 787(b), 3405, 3501, and 3502.

18. May Act. Title 18, United States Code, Section 1384.

19. Censorship Matter (obsolete). Pub. L. 354, 77th Congress.

20. Federal Grain Standards Act (obsolete) 1920 only. Subjects were alleged violators of contracts for sale. Shipment of Interstate Commerce, Section 5, U.S. Grain Standards Act.

21. Food and Drugs. This classification covers complaints received concerning alleged violations of the Food, Drug and Cosmetic Act; Tea Act; Import Milk Act; Caustic Poison Act; and Filled Milk Act. These complaints are referred to the Commissioner of the Food and Drug Administration of the field component of that Agency.

22. National Motor Vehicle Traffic Act, 1922-27 (obsolete). Subjects were possible violators of the National Motor Vehicle Theft Act; Automobiles seized by Prohibitions Agents.

23. Prohibition. This classification covers complaints received concerning bootlegging activities and other violations of the alcohol tax laws. Such complaints are referred to the Bureau of Alcohol, Tobacco and Firearms, Department of the Treasury, or field representatives of the Agency.

24. Profiteering 1920-42. (obsolete) Subjects are possible violaters of the Lever Act—Profiteering in food and clothing or accused company was subject of file. Bureau conducted investigations to ascertain profits.

25. Selective Service Act; Selective Training and Service Act. Title 50, United States Code, Section 462; Title 50, United States Code, Section 459.

26. Interstate Transportation of Stolen Motor Vehicle; Interstate Transportation of Stolen Aircraft. Title 18, United States Code, Sections 2311 (in part), 2312, and 2313.

27. Patent Matter. Title 35, United States Code, Sections 104 and 105.

28. Copyright Matter, Title 17, United States Code, Sections 104 and 105.

29. Bank Fraud and Embezzlement. Title 18, United States Code, Sections 212, 213, 215, 334, 655–657, 1004–1006, 1008, 1009, 1014, and 1306; Title 12, United States Code, Section 1725(g).

30. Interstate Quarantine Law, 1922–25 (obsolete). Subjects alleged violators of Act of February 15, 1893, as amended, regarding interstate travel of persons afflicted with infectious diseases. Cases also involved unlawful transportation of animals, Act of February 2, 1903. Referrals were made to Public Health Service and the Department of Agriculture.

31. White Slave Traffic Act. Title 18, United States Code, Section 2421–2424.

32. Identification (Fingerprint) Matters. This classification covers general information concerning Identification (fingerprint) matters.

33. Uniform Crime Reporting. This classification covers general information concerning the Uniform Crime Reports, a periodic compilation of statistics of criminal violations throughout the United States.

34. Violation of Lacy Act. 1922–43. (obsolete) Unlawful Transportation and shipment of black bass and fur seal skins.

35. Civil Service. This classification covers complaints received by the FBI concerning Civil Service matters which are referred to the Office of Personnel Management in Washington or regional offices of that Agency.

36. Mail Fraud. Title 18, United States Code, Section 13341.

37. False Claims Against the Government. 1921–22. (obsolete) Subjects submitted claims for allotment, vocational training, compensation as veterans under the Sweet Bill. Letters were generally referred elsewhere (Veterans Bureau). Violators apprehended for violation of Article No. 1, War Risk Insurance Act.

38. Application for Pardon to Restore Civil Rights. 1921–35. (obsolete) Subjects allegedly obtained their naturalization papers by fraudulent means. Cases later referred to Immigration and Naturalization Service.

39. Falsely Claiming Citizenship. (obsolete) Title 18, United States Code, Sections 911 and 1015(a)(b).

40. Passport and Visa Matter. Title 18, United States Code, Sections 1451–1546.

41. Explosives (obsolete). Title 50, United States Code, Sections 121 through 144.

42. Deserter; Deserter, Harboring. Title 10, United States Code, Sections 808 and 885.

43. Illegal Wearing of Uniforms; False Advertising or Misuse of Names, Words, Emblems or Insignia; Illegal Manufacturer, Use, Possession, or Sale of Emblems and Insignia; Illegal Manufacture, Possession, or Wearing of Civil Defense Insignia; Miscellaneous, Forging or Using Forged Certificate of Discharge from Military or Naval Service; Miscellaneous, Falsely Making or Forging Naval, Military, or Official Pass; Miscellaneous, Forging or Counterfeiting Seal of Department or Agency of the United States, Misuse of the Great Seal of the United States or of the Seals of the President or the Vice President of the United States; Unauthorized Use of "Johnny Horizon" Symbol; Unauthorized Use of Smokey Bear Symbol. Title 18, United States Code, Sections 702, 703, and 704; Title 18, United States Code, Sections 701, 705, 707, and 710; Title 36, United States Code, Section 182; Title 50, Appendix, United States Code, Section 2284; Title 46, United States Code, Section 249; title 18, United States Code, Sections 498, 499, 506, 709, 711, 711a, 712, 713, and 714; Title 12, United States Code, Sections 1457 and 1723a; Title 22, United States Code, Section 2518.

44. Civil Rights; Civil Rights, Election Laws, Voting Rights Act, 1965, Title 18, United States Code, Sections 241, 242, and 245; Title 42, United States Code, Section 1973; Title 18, United States Code, Section 243; Title 18, United States Code, Section 244, Civil Rights Act—Federally Protected Activities; Civil Rights Act—Overseas Citizens Voting Rights Act of 1975.

45. Crime on the High Seas (Includes stowaways on boats and aircraft). Title 18, United States Code, Sections 7, 13, 1243, and 2199.

46. Fraud Against the Government: (Includes Department of Health, Education and Welfare; Department of Labor (CETA), and Miscellaneous Government Agencies) Anti-Kickback Statute; Dependent Assistance Act of 1950; False Claims, Civil; Federal-Aid Road Act; Lead and Zinc Act; Public Works and Economic Development Act of 1965; Renegotiation Act, Criminal; Renegotiation Act, Civil; Trade Expansion Act of 1962; Unemployment Compensation Statutes; Economic Opportunity Act. Title 50, United States Code, Section 1211 et seq.; Title 31, United States Code, Section 231; Title 41, United States Code, Section 119; Title 40, United States Code, Section 489.

47. Impersonation. Title 18, United States Code, Section 912, 913, 915, and 916.

48. Postal. Violation (Except Mail Fraud). This classification covers inquiries concerning the Postal Service and complaints pertaining to the theft of mail. Such complaints are either forwarded to the Postmaster General or the nearest Postal Inspector.

49. Bankruptcy Fraud. Title 18, United States Code, Sections 151–155.

50. Involuntary Servitude and Slavery. U.S. Constitution, 13th Amendment; Title 18, United States Code, sections 1581–1588, 241, and 242.

51. Jury Panel Investigations. This classification covers jury panel investigations which are requested by the appropriate Assistant Attorney General as authorized by 28 U.S.C. 533 and AG memorandum No.781, dated 11/9/72. These investigations can be conducted only up-on such a request and consist of an indices and arrest check, and only in limited important trials where defendant could have influence over a juror.

52. Theft, Robbery, Embezzlement, Illegal Possession or Destruction of Government Property. Title 18, United States Code, Sections 641, 1024, 1660, 2112, and 2114. Interference With Government Communications, Title 18, U.S.C., Section 1632.

53. Excess Profits On Wool. 1918 (obsolete). Subjects possible violator of Government Control of Wool Clip of 1918.

54. Customs Laws and Smuggling. This classification covers complaints received concerning smuggling and other matters involving importation and entry of merchandise into and the exportation of merchandise from the United States. Complaints are referred to the nearest district office of the U.S. Customs Service or the Commissioner of Customs, Washington, DC.

55. Counterfeiting. This classification covers complaints received concerning alleged violations of counterfeiting of U.S. coins, notes, and other obligations and securities of the Government. These complaints are referred to either the Director, U.S. Secret Service, or the nearest office of that Agency.

56. Election Laws. Title 18, United States Code, Sections 241, 242, 245, and 591–607; Title 42, United States Code, Section 1973; Title 26, United States Code, Sections 9012 and 9042; Title 2, United States Code, Sections 431–437, 439, and 441.

57. War Labor Dispute Act (obsolete). Pub. L. 89–77th Congress.

58. Bribery; Conflict of Interest. Title 18, United States Code, Sections 201–203, 205–211; Pub. L. 89–4 and 89–136.

59. World War Adjusted Compensation Act of 1924–44. (obsolete) Bureau of Investigation was charged with the duty of investigating alleged violations of all sections of the World War Adjusted Compensation Act (Pub. L. 472, 69th Congress (H.R. 10277)) with the exception of Section 704.

60. Anti-Trust. Title 15, United States Code, Sections 1–7, 12–27, and 13.

61. Treason or Misprision of Treason. Title 18, United States Code, Sections 2381, 2382, 2389, 2390, 756, and 757.

62. Administrative Inquiries. Misconduct Investigations of Officers and Employees of the Department of Justice and Federal Judiciary; Census Matters (Title 13, United States Code, Sections 211–214, 221–224, 304, and 305) Domestic Police Cooperation; Eight-Hour-Day Law (Title 40, United States, Code, Sections 321, 322, 325a, 326); Fair Credit Reporting Act (Title 15, United States Code, Sections 1681q and 1681r); Federal Cigarette Labeling and Advertising Act (Title 15, United States Code, Section 1333); Federal Judiciary Investigations; Kickback Racket Act (Title 18, United States Code, Section 874); Lands Division Matter, other Violations and/or Matters; Civil Suits—Miscellaneous; Soldiers' and Sailors' Civil Relief Act of 1940 (Title 50, Appendix, United States Code, Sections 510–590); Tariff Act of 1930 (Title 19, United States Code, Section 1304); Unreported Interstate Shipment of Cigarettes (Title 15, United States Code, Sections 375 and 376); Fair Labor Standards Act of 1938 (Wages and Hours Law) (Title 29, United States Code, Sections 201–219); Conspiracy (Title 18, United States Code, Section 371 (formerly Section 88, Title 18, United States Code); effective September 1, 1948).

63. Miscellaneous—Nonsubversive. This classification concerns correspondence from the pubic which does not relate to matters within FBI jurisdiction.

64. Foreign Miscellaneous. This classification is a control file utilized as a repository for intelligence information of value identified by country. More specific categories are placed in classification 108–113.

65. Espionage. Attorney General Guidelines on Foreign Counterintelligence; Internal Security Act of 1950; Executive Order 11905.

66. Administrative Matters. This classification covers such items as supplies, automobiles, salary matters and vouchers.

67. Personnel Matters. This classification concerns background investigations of applicants for employment with the FBI and folders for current and former employees.

68. Alaskan matters (obsolete). This classification concerns FBI investigations in the Territory of Alaska prior to its becoming a State.

69. Contempt of Court. Title 18, United States Code, Sections 401, 402, 3285, 3691, 3692; Title 10, United States Code, Section 847; and Rule 42, Federal Rules of Criminal Procedure.

70. Crime on Government Reservation. Title 18, United States Code, Sections 7 and 13.

71. Bills of Lading Act, Title 49, United States Code, Section 121.

72. Obstruction of Criminal Investigations; Obstruction of Justice, Obstruction of Court Orders. Title 18, United States Code, Sections 1503 through 1510.

73. Application for Pardon After Completion of Sentence and Application for Executive Clemency. This classification concerns the FBI's background investigation in connection with pardon applications and requests for executive clemency.

74. Perjury. Title 18, United States Code, Sections 1621, 1622, and 1623.

75. Bondsmen and Sureties. Title 18, United States Code, Section 1506.

76. Escaped Federal Prisoner, Escape and Rescue; Probation Violator. Parole Violator; Parole Violator; Mandatory Release Violator. Title 18, United State Code, Sections 751-757, 1072; Title 18, United States Code, Sections 3651-3656; and Title 18, United States Code, Sections 4202-4207, 5037, and 4161-4166.

77. Applicants (Special Inquiry, Departmental and Other Government Agencies, except those having special classifications). This classification covers the background investigations conducted by the FBI in connection with the aforementioned positions.

78. Illegal Use of Government Transportation Requests. Title 18, United States Code, Section 287, 495, 508, 641, 1001 and 1002.

79. Missing Persons. This classification covers the FBI's Identification Division's assistance in the locating of missing persons.

80. Laboratory Research Matters. At FBI Headquarters this classification is used for Laboratory research matters. In field office files this classification covers the FBI's public affairs matters and involves contact by the FBI with the general public, Federal and State agencies, the Armed Forces, corporations, the news media and other outside organizations.

81. Gold Hoarding. 1933-45. (obsolete) Gold Hoarding investigations conducted in accordance with an Act of March 9, 1933 and Executive Order issued August 28, 1933. Bureau instructed by Department to conduct no further investigations in 1935 under the Gold Reserve Act of 1934. Thereafter, all correspondence referred to Secret Service.

82. War Risk Insurance (National Life Insurance (obsolete)). This classification covers investigations conducted by the FBI in connection with civil suits filed under this statute.

83. Court of Claims. This classification covers requests for investigations of cases pending in the Court of Claims from the Assistant Attorney General in charge of the Civil Division of the Department of Justice.

84. Reconstruction Finance Corporation Act (obsolete). Title 15, United States Code, Chapter 14.

85. Home Owner Loan Corporation (obsolete). This classification concerned complaints received by the FBI about alleged violations of the Home Owners Loan Act, which were referred to the Home Owners Loan Corporation. Title 12, United States Code, Section 1464.

86. Fraud Against the Government—Small Business Administration. Title 15, United States Code, Section 645; Title 18, United States Code, Sections 212, 213, 215, 216, 217, 657, 658, 1006, 1011, 1013, 1014, 1906, 1907, and 1909.

87. Interstate Transportation of Stolen Property (Heavy Equipment—Commercialized Theft). Title 18, United States Code, Sections 2311, 2314, 2315 and 2318.

88. Unlawful Flight to Avoid Prosecution, Custody, or Confinement; Unlawful Flight to Avoid Giving Testimony. Title 18, United States Code, Sections 1073 and 1074.

89. Assaulting or Killing a Federal Officer, Crimes Against Family Members, Congressional Assassination Statute. Title 18, United States Code, Sections 1111, 1114, 2232.

90. Irregularities in Federal Penal Institutions. Title 18, United States Code, Sections 1791 and 1792.

91. Bank Burglary; Bank Larceny; Bank Robbery. Title 18, United States Code, Section 2113.

92. Racketeer Enterprise Investigations. Title 18, United States Code, Section 3237.

93. Ascertaining Financial Ability. This classification concerns requests by the Department of Justice for the FBI to ascertain a person's ability to pay a claim, fine or judgment obtained against him by the United States Government.

94. Research matters. This classification concerns all general correspondence of the FBI with private individuals which does not involve any substantive violation of Federal law.

95. Laboratory Cases (Examination of Evidence in Other Than Bureau's Cases). The classification concerns non-FBI cases where a duly constituted State, county or a municipal law enforcement agency in a criminal matter has requested an examination of evidence by the FBI Laboratory.

96. Alien Applicant (obsolete). Title 10, United States Code, Section 310.

97. Foreign Agents Registration Act, Title 18, United States Code, Section 951; Title 22, United States Code, Sections 611-621; Title 50, United States Code, Sections 851-857.

98. Sabotage. Title 18, United States Code, Sections 2151-2156; Title 50, United States Code, Section 797.

99. Plant Survey (obsolete). This classification covers a program wherein the FBI inspected industrial plants for the purpose of making suggestions to the operations of those plants to prevent espionage and sabotage.

100. Domestic Security. This classification covers investigations by the FBI in the domestic security field, e.g., Smith Act violations.

101. Hatch Act (obsolete). Pub. L. 252, 76th Congress.

102. Voorhis Act, Title 18, United States Code, Section 1386.

103. Interstate Transportation of Stolen Livestock, Title 18, United States Code, Section 667, 2311, 2316 and 2317.

104. Servicemen's Dependents Allowance Act of 1942 (obsolete). Pub. L. 625, 77th Congress, Sections 116-119.

105. Foreign Counterintelligence Matters. Attorney General Guidelines on Foreign Counterintelligence. Executive Order 11905.

106. Alien Enemy Control; Escaped Prisoners of War and Internees, 1944-55 (obsolete). Suspects were generally suspected escaped prisoners of war, members of foreign organizations, failed to register under the Alien Registration Act. Cases ordered closed by Attorney General after alien enemies returned to their respective countries upon termination of hostilities.

107. Denaturalization Proceedings (obsolete). This classification covers investigations concerning allegations that an individual fraudulently swore allegiance to the United States or in some other manner illegally obtained citizenship to the U.S., Title 8, United States Code, Section 738.

108. Foreign Travel Control (obsolete). This classification concerns security-type investigations wherein the subject is involved in foreign travel.

109. Foreign Political Matters. This classification is a control file utilized as a repository for intelligence information concerning foreign political matters broken down by country.

110. Foreign Economic Matters. This classification is a control file utilized as a repository for intelligence information concerning foreign economic matters broken down by country.

111. Foreign Social Conditions. This classification is a control file utilized as a repository for intelligence information concerning foreign social conditions broken down by country.

112. Foreign Funds. This classification is a control file utilized as a repository for intelligence information concerning foreign funds broken down by country.

113. Foreign Military and Naval Matters. This classification is a control file utilized as a repository for intelligence information concerning foreign military and naval matters broken down by country.

114. Alien Property Custodian Matter (obsolete). Title 50, United States Code, Sections 1 through 38. This classification covers investigations concerning ownership and control of property subject to claims and litigation under this statute.

115. Bond Default; Bail Jumper. Title 18, United States Code, Sections 3146-3152.

116. Department of Energy Applicant; Department of Energy, Employee. This classification concerns background investigations conducted in connection with employment with the Department of Energy.

117. Department of Energy, Criminal. Title 42, United States Code, Sections 2011-2281; Pub. L. 93-438.

118. Applicant, Intelligence Agency (obsolete). This classification covers applicant background investigations conducted of persons under consideration for employment by the Central Intelligence Group.

119. Federal Regulation of Lobbying Act. Title 2, United States Code, Sections 261-270.

120. Federal Tort Claims Act. Title 28, United States Code, Sections 2671 to 2680. Investigations are conducted pursuant to specific request from the Department of Justice in connection with cases in which the Department of Justice represents agencies sued under the Act.

121. Loyalty of Government Employees (obsolete). Executive Order 9835.

122. Labor Management Relations Act, 1947. Title 29, United States Code, Sections 161, 162, 176–178 and 186.

123. Section Inquiry, State Department, Voice of America (U.S. Information Center) (Pub. L. 402, 80th Congress) (obsolete). This classification covers loyalty and security investigations on personnel employed by or under consideration for employment for Voice of America.

124. European Recovery Program (International Cooperation Administration), formerly Foreign Operations Administration, Economic Cooperation Administration or E.R.P., European Recovery Programs; A.I.D., Agency for International Development (obsolete). This classification covers security and loyalty investigations of personnel employed by or under consideration for employment with the European Recovery Program, Pub. L. 472, 80th Congress.

125. Railway Labor Act; Railway Labor Act—Employer's Liability Act. Title 45, United States Code, Sections 151–163 and 181–188.

126. National Security Resources Board, Special Inquiry (obsolete). This classification covers loyalty investigations on employees and applicants of the National Security Resources Board

127. Sensitive Positions in the United States Government, Pub. L. 266 (obsolete). Pub. L. 81st Congress.

128. International Development Program (Foreign Operations Administration) (obsolete). This classification covers background investigations conducted on individuals who are to be assigned to duties under the International Development Program.

129. Evacuation Claims (obsolete). Pub. L. 886, 80th Congress.

130. Special Inquiry. Armed Forces Security Act (obsolete). This classification covers applicant-type investigations conducted for the Armed Forces security agencies.

131. Admiralty Matter. Title 46, United States Code, Sections 741–752 and 781–799.

132. Special Inquiry, Office of Defense Mobilization (obsolete). This classification covers applicant-type investigations of individuals associated with the Office of Defense Mobilization.

133. National Science Foundation Act. Applicant (obsolete). Pub. L. 507, 81st Congress.

134. Foreign Counterintelligence Assets. This classification concerns individuals who provide information to the FBI concerning Foreign Counterintelligence matters.

135. PROSAB (Protection of Strategic Air Command Bases of the U.S. Air Force (obsolete). This classification covered contacts with individuals with the aim to develop information useful to protect bases of the Stategic Air Command.

136. American Legion Contact (obsolete). This classification covered liaison contacts with American Legion officers.

137. Informants. Other Than Foreign Counterintelligence Assets. This classification concerns individuals who furnish information to the FBI concerning criminal violations on a continuing and confidential basis.

138. Loyalty of Employees of the United Nations and Other Public International Organizations. This classification concerns FBI investigations based on referrals from the Office of Personnel Management wherein a question or allegation has been received regarding the applicant's loyalty to the U.S. Government as described in Executive Order 10422.

139. Interception of Communications (Formerly, Unauthorized Publication or Use of Communications). Title 47, United States Code, Section 605; Title 47, United States Code, Section 501; Title 18, United States Code, Sections 2510–2513.

140. Security of Government Employees; Fraud Against the Government, Executive Order 10450.

141. False Entries in Records of Interstate Carriers. Title 47, United States Code, Section 220; Title 49, United States Code, Section 20.

142. Illegal Use of Railroad Pass. Title 49, United States Code, Section 1.

143. Interstate Transportation of Gambling Devices. Title 15, United States Code, Sections 1171 through 1180.

144. Interstate Transportation of Lottery Tickets. Title 18, United States Code, Section 1301.

145. Interstate Transportation of Obscene Materials. Title 18, United States Code, Sections 1462, 1464 and 1465.

146. Interstate Transportation of Prison-Made Goods. Title 18, United States Code, Sections 1761 and 1762.

147. Fraud Against the Government—Department of Housing and Urban Development, Matters. Title 18, United States Code, Sections 657, 709, 1006, and 1010; Title 12, United States Code, Sections 1709 and 1715.

148. Interstate Transportation of Fireworks. Title 18, United States Code, Section 836.

149. Destruction of Aircraft of Motor Vehicles. Title 18, United States Code, Sections 31–35.

150. Harboring of Federal Fugitives, Statistics (obsolete).

151. (Referral cases received from the Office of Personnel Management under Pub. L. 298). Agency for International Development; Department of Energy; National Aeronautics and Space Administration; National Science Foundation; Peace Corps; Action; U.S. Arms Control and Disarmament Agency; World Health Organization; International Labor Organization; International Communications Agency. This classification covers referrals from the Office of Personnel Management where an allegation has been received regarding an applicant's loyalty to the U.S. Government. These referrals refer to applicants from peace Corps; Department of Energy, National Aeronautics and Space Administration, Nuclear Regulatory Commission, United States Arms Control and Disarmament Agency and the International Communications Agency.

152. Switchblade Knife Act. Title 15, United States Code, Sections 1241–1244.

153. Automobile Information Disclosure Act. Title 15, United States Code, Sections 1231–1233.

154. Interstate Transportation of Unsafe Refrigerators. Title 15, United States Code, Sections 1211–1214.

155. National Aeronautics and Space Act of 1958. Title 18, United States Code, Section 799.

156. Employee Retirement Income Security Act. Title 29, United States Code, Sections 1021–1029, 1111, 1131, and 1141; Title 18, United States Code, Sections 644, 1027, and 1954.

157. Civil Unrest. This classification concerns FBI responsibility for reporting information on civil disturbances or demonstrations. The FBI's investigative responsibility is based on the Attorney General's Guidelines for Reporting on Civil Disorders and Demonstrations Involving a Federal Interest which became effective April 5, 1976.

158. Labor-Management Reporting and Disclosure Act of 1959 (Security Matter) (obsolete). Pub. L. 86-257, Section 504.

159. Labor-Management Reporting and Disclosure Act of 1959 (Investigative Matter). Title 29, United States Code, Sections 501, 503, 504, 522, and 530.

160. Federal Train Wreck Statute. Title 18, United States Code, Section 1992.

161. Special Inquiries for White House, Congressional Committee and Other Government Agencies. This classification covers investigations requested by the White House. Congressional committees or other Government agencies.

162. Interstate Gambling Activities. This classification covers information acquired concerning the nature and scope of illegal gambling activities in each field office.

163. Foreign Police Cooperation. This classification covers requests by foreign police for the FBI to render investigative assistance to such agencies.

164. Crime Aboard Aircraft. Title 49, United States Code, Sections 1472 and 1473.

165. Interstate Transmission of Wagering Information. Title 18, United States Code, Section 1064.

166. Interstate Transportation in Aid of Racketeering. Title 18, United States Code, Section 1952.

167. Destruction of Interstate Property. Title 15, United States Code, Sections 1281 and 1282.

168. Interstate Transportation of Wagering Paraphernalia. Title 18, United States Code, Section 1953.

169. Hydraulic Brake Fluid Act (obsolete); 76 Stat. 437, Pub. L. 87–637.

170. Extremist Informants (obsolete) This classification concerns individuals who provided information on a continuing basis on various extremist elements.

171. Motor Vehicle Seat Belt Act (obsolete). Pub. L. 88-201, 80th Congress.

172. Sports Bribery. Title 18, United States Code, Section 224.

173. Public Accommodations. Civil Rights Act of 1964 Public Facilities; Civil Rights Act of 1964 Public Education; Civil Rights Act of 1964 Employment; Civil Rights Act of 1964. Title 42, United States Code, Section 2000; Title 18, United States Code, Section 245.

174. Explosives and Incendiary Devices; Bomb Threats (Formerly, Bombing Matters; Bombing Matters, Threats). Title 18, United States Code, Section 844.

175. Assaulting, Kidnapping or Killing the President (or Vice President) of the United States. Title 18, United States Code, Section 1751.

176. Anti-riot Laws. Title 18, United States Code, Section 245.

177. Discrimination in Housing. Title 42, United States Code, Sections 3601-3619 and 3631.

178. Interstate Obscene or Harrassing Telephone Calls. Title 47, United States Code, Section 223.

179. Extortionate Credit Transactions. Title 18, United States Code, Section 891-896.

180. Desecration of the Flag. Title 18, United States Code, Section 700.

181. Consumer Credit Protection Act, Title 15, United States Code, Section 1611.

182. Illegal Gambline Business: Illegal Gambling Business, Obstruction; Illegal Gambling Business, Forfeiture. Title 18, United States Code, Section 1955; Title 18, United States Code, Section 1511.

183. Racketeer, Influence and Corrupt Organizations. Title 18, United States Code, Sections 1961-1968.

184. Police Killings. This classification concerns investigations conducted by the FBI upon written request from local Chief of Police or duly constituted head of the local agency to actively participate in the investigation of the killing of a police officer. These investigations are based on a Presidential Directive dated June 3, 1971.

185. Protection of Foreign Officials and Officials Guests of the United States. Title 18, United States Code, Sections 112, 970, 1116, 1117 and 1201.

186. Real Estate Settlement Procedures Act of 1974. Title 12, United States Code, Section 2602; Title 12, United States Code, Section 2606, and Title 12, United States Code, Section 2607.

187. Privacy Act of 1974, Criminal. Title 5, United States Code, Section 552a.

188. Crime Resistance. This classification covers FBI efforts to develop new or improved approaches, techniques, systems, equipment and devices to improve and strengthen law enforcement as mandated by the Omnibus Crime Control and Safe Streets Action of 1968.

189. Equal Credit Opportunity Act. Title 15, United States Code, Section 1691.

190. Freedom of Information/Privacy Acts. This classification covers the creation of a correspondence file to preserve and maintain accurate records concerning the handling of requests for records submitted pursuant to the Freedom of Information—Privacy Acts.

191. False Identity Matters. (obsolete) This classification covers the FBI's study and examination of criminal elements' efforts to create false identities.

192. Hobbs Act—Financial Institutions; Commercial Institutions; Armored Carrier. Title 18, United States Code, Section 1951.

193. Hobbs Act—Commercial Institutions (obsolete). Title 18, United States Code, Section 1951; Title 47, United States Code, Section 506.

194. Hobbs Act—Corruption of Public Officials. Title 18, United States Code, Section 1951.

195. Hobbs Act—Labor Related. Title 18, United States Code, Section 1951.

196. Fraud by Wire. Title 18, United States Code, Section 1343.

197. Civil Actions or Claims Against the Government. This classification covers all civil suits involving FBI matters and most administrative claims filed under the Federal Tort Claims Act arising from FBI activities.

198. Crime on Indian Reservations. Title 18, United States Code, Sections 1151, 1152, and 1153.

199. Foreign Counterintelligence—Terrorism. Attorney General Guidelines on Foreign Counterintelligence. Executive Order 11905.

200. Foreign Counterintelligence Matters. Attorney General Guidelines on Foreign Counterintelligence. Executive Order 11905.

201. Foreign Counterintelligence Matters. Attorney General Guidelines on Foreign Counterintelligence. Executive Order 11905.

202. Foreign Counterintelligence Matters. Attorney General Guidelines on Foreign Counterintelligence. Executive Order 11905.

203. Foreign Counterintelligence Matters. Attorney General Guidelines on Foreign Counterintelligence. Executive Order 11905.

204. Federal Revenue Sharing. This classification covers FBI investigations conducted where the Attorney General has been authorized to bring civil action whenever he has reason to believe that a pattern or practice of discrimination in disbursement of funds under the Federal Revenue Sharing status exists.

205. Foreign Corrupt Practices Act of 1977. Title 15, United States Code, Section 78.

206. Fraud Against the Government—Department of Defense, Department of Agriculture, Department of Commerce, Community Services Organization, Department of Transportation. (See classification 46 (supra) for a statutory authority for this and the four following classifications.)

207. Fraud Against the Government—Environmental Protection Agency, National Aeronautics and Space Administration, Department of Energy, Department of Transportation.

208. Fraud Against the Government—General Services Administration.

209. Fraud Against the Government—Department of Health, and Human Services (Formerly, Department of Health, Education, and Welfare).

210. Fraud Against the Government—Department of Labor.

211. Ethics in Government Act of 1978, Title VI (Title 28, Sections 591-596).

212. Foreign Counterintelligence—Intelligence Community Support. This is an administrative classification for the FBI's operational and technical support to other Intelligence Community agencies.

213. Fraud Against the Government—Department of Education.

214. Civil Rights of Institutionalized Persons Act (Title 42, United States Code. Section 1997).

215. Foreign Counterintelligence Matters. Attorney General Guidelines on Foreign Counterintelligence. Executive Order 11905.

216. thru 229. Foreign Counterintelligence Matters. (Same authority as 215)

230. thru 240. FBI Training Matters.

241. DEA Applicant Investigations.

242. Automation Matters.

243. Intelligence Identities Protection Act of 1982.

244. Hostage Rescue Team.

245. Drug Investigative task Force.

246. thru 248. Foreign Counterintelligence Matters. (Same authority as 215)

249. Environmental Crimes—Investigations involving toxic or hazardous waste violations.

250. Tampering With Consumer Products (Title 18, U.S. Code, Section 1395)

251. Controlled Substance—Robbery;—Burglary (Title 18, U.S. Code, Section 2118)

252. Violent Crime Apprehension Program (VICAP). Case folders containing records relevant to the VICAP Program, in conjunction with the National Center for the Analysis of Violent Crime Record System at the FBI Academy; Quantico, Virginia.

253. False Identification Crime Control Act of 1982 (Title 18, U.S. Code, Section 1028—Fraud and Related Activity in Connection With Identification Documents, and Section 1738—Mailing Private Identification Documents Without a Disclaimer)

254. Destruction of Energy Facilities (Title 18, U.S. Code, Section 1365) relates to the destruction of property of nonnuclear energy facilities.

255. Counterfeiting of State and Corporate Securities (Title 18, U.S. Code, Section 511) covers counterfeiting and forgery of all forms of what is loosely interpreted as securities.

256. Hostage Taking—Terrorism (Title 18, U.S. Code, Section 1203) prohibits taking of hostage(s) to compel third party to do or refrain from doing any act.

257. Trademark Counterfeiting Act (Title 18, United States Code, Section 2320) covers the international trafficking in goods which bear a counterfeited trademark.

258. Credit Card Fraud Act of 1984 (Title 18, United States Code, Section 1029) covers fraud and related activities in connection with access devices (credit and debit cards).

259. Security Clearance Investigations Program. (Same authority as 215)

260. Industrial Security Program. (Same authority as 215)

261. Security Officer Matters. (Same authority as 215)

262. Overseas Homicide/Attempted Homicide—International Terrorism. Title 18, United States Code, Section 2331.

263. Office of Professional Responsibility Matters.

264. Computer Fraud and Abuse Act of 1986. Electronic Communications Privacy Act of 1986. Title 18, United States Code, Section 1030; Title 18, United States Code, Section 2701.

265. Acts of Terrorism in the United States—International Terrorist. (Followed by predicate offense from other classification.)

266. Acts of Terrorism in the United States—Domestic Terrorist. (Followed by predicate offense from other classification.)

Records Maintained in FBI Field Divisions—FBI field divisions maintain for limited periods of time investigative, administrative and correspondence records, including files, index cards and related material, some of which are duplicated copies of reports and similar documents forwarded to FBI Headquarters. Most investigative activities conducted by FBI field divisions are reported to FBI Headquarters at one or more stages of the investigation. There are, however, investigative activities wherein no reporting was made to FBI Headquarters, e.g., pending cases not as yet reported and cases which were closed in the field division for any of a number of reasons without reporting to FBI Headquarters.

Duplicate records and records which extract information reported in the main files are also kept in the various divisions of the FBI to assist them in their day-to-day operation. These records are lists of individuals which contain certain biographic data, including physical description and photograph. They may also contain information concerning activities of the individual as reported to FBIHQ by the various field offices. The establishment of these listes is necessitated by the needs of the Division to have immediate access of pertinent information duplicative of data found in the central records without the delay caused by a time-consuming manual search of central indices. The manner of segregating these individuals varies depending on the particular needs of the FBI Division. The information pertaining to individuals who are a part of the list is derivative of information contained in the Central Records System. These duplicative records fall into the following categories:

(1) Listings of individuals used to assist in the location and apprehension of individuals for whom legal process is outstanding (fugitives):

(2) Listings of individuals used in the identification of particular offenders in cases where the FBI has jurisdiction. These listings include various photograph albums and background data concerning persons who have been formerly charged with a particular crime and who may be suspect in similar criminal activities; and photographs of individuals who are unknown but suspected of involvement in a particular criminal activity, for example, bank surveillance photographs:

(3) Listings of individuals as part of an overall criminal intelligence effort by the FBI. This would include photograph albums, lists of individuals known to be involved in criminal activity, including theft from interstate shipment, interstate transportation of stolen property, and individuals in the upper echelon of organized crime.

(4) Listings of individuals in connection with the FBI's mandate to carry out Presidential directives on January 8, 1943, July 24, 1950. December 15, 1953, and February 18, 1976, which designated the FBI to carry out investigative work in matters relating to espionage, sabotage, and foreign counterintelligence. These listings may include photograph albums and other listings containing biographic data regarding individuals. This would include lists of identified and suspected foreign intelligence agents and informants:

(5) Special indices duplicative of the central indices used to access the Central Records System have been created from time to time in conjunction with the administration and investigation of major cases. This duplication and segregation facilitates access to documents prepared in connection with major cases.

In recent years, as the emphasis on the investigation of white collar crime, organized crime, and hostile foreign intelligence operations has increased, the FBI has been confronted with increasingly complicated cases, which require more intricate information processing capabilities. Since these complicated investigations frequently involve massive volumes of evidence and other investigative information, the FBI uses its computers, when necessary to collage, analyze, and retrieve investigative information in the most accurate and expeditious manner possible. It should be noted that all investigative information, which is placed in computerized form, is actually extracted from the main files and that the duplicative computerized information is only maintained as necessary to support the FBI's investigative activities. Information from these internal computerized subsystems of the "Central Records System" is not accessed by any other agency. All disclosures of computerized information are made in printed form in accordance with the routine uses which are set forth below.

Records also are maintained on a temporary basis relevant to the FBI's domestic police cooperating program, where assistance in obtaining information is provided to state and local police agencies.

Also, personnel type information, dealing with such matters as attendance and production and accuracy requirements is maintained by some divisions.

(The following chart identifies various listings or indexes maintained by the FBI which have been or are being used by various divisions of the FBI in their day-to-day operations. The chart identifies the list by name, description and use, and where maintained, i.e. FBI Headquarters and/or Field Office. The number in parentheses in the field office column indicates the number of field offices which maintain these indices. The chart indicates, under "status of index," those indexes which are in current use (designated by the word "active") and those which are no longer being used, although maintained (designated by the word "inactive"). There are 27 separate indices which are classified in accordance with existing regulations and are not included in this chart. The following indices are no longer being used by the FBI and are being maintained at FBIHQ pending receipt of authority to destroy: Black Panther Party Photo Index; Black United Front Index; Security Index; and Wounded Knee Album.

Title of index	Description and use	Status of index	Maintained at—	
			Headquarters	Field office
Administrative Index (ADEX)	Consists of cards with descriptive data on individuals who were subject to investigation in a national emergency because they were believed to constitute a potential or active threat to the internal security of the United States. When ADEX was started in 1971, In was made up of people who were formerly on the Security Index, Reserve Index, and Agitator Index. The index is maintained in two separate locations in FBI Headquarters. ADEX was discontinued in January 1978.	Inactive	Yes	Yes (29).
Anonymous Letter File	Consists of photographs of anonymous communications and extorionate credit transactions, kidnapping, extortion and threatening letters	Active	Yes	No.
Associates of DEA Class 1 Narcotics Violators Listing.	Consists of a computer listing of individuals whom DEA has identified as associates of Class 1 Narcotics Violators	Active	Yes	Yes (59).
Background Investigation Index—Department of Justice.	Consists of cards on persons who have been the subject of a full field investigation in connection with their consideration for employment in sensitive positions with Department of Justice, such as U.S. Attorney, Federal judges, or a high level Department position.	Active	Yes	No.
Background Investigation Index—White House, Other Executive Agencies, and Congress.	Consists of cards on persons who have been the subject of a full field investigation in connection with their consideration for employment in sensitive positions with the White House, Executive agencies (other than the Department of Justice) and the Congress.	Active	Yes	No.
Bank Fraud and Embezzlement Index	Consists of individuals who have been the subject of "Bank Fraud and Embezzlement" investigation. This file is used as an investigative aid.	Active	No	Yes (1).
Bank Robbery Album	Consists of photos of bank robbers, burglars, and larceny subjects. In some field offices it will also contain pictures obtained from local police departments of known armed robbers and thus potential bank robbers. The index is used to develop investigative leads in bank robbery cases and may also be used to show to witnesses of bank robberies. It is usually filed by race, height, and age. This index is also maintained in one resident agency (a suboffice of a field office).	Active	No	Yes (47).
Bank Robbery Nickname Index	Consists of nicknames used by known bank robbers. The index card on each would contain the real name and method of operation and are filed in alphabetical order.	Active	No	Yes (1).
Bank Robbery Note File	Consists of photographs of notes used in bank robberies in which the suspect has been identified. This index is used to help solve robberies in which the subject has not been identified but a note was left. The role is compared with the index to try to match the sentence structure and handwriting for the purpose of identifying possible suspects.	Active	Yes	No.
Bank Robbery Suspect Index	Consists of a control file or index cards with photos, If available, of bank robbers or burglars. In some field offices these people may be part of the bank robbery album. This index is generally maintained and used in the same manner as the bank robbery album.	Active	No	Yes (33).
Car Ring Case Photo Album	Consists of photos of subjects and suspects involved in a large car theft ring investigation. It is used as an investigative aid	Active	No	Yes (3).
Car Ring Case Photo Album and Index.	Consists of photos of subjects and suspects involved in a large car theft ring investigation. The card index maintained in addition to the photo album contains the names and addresses appearing on fradulent title histories for stolen vehicles. Most of these names appearing on these titles are fictitous. But the photo album and card indexes are used as an investigative aid.	Active	No	Yes (1).
Car Ring Case Toll Call Index	Consists of cards with information on persons who subscribe to telephone numbers to which toll calls have been placed by the major subjects of a large car theft ring investigation. It is maintained numerically by telephone number. It is used to facilitate the development of probable cause for a court-approved wiretap.	Active	No	Yes (2).
Car Ring Theft Working Index	Contains cards on individuals involved in car ring theft cases on which the FBI Laboratory is doing examination work	Active	Yes	No.
Cartage Album	Consists of photos with descriptive data of individuals who have been convicted of theft from interstate shipment or interstate transportation of stolen property where there is a reason to believe they may repeat the offense. It is used in investigating the above violations.	Active	No	Yes (3).
Channelizing Index	Consists of cards with the names and case file numbers of people who are frequently mentioned in information reports. The index is used to facilitate the distributing or channeling of informant reports to appropriate files.	Active	No	Yes (9).
Check Circular File	Consists of fliers filed numerically in a control file on fugitives who are notorious fradulent check passers and who are engaged in a continuing operation of passing checks. The fliers which include the subject's name, photo, a summary of the subject's method of operation and other identifying data is used to alert other FBI field offices and business establishments which may be the victims of bad checks.	Active	Yes	Yes (43).
Computerized Telephone Number File (CTNF) Intelligence.	Consists of a computer listing of telephone numbers (and subscribers' names and addresses) utilized by subjects and/or certain individuals which come to the FBI's attention during major investigations. During subsequent investigations, telephone numbers, obtained through subpoena, are matched with the telephone numbers on file to determine connections or associations.	Active	Yes	No.
Con Man Index	Consists of computerized names of individuals, along with company affiliation, who travel nationally and internationally while participating in large-dollar-value financial swindles.	Active	Yes	No.
Confidence Game (Flim Flam) Album.	Consists of photos with descriptive information on individuals who have been arrested for confidence games and related activities. It is used as an investigative aid.	Active	No	Yes (4).
Copyright Matters Index	Consists of cards of individuals who are film collectors and film titles. It is used as a reference in the investigation of copyright matters	Active	No	Yes (1).
Criminal Intelligence Index	Consists of cards with name and file number of individuals who have become the subject of an antitracketeering investigation. The index is used as a quick way to ascertain file numbers and the correct spelling of names. This index is also maintained in one resident agency.	Active	No	Yes (2).
Criminal Informant Index	Consists of cards containing identity and brief background information on all active and inactive informants furnishing information in the criminal area.	Active	Yes	No.
DEA Class 1 Narcotics Violators Listing.	Consists of a computer listing of narcotic violators—persons known to manufacture, supply, or distribute large quantities of illicit drugs—with background data. It is used by the FBI in their role of assisting DEA in disseminating intelligence data concerning illicit drug trafficking. This index is also maintained in two resident agencies.	Active	Yes	Yes (59).
Deserter Index	Contains cards with the names of individuals who are known military deserters. It is used as an investigative aid	Active	No	Yes (4).
False Identities Index	Contains cards with the names of deceased individuals whose birth certificates have been obtained by other persons for possible false identification uses and in connection with which the FBI laboratory has been requested to perform examinations.	Inactive	Yes	No.
False Identities List	Consists of a listing a names of deceased individuals whose birth certificates have been obtained after the person's death, ands thus whose names are possibly being used for false identification purposes. The listing is maintained as part of the FBI's program to find persons using false identities for illegal purposes.	Inactive	No	Yes (31).
False Identity Photo Album	Consists of names and photos of people who have been positively identified as using a false identification. This is used as an investigative aid in the FBI's investigation of false identities.	Inactive	No	Yes (2).

Title of index	Description and use	Status of index	Maintained at—	
			Headquarters	Field office
FBI/Inspector General (IG) Case Pointer System (FICPS).	Consists of computerized listing of individual names of organizations which are the subject of active and inactive fraud investigations, along with the name of the agency conducting the investigation. Data is available to IG offices throughout the federal government to prevent duplication of investigative activity.	Active	Yes	No.
FBI Wanted Persons Index	Consists of cards on persons being sought on the basis of Federal warrants covering violations which fall under the jurisdiction of the FBI. It is used as a ready reference to identify those fugitives.	Active	Yes	No.
Foreign Counterintelligence (FCI)	Consists of cards with identity background data on all active and inactive operational and informational assets in the foreign counterintelligence field. It is used as a reference aid on the FCI Asset program.	Active	Yes	No.
Fraud Against the Government Index	Consists of individuals who have been the subject of a "fraud against the Government" investigation. It is used as investigative aid	Active	No	Yes (1).
Fugitive Bank Robbers File	Consists of fliers on bank robbery fugitives filed sequentially in a control file. FBI Headquarters distributes to the field offices fliers on bank robbers in a fugitive status for 15 or more days to facilitate their location.	Active	Yes	Yes (43).
General Security Index	Contains cards on all persons that have been the subject of a security classification investigation by the FBI field office. These cards are used for general reference purposes.	Active	No	Yes (1).
Hoodlum License Plate Index	Consists of cards with the license plates numbers and descriptive data on known hoodlums and cars observed in the vicinity of hoodlum homes. It is used for quick identification of such person in the course of investigation. The one index which is not fully retrievable in maintained by a resident agency.	Active	No	Yes (3).
Identification Order Fugitive Flier File.	Consists of fliers numerically in a control file. When immediate leads have been exhausted in fugitive investigations and a crime of considerable public interest has been committed, the fliers are given wide circulation among law enforcement agencies throughout the United States and are posted in post offices. The fliers contain the fugitive's photograph, fingerprints, and description.	Active	Yes	Yes (49).
Informant Index	Consists of cards with the name, symbol numbers, and brief background information on the following categories of active and inactive informants, top echelon criminal informants, security informants, criminal information, operational and informational assets, extremist informants (discontinued), plant informant—informants on and about certain military bases (discontinued), and potential criminal informants.	Active	No	Yes (59).
Informants in Other Field Offices, Index of.	Consists of cards with names and/or symbol numbers of informants in other FBI field offices that are in a position to furnish information that would also be included on the index card.	Active	No	Yes (15).
Interstate Transportation of Stolen Aircraft Photo Album.	Consists of photos and descriptive data on individuals who are suspects known to have been involved in interstate transportation of stolen aircraft. It is used as an investigative aid.	Active	No	Yes (1).
IRS Wanted List	Consists of one-page fliers from IRS on individuals with background information who are wanted by IRS for tax purposes. It is used in the identification of persons wanted by IRS.	Active	No	Yes (11).
Kidnapping Book	Consists of data, filed chronologically, on kidnappings that have occurred since the early fifties. The victims' names and the suspects, if known, would be listed with a brief description of the circumstances surrounding the kidnapping. The file is used as a reference aid in matching up prior methods of operation in unsolved kidnapping cases.	Active	Yes	No.
Known Check Passers Album	Consists of photos with descriptive data of persons known to pass stolen, forged, or counterfeit checks. It is used as an investigative aid	Active	No	Yes (4).
Known Gambler Index	Consists of cards with names, descriptive data, and sometimes photos of individuals who are known bookmakers and gamblers. The index is used in organized crime and gambling investigations. Subsequent to GAO's review, and at the recommendation of the inspection team at one of the two field offices where the index was not fully retrievable, the index was destroyed and thus is not included in the total.	Active	No	Yes (5).
La Cosa Nostra (LCN) Membership Index.	Contains cards on individuals having been identified as members of the LCN index. The cards contain personal data and pictures. The index is used solely by FBI agents for assistance in investigating organized crime matters.	Active	Yes	Yes (55).
Leased Line Letter Request Index	Contains cards on individuals and organizations who are or have been the subject of a national security electronic surveillance where a leased line letter was necessary. It is used as an administrative and statistical aid.	Active	Yes	No.
Mail Cover Index	Consists of cards containing a record of all mail covers conducted on individuals and groups since about January 1973. It is used for reference in preparing mail cover requests.	Active	Yes	No.
Military Deserter Index	Consists of cards containing the names of all military deserters where the various military branches have requested FBI assistance in locating. It is a used as an administrative aid.	Active	Yes	No.
National Bank Robbery Album	Consists of fliers on bank robbery suspects held sequentially in a control file. When an identifiable bank camera photograph is available and the case has been under investigation for 30 days without identifying the subject, FBIHQ sends a flier to the field offices to help identify the subject.	Active	Yes	Yes (42).
National Fraudulent Check File	Contains photographs of the signatures on stolen and counterfeit checks. It is filed alphabetically but there is a no way of knowing the names are real or fictitious. The index is used to help solve stolen check cases by matching checks obtained in such cases against the index to identify a possible suspect.	Active	Yes	No.
National Security Electronic Surveillance Card File.	Contains cards recording electronic surveillances previously authorized by the Attorney General and previously and currently authorized by the FISC; current and previous assets in the foreign counterintelligence field; and a historical, inactive section which contains cards believed to record nonconsented physical entries in national security cases, previously toll billings, mail covers and leased lines. The inactive section also contains cards reflecting previous Attorney General approvals and denials for warranless electronic surveillance in the national security cases.	Inactive	Yes	No.
Night Depository Trap index	Contains cards with the names of persons who have been involved in the theft of deposits made in bank night depository boxes. Since these thefts have involved various methods, the FBI uses the index to solve such cases by matching up similar methods to identify possible suspects.	Active	Yes	No.
Organized Crime Photo Album	Consists of photos and background information on individuals involved in orgzanized crime activities. The index is used as a ready reference in identifying organized crime figures within the field offices' jurisdiction.	Active	No	Yes (13).
Photospread Identification Elimination File.	Consists of photos of individuals who have been subjects and suspects in FBI investigations. It also includes photos received from other law enforcement agencies. These pictures can be used to show witnesses of certain crimes.	Active	No	Yes (14).
Prostitute Photo Album	Consists of photos with background data on prostitutes who have prior local or Federal arrests for prostitution. It is used to identify prostitutes in connection with investigations under the White Slave Traffic Act.	Active	No	Yes (4).
Royal Canadian Mounted Police (RCMP) Wanted Circular File.	Consists of a control file of individuals with background information of persons wanted by the RCMP. It is used to notify the RCMP if an individual is located.	Active	No	Yes (17).
Security Informant Index	Consists of cards containing identity and brief background information on all active and inactive informants furnishing information in the criminal area.	Active	Yes	No.

Title of index	Description and use	Status of index	Maintained at—	
			Headquarters	Field office
Security Subjects Control Index	Consists of cards containing the names and case file numbers of individuals who have been subject to security investigations check. It is used as a reference source.	Active	No	Yes (1).
Security Telephone Number Index	Contains cards with telephone subscriber information subpenaed from the telephone company in any security investigation. It is maintained numerically by the last three digits in the telephone number. It is used for general reference purposes in security investigations.	Active	No	Yes (1).
Selective Service Violators Index	Contains cards on individuals being sought on the basis of Federal warrants for violation of the Selective Service Act.	Active	Yes	No.
Sources of Information Index	Consists of cards on individuals and organizations such as banks, motels, local governments that are willing to furnish information to the FBI with sufficient frequency to justify listing for the benefit of all agents. It is maintained to facilitate the use of such sources.	Active	No	Yes (10).
Special Services Index	Contains cards of prominent individuals who are in a position to furnish assistance in connection with FBI investigative responsibility.	Active	No	Yes (28).
Stolen Checks and Fraud by Wire Index.	Consists of cards on individuals involved in check and fraud by wire violations. It is used as an investigative aid.	Active	No	Yes (1).
Stop Notices Index	Consists of cards on names of subjects or property where the field office has placed a stop at another law enforcement agency or private business such as pawn shops in the event information comes to the attention of that agency concerning the subject or property. This is filed numerically by investigative classification. It is used to insure that the agency where the stop is placed is notified when the subject is apprehended or the property is located or recovered.	Active	No	Yes (43).
Surveillance Location index	Consists of cards with basic data on individuals and businesses which have come under physical surveillance in the city in which the field office is located. It is used for general reference purposes in antiracketeering investigations.	Active	No	Yes (2).
Telephone Number Index—Gamblers	Contains information on persons identified usually as a result of a subpena for the names of subscribers to particular telephone numbers or toll records for a particular phone number of area gamblers and bookmakers. The index cards and filed by the last three digits of the telephone number. The index in used in gambling investigations.	Active	No	Yes (2).
Telephone Subscriber and Toll Records Check Index.	Contains cards with information on persons identified as the result of a formal request or subpena to the phone company for the identity of subscribers to particular telephone numbers. The index cards are filed by telephone number and would also include identity of the subscriber, billing party's identity, subscriber's address, date of request from the telephone company, and file number.	Active	No	Yes (1).
Thieves, Couriers and Fences Photo Index.	Consists of photos and background information on individuals who are or are suspected of being thieves, couriers, or fences based on their past activity in the area of interstate transportation of stolen property. It is used as an investigative aid.	Active	No	Yes (4).
Toll Record Request Index	Contains cards on individuals and organizations on whom toll records have been obtained in national security related cases and with respect to which FBIHQ had to prepare a request letter. It is used primarily to facilitate the handling of repeat requests on individuals listed.	Active	Yes	No.
Top Burglar Album	Consists of photos and background data of known and suspect top burglars involved in the area of interstate transportation of stolen property. It is used as an investigative aid.	Active	No	Yes (4).
Top Echelon Criminal Informer Program (TECIP) Index.	Consists of cards containing identity and brief background information on individuals who are either furnishing high level information in the organized crime area or are under development to furnish such information. The index is used primarily to evaluate, corroborate, and coordinate informant information and to develop prosecutive data against racket figures under Federal, State, and local statutes.	Active	Yes	No.
Top Ten Program File	Consists of fliers, filed numerically in a control file, on fugitives considered by the FBI to be 1 of the 10 most wanted. Including a fugitive on the top 10 usually assures a greater national news coverage as well as nationwide circulation of the flier.	Active	Yes	Yes (44).
Top Thief Program Index	Consists of cards of individuals who are professional burglars, robbers, or fences dealing in items likely to be passed in interstate commerce or who travel interstate to commit the crime. Usually photographs and background information would also be obtained on the index card. The index is used as an investigative aid.	Active	No	Yes (27).
Truck Hijack Photo Album	Contains photos and descriptive data of individuals who are suspected truck hijackers. It is used as an investigative aid and for displaying photos to witnesses and/or victims to identify unknown subjects in hijacking cases.	Active	No	Yes (4).
Truck Thief Suspect Photo Album	Consists of photos and background data on individuals previously arrested or are currently suspects regarding vehicle theft. The index is used as an investigative aid.	Active	No	Yes (1).
Traveling Criminal Photo Album	Consists of photos with identifying data of individuals convicted of various criminal offenses and may be suspects in other offenses. It is used as an investigative aid.	Active	No	Yes (1).
Veterans Administration (VA)/ Federal Housing Administration Matters (FHA) Index.	Consists of cards of individuals who have been subject of an investigation relative to VA and FHA matters. It is used as an investigative aid.	Active	No	Yes (1).
Wanted Fliers File	Consists of fliers, filed numerically in a control file, on badly wanted fugitives whose apprehension may be facilitated by a flier. The flier contains the names, photographs, aliases, previous convictions, and a caution notice.	Active	Yes	Yes (46).
Wheeldex	Contains the nicknames and the case file numbers of organized crime members. It is used in organized crime investigations	Active	No	Yes (1).
White House Special Index	Contains cards on all potential White House appointees, staff members, guests, and visitors that have been referred to the FBI by the White House security office for a records check to identify any adverse or derogatory information. This index is used to expedite such check in view of the tight timeframe usually required.	Active	Yes	No.
Witness Protection Program Index	Contains cards on individuals who have been furnished a new identity by the U.S. Justice Department because of their testimony in organized crime trials. It is used primarily to notify the U.S. Marshals Service when information related to the safety of a protected witness comes to the FBI's attention.	Active	Yes	No.

Authority for maintenance of the system:

Federal Records Act of 1950, title 44, United States Code, chapter 31, section 3101; and title 36, Code of Federal Regulations, chapter XII, require Federal agencies to insure that adequate and proper records are made and preserved to document the organization, functions, policies, decisions, procedures and transactions and to protect the legal and financial rights of the Federal Government, title 28, United States Code, section 534, delegates authority to the Attorney General to acquire, collect, classify, and preserve identification, criminal identification, crime and other records.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Records, both investigative and administrative, are maintained in this system in order to permit the FBI to function efficiently as an authority, responsive component of the Department of Justice. Therefore, information in this system is disclosed to officials and employees of the Department of Justice, and/or all components thereof, who have need of the information in the performance of their official duties.

Personal information from this system may be disclosed as a routine use to any Federal agency where the purpose in making the disclosure is compatible with the law enforcement purpose for which it was collected, e.g., to assist the recipient agency in conducting a lawful criminal or intelligence investigation, to assist the recipient agency in making a determination concerning an individual's suitability for employment and/or trustworthiness for employment and/or trustworthiness for access clearance purposes, or to assist the recipient agency in the performance of any authorized function where access to records in this system is declared by the recipient agency to be relevant to that function.

In addition, personal information may be disclosed from this system to members of the Judicial Branch of the Federal Government in response to a specific request, or at the initiation of the FBI, where disclosure appears relevant to the authorized function of the recipient judicial office or court system. An example would be where an individual is being considered for employment by a Federal judge.

Information in this system may be disclosed as a routine use to any state or local government agency directly engaged in the criminal justice process, e.g., police, prosecution, penal, probation and parole, and the judiciary, where access is directly related to a law enforcenemt function of the recipient agency e.g. in connection with a lawful criminal or intelligence investigation, or making a determination concerning an individual's suitability for employment as a state or local law enforcement employee or concerning a victim's compensation under a state statute. Disclosure to a state or local government agency, (a) not directly engaged in the criminal justice process or (b) for a licensing or regulatory function, is considered on an individual basis only under exceptional circumstances, as determined by the FBI.

Information in this system pertaining to the use, abuse or traffic of controlled substances may be disclosed as a routine use to federal, state or local law enforcement agencies and to licensing or regulatory agencies empowered to engage in the institution and prosecution of cases before courts and licensing boards in matters relating to controlled substances, including courts and licensing boards reponsible for the licensing or certification of individuals in the fields of pharmacy and medicine.

Information in this system may be disclosed as a routine use in a proceeding before a court or adjudicative body, e.g., the Equal Employment Opportunity Commission and the Merit Systems Protection Board, before which the FBI is authorized to appear, when (a) the FBI or any employee thereof in his or her official capacity, or (b) any employee in his or her individual capacity where the Department of Justice has agreed to represent the employee, or (c) the United States, where the FBI determines it is likely to be affeced by the litigation, is a party to litigation or has an interest in litigation and such records are determined by the FBI to be relevant to the litigation.

Information in this system may be disclosed as a routine use to an organization or individual in both the public or private sector if deemed necessary to elicit information or cooperation from the recipient for use by the FBI in the performance of an authorized activity. An example would be where the activities of an individual are disclosed to a member of the public in order to elicit his/her assistance in our apprehension or detection efforts.

Information in this system may be disclosed as a routine use to an organization or individual in both the public or private sector where there is reason to believe the recipient is or could become the target of a particular criminal activity or conspiracy, to the extent the information is relevant to the protection of life or property.

Information in this system may be disclosed to legitimate agency of a foreign government where the FBI determines that the information is relevant to that agency's responsibilities, and dissemination serves the best interests of the U.S. Government, and where the purpose in making the disclosure is compatible with the purpose for which the information was collected.

Relevant information may be disclosed from this system to the news media and general public where there exists a legitimate public interest, e.g., to assist in the location of Federal fugitives, to provide notification of arrests, and where necessary for protection from imminent threat of life or property. This would include releases of information in accordance with 28 CFR 50.2

A record relating to an actual or potential civil or criminal violation of the copyright statute, Title 17, United States Code, or the trademark statutes. Titles 15 and 17, U.S. Code, may be disseminated to a person injured by such violation to assist him/her in the institution or maintenance of a suit brought under such titles.

The FBI has received inquiries from private citizens and Congressional offices on behalf of constituents seeking assistance in locating individuals such as missing children and heirs to estates. Where the need is acute, and where it appears FBI files may be the only lead in locating the individual, consideration will be given to furnishing relevant information to the requester. Information will be provided only in those instances where there are reasonable grounds to conclude from available information the individual being sought would want the information to be furnished, e.g., an heir to a large estate. Information with regard to missing children will not be provided where they have reached their majority.

Release of Information to Members of Congress:

Information contained in this system, the release of which is required by the Freedom of Information-Privacy Acts, may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member of staff requests the information in behalf of and at the request of the individual who is the subject of the record.

Release of Information to the National Archives and Records Administration (NARA) and the General Services Administration (GSA):

A record from a system of records may be disclosed as a routine use to NARA and GSA in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906, to the extend that legislation governing the records permits.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

The active main files are maintained in hard copy form and some inactive records are maintained on microfilm. Investigative information which is maintained in computerized form may be stored in memory, on disk storage, on computer tape, or on a computer printed listing.

Retrievability:

The FBI General Index must be searched to determine what information, if any, the FBI may have in its files. Index records, or pointers to specific FBI files, are created on all manner of subject matters, but the predominant type record is the name index record. It should be noted the FBI does not index all individuals who furnish information or all names developed during the course of an investigation. Only that information considered pertinent, relevant, or essential for future retrieval, is indexed. In certain major cases, individuals interviewed may be indexed to facilitate the administration of the investigation. The FBI has automated that portion of its index containing the most recent information—15 years for criminal related matters and 30 years for intelligence and other type matters. Automation will not change the "Central Records System"; it will only facilitate more economic and expeditious access to the main files. Searches against the automated records are accomplished on a "batch off-line" basis for certain submitting agencies where the name search requests conform to FBI specified formats and also in an "on-line" mode with the use of video display terminals for other requests. The FBI will not permit any organization, public or private, outside the FBI to have direct access to the FBI indices system. All searches against the indices data base will be performed on site within FBI space by FBI personnel with the assistance of the automated procedures, where feasible. Automation of the various FBI field office indices has been under way for approximately five years; completion is anticipated during FY 1988. This automation initiative has been on a "day-one" basis. This indices system points to specific files within a given field office. Additionally, certain complicated investigative matters may be supported by specialized computer systems or by individual microcomputers. Indices created in these environments are maintained as part of the particular computer system and accessible only through the system or through printed listings of the indices.

The FBI will transfer historical records to the National Archives consistent with 44 U.S.C. 2103. No record of individuals or subject matter will be retained for transferred files; however, a record of the file numbers will be retained to provide full accountability of FBI files and thus preserve the integrity of the filing system.

Safeguards:

Records are maintained in a restricted area and are accessed only by agency personnel. All FBI employees receive a complete background investigation prior to being hired. All employees are cautioned about divulging confidential information or any information contained in FBI files. Failure to abide by this provision violates Department of Justice regulations and may violate certain statutes providing maximum severe penalties of a ten thousand dollar fine or 10 years imprisonment or both. Employees who resign or retire are also cautioned about divulging information acquired in the jobs. Registered mail is used to transmit routine hard copy records between field offices. Highly classified records are hand carried by Special Agents or personnel of the Armed Forces Courier Service. Highly classified or sensitive privacy information, which is elecronically transmitted between field offices, is transmitted in encrypted form to prevent interception and interpretation. Information transmitted in teletype form is placed in the main files of both the receiving and transmitting field offices. Field offices involved in certain complicated investigative matters may be provided with on-line access to the duplicative computerized information which is maintained for them on disk storage in the FBI Computer Center in Washington, D.C., and this computerized data is also transmitted in encrypted form.

Retention and disposal:

As the result of an extensive review of FBI records conducted by NARA, records evaluated as historical and permanent will be transferred to the National Archives after established retention periods and administrative needs of the FBI have elapsed. As deemed necessary, certain records may be subject to restricted examination and usage, as provided by 44 U.S.C. Section 2104.

FBI record disposition programs relevant to this System are conducted in accordance with the FBI Records Retention Plan and Disposition Schedule which was approved by the Archivist of the United States and the U.S. District Court, District of Columbia. Investigative, applicant and administrative records which meet the destruction criteria will be destroyed after 20 or 30 years at FBI Headquarters and after 1, 5, 10 or 20 years in FBI Field Offices. Historical records will be transferred to the National Archives after 30 or 50 years, contingent upon investigative and administrative needs. The administrative indices and listings described within this System were appraised separately and disposition authority established. (Job No. NC1-65-82-4 and amendments)

System manager(s) and address:

Director, Federal Bureau of Investigation; Washington, DC 20535.

Notification procedure:

Same as above.

Record access procedures:

A request for access to a record from the system shall be made in writing with the envelope and the letter clearly marked "Privacy Access Request". Include in the request your full name, complete address, date of birth, place of birth, notarized signature, and other identifying data you may wish to furnish to assist in making a proper search of our records. Also include the general subject matter of the document or its file number. The requester will also provide a return address for transmitting the information. Requests for access to information maintained at FBI Headquarters must be addressed to the Director, Federal Bureau of Investigation, Washington, DC 20535. Requests for information maintained at FBI field divisions or Legal Attaches must be made separately and addressed to the specific field division or Legal Attache listed in the appendix to this system notice.

Contesting record procedures:

Individuals desiring to contest or amend information maintained in the system should also direct their request to the Director, Federal Bureau of Investigation, Washington, DC 20535, stating clearly and concisely what information is being contested, the reasons for contesting it, and the proposed amendment to the information sought.

Record source categories:

The FBI, by the very nature and requirement to investigate violations of law within its investigative jurisdiction and its responsibility for the internal security of the United States, collects information from a wide variety of sources. Basically, it is the result of investigative efforts and information furnished by other Government agencies, law enforcement agencies, and the general public, informants, witnesses, and public source material.

Systems exempted from certain provisions of the act:

The Attorney General has exempted this system from subsections (c)(3), (d), (e) (1), (2) and (3), (e)(4) (G) and (H), (e)(8) (f), (g), of the Privacy Act pursuant to 5 U.S.C. 552a (j) and (k). Rules have been promulgated in accordance with the requirements of 5 U.S.C. 553 (b), (c) and (e).

Appendix of Field Divisions and Legal Attaches for the Federal Bureau of Investigation Field Divisions; Justice/FBI-999

5th Floor, 445 Broadway, Albany, NY 12201.
POB 25186, Albuquerque, NM 87125.
POB 100560, Anchorage, AK 99510.
POB 1683, Atlanta, GA 30370.
7142 Ambassador Road, Baltimore, MD 21207.
2121 Building, Birmingham, AL 35203.
John F. Kennedy Federal Office Building, Boston, MA 02203.
111 West Huron Street, Buffalo, NY 14202.
6010 Kenley Lane, Charlotte, NC 28217.
219 S. Dearborn St., Chicago, IL 60604.
POB 1277, Cincinnati, OH 45201.
1240 E. 9th St., Cleveland, OH 44199.
POB 137, Columbia, SC 29202.
1801 W. Lamar, Dallas, TX 75202.
POB 1229, Denver, CO 80201.
POB 2118, Detroit, MI 48231.
700 E. San Antonio Ave., El Paso, TX 79901.
POB 50164, Honolulu, HI 96850.
POB 61369, Houston, TX 77208.
POB 1186, Indianapolis, IN 46206.
100 W. Capitol St., Jackson, MS 39269.
POB 8928, Jacksonville, FL 32239.
POB 2449, Kansas City, MO 64142.
POB 10368, Knoxville, TN 37919.
POB 16032, Las Vegas, NV 89101.
POB 21470, Little Rock, AR 72221-1470.
11000 Wilshire Blvd., Los Angeles, CA 90024.
POB 2467, Louisville, KY 40201.
167 N. Main St., Memphis, TN 38103.
POB 592418, Miami, FL 33159.
POB 2058, Milwaukee, WI 53201.
392 Federal Building, Minneapolis, MN 55401.
POB 2128, Mobile, AL 36652.
POB 1158, Newark, NJ 07101.
POB 2058, New Haven, CT 06521.
POB 51930, New Orleans, LA 70151.
POB 1425, New York, NY 10008.
POB 3828, Norfolk, VA 23514.
POB 54511, Oklahoma City, OK 73154.
POB 548, Omaha, NE 68101.
600 Arch St., Philadelphia, PA 19106.
201 E. Indianola, Phoenix, AZ 85012.
POB 1315, Pittsburgh, PA 15230.
POB 709, Portland, OR 97207.
POB 12325, Richmond, VA 23241.
POB 13130, Sacramento, CA 95813.
POB 7251, St. Louis, MO 63177.
125 S. State St., Salt Lake City, UT 84138.
POB 1630, San Antonio, TX 78296.
880 Front St., San Diego, CA 92188.
POB 36015, San Francisco, CA 94102.
POB BT, San Juan, PR 00936.
POB 22758, Savannah, GA 31403.
915 2nd. Ave., Seattle, WA 98174.
POB 3646, Springfield, IL 62708.
POB 172177, Tampa, FL 33602.
Washington Field Office, Washington, DC 20535.
Federal Bureau of Investigation Academy, Quantico, VA 22135.

Legal Attaches: (Send c/o the American Embassy for the Cities indicated):.
Bern, Switzerland.
Bogota, Colombia (APO, Miami 34038).
Bonn, Germany (Box 310, APO, New York, 09080).
Bridgetown, Barbados (Box B, FPO, Miami 34054).
Brussels, Belgium (APO, New York 09667).
Canberra, Australia (APO San Francisco 96404-0001).
Hong Kong, B.C.C. (FPO, San Francisco 96659-0002).
London, England (Box 2, FPO, New York 09509).
Manila, Philippines (APO, San Francisco 96528).

Mexico City, Mexico (POB 3087, Laredo, TX 78044-3087).
Montevideo, Uruguay (APO, Miami 34035).
Ottawa, Canada.
Panama City, Panama (Box E, APO, Miami 34002).
Paris, France (APO, New York 09777).
Rome, Italy (APO, New York 09794).
Tokyo, Japan (APO, San Francisco 96503).

JUSTICE/FBI-003

System name:

Bureau Mailing Lists.

System location:

Federal Bureau of Investigation,
J. Edgar Hoover Bldg. 10th and Pennsylvania Ave., NW., Washington, DC 20535, 59 field divisions and 13 Legal Attaches (see Appendix to 002).

Categories of individuals covered by the system:

With regard to lists maintained at FBI Headquarters, individuals who have requested receipt of Bureau material and who meet established criteria (basically law enforcement or closely related areas). With regard to lists maintained in field divisions or Legal attaches, individuals and organizations who may be in position to furnish assistance to the FBI's law enforcement efforts.

Categories of records in the system:

Name, address and business affiliation, if appropriate.

Authority for maintenance of the system:

Title 5 U.S. Code Section 301 and Title 44, U.S. Code, Section 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

For mailing of FBI material whenever necessary. For example, various fugitive publications are furnished to local law enforcement agencies.

Release of information to the news media. Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available from systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Release of information to Members of Congress. Information contained in systems of records maintained by the Department of Justice, not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the member's behalf when the member or staff requests the information on behalf of and at the request of the individual who is the subject of the record.

Release of information to the National Archives and Records Administration (NARA) and the General Services Administration (GSA): A record from this system of records may be disclosed as a routine use to NARA and GSA in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Computerized. In field divisions most mailing lists are maintained on addressograph.

Retrievability:

ID number in computer, alphabetically for addressograph

Safeguards:

Computer records are maintained in limited access space of the Technical Services Division.

Retention and disposal:

Revised on a monthly basis. Field offices revise the lists as necessary and/or on an annual basis. The records are destroyed when administrative needs are satisfied. (Job No. NC1-65-82-4, Part E. 13 i.)

System manager(s) and address:

Director, FBI, Washington, D.C. 20535

Notification procedure:

Director, FBI, Washington, D.C. 20535

Record access procedures:

Inquiry addressed to Director, FBI, Washington, D.C. 20535.

Contesting record procedures:

Same as the above.

Record source categories:

The mailing list information is based either on information supplied by the individual or public source data.

Systems exempted from certain provisions of the act:

None.

JUSTICE/FBI-004

System name:

Routine Correspondence Handled By Preprinted Form.

System location:

Federal Bureau of Investigation: J. Edgar Hoover Bldg., 10th and Pennsylvania Ave., NW., Washington, DC 20535.

Categories of individuals covered by the system:

Routine correspondence from citizens not requiring a dictated response.

Categories of records in the system:

Original correspondence and 3 by 5 index card.

Authority for maintenance of the system:

Title 5, U.S. Code, Section 301 and Title 44, U.S. Code, Section 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Internal reference use of record of such correspondence.

Release of information to the news media: Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available from systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Release of information to Members of Congress: Information contained in systems of records maintained by the Department of Justice, not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and at the request of the individual who is the subject of the record.

Release of information to the National Archives and Records Administration (NARA) and the General Services Administration (GSA): A record from a system of records may be disclosed as a routine use to NARA and GSA in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Filing of original correspondence plus 3 by 5 index card.

Retrievability:

Correspondence alphabetically and chronologically; index card alphabetically.

Safeguards:

Maintained by FBI personnel; locked file cabinets during nonduty hours.

Retention and disposal:

Original correspondence retained 90 days and destroyed: 3 by 5 index cards maintained one year and destroyed. (GRS No.14, Item 3)

System manager(s) and address:

Director, FBI, Washington, DC 20535

Notification procedure:

Director, FBI, Washington, DC 20535

Record access procedures:

Inquiry directed to Director, FBI, Washington, DC 20535

Contesting record procedures:

Same as the above.

Record source categories:

Incoming citizen correspondence.

Systems exempted from certain provisions of the act:

None.

JUSTICE/FBI-005

System name:

Routine Correspondence Prepared Without File Yellow.

System location:

Federal Bureau of Investigation; J. Edgar Hoover Bldg., 10th and Pennsylvania Ave., NW., Washington, D.C. 20535.

Categories of individuals covered by the system:

Citizens who correspond with the FBI.

Categories of records in the system:

Tickler copy of routine response and original citizen's letter.

Authority for maintenance of the system:

Title 5, U.S. Code, Section 301 and Title 44, U.S. Code, Section 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Temporary record of routine inquiries without substantive, historical or record value for which no record is to be made in central FBI files.

Release of information to the news media: Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available from systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Release of information to Members of Congress: Information contained in systems of records maintained by the Department of Justice, not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and at the request of the individual who is the subject of the record.

Release of information to the National Archives and Records Administration (NARA) and the General Services Administration (GSA): A record from a system of records may be disclosed as a routine use to NARA and GSA in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records are stored in file folders. Pertinent information from correspondence is temporarily stored on magnetic tape and disks.

Retrievability:

Paper records are retrieved by name and date of correspondence. Automated records are retrieved by name, locality, and date.

Safeguards:

Access to all records is limited to FBI personnel. Paper records are maintained in locked file cabinets. Access to automated records is restricted through the use of password.

Retention and disposal:

Paper records retained 90 days and destroyed through confidential trash disposal (GRS No. 14, Item 3). A one-year retention period has been established for the automated records. (Job No. N1-65-87-5)

System manager(s) and address:

Director, FBI, Washington, DC 20535.

Notification procedure:

Director, FBI Washington, DC 20535.

Record access procedures:

Inquiry directed to Director, FBI, Washington, DC 20535.

Contesting record procedures:

Same as the above.

Record source categories:

Incoming citizen correspondence.

Systems exempted from certain provisions of the act:

None.

JUSTICE/FBI-006

System name:

Electronic Surveillance (ElSUR) Indices.

System location:

Federal Bureau of Investigation, J. Edgar Hoover Bldg., 10th and Pennsylvania Ave., NW., Washington, DC 20535. Those field offices which have sought conducted electronic surveillances also maintain an index. See appendix to System 002.

Categories of individuals covered by the system:

Individuals who have been the targets of direct electronic surveillance coverage by the FBI in a court order; those whose communications have been monitored/intercepted by an FBI electronic surveillance installation; those who own, lease, or license premises subjected to electronic surveillance coverage sought by the FBI in a court order.

Categories of records in the system:

The ELSUR Index is comprised of three types of 3 x 5 cards: 1. Principal cards identify, by true name or best known name, all interceptees (targets) indentified in an application filed by the FBI in support of an affidavit seeking a court order to conduct an electronic surveillance; 2. Proprietary Interest cards indentify entities and/or individuals who own, lease, license or otherwise hold a possessory interest in locations subjected to an electronic surveillance sought by the FBI in a court order; and, 3. Overhear cards indentify, by true name or best known name, individuals and/or entities who have been reasonably identified by a first name or initial and a last name as being a party to a communication monitored/intercepted by the FBI.

Authority for maintenance of the system:

The ELSUR Index was initiated in October, 1966, at the recommendation of the Department of Justice and relates to electronic surveillances conducted/sought by the FBI since 1/1/60. The authority for the maintenance of these records is Title 5, Section 301, USC, whch grants the Attorney General the authority to issue rules and regulations prescribing how Department of Justice information can be employed. Title 18, USC, Section 3504, also sets forth recordkeeping requirements.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The Elsur Indices are utilized: (1) To respond to judicial inquiries about possible electronic surveillance coverage of witnesses, defendants, or attorneys involved in Federal court proceedings, and (2) To enable the Government to certify whether a person regarding whom court-order authority is being sought for electronic coverage has ever been so covered in the past. The actual users of the indices are always employees of the FBI.

Release of information to the news media: Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available from systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Release of information to Members of Congress: Information contained in systems of records maintained by the Department of Justice, not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and at the request of the individual who is the subject of the record.

Release of information to the National Archives and Records Administration (NARA) and the General Services Administration (GSA): Record from a system of records many be disclosed as a routine use to NARA and GSA in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906 to the extent that legislation governing the records permits.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

The records are maintained manually on 3 x 5 cards.

Retrievability:

Names/facilities are indexed and filed alphabetically. Telephone numbers and other such serial or identification numbers targeted are indexed and filed numerically. Locations targeted are indexed by address and filed by street name.

Safeguards:

The index is maintained in a restricted access room at all times. The entrance is equipped with a special locking device and alarm system for off-duty hours when the index is not in use.

Retention and disposal:

Until advised to the contrary by the Department, the courts or Congress, these indices will be maintained indefinitely. The indices have been declared permanent by NARA. (Job No. NC1-65-82—4, Part E. 2 t.)

System manager(s) and address:

Director, Federal Bureau of Investigation, Washington, D.C. 20535.

Notification procedure:

Same as the above.

Record access procedures:

Inquiry addressed to Director, FBI, Washington, D.C. 20535.

Contesting record procedures:

Same as the above.

Record source categories:

Category of Individual.

Systems exempted from certain provisions of the act:

The Attorney General has exempted this system from subsections (c) (3) and (4), (d), (e) (1), (2) and (3), (e)(4)(G), and (H), (e) (5) and (8), (f), (g) and (m) of the Privacy Act pursuant to 5 U.S.C. 552a(j). Rules have been promulgated in accordance with the requirements of 5 U.S.C. 553 (b), (c) and (e) and have been published in the Federal Register.

JUSTICE/FBI-007

System name:

FBI Automated Payroll System.

System location:

Federal Bureau of Investigation: J. Edgar Hoover Bldg.; 10th and Pennsylvania Avenue NW., Washington, DC 20535.

Categories of individuals covered by the system:

(A) Current employees of the Federal Bureau of Investigation (FBI), (B) Resigned employees of the FBI are retained in the automated file for the current year for the purpose of clearing all pay actions and providing for any retroactive actions that might be legislated.

Categories of records in the system:

System contains full record for each employee reflecting all elements relative to payroll status, plus accounting records and authorization records through which payrolls are issued and by which payrolls are issued and by which payrolls are audited. For example, this system contains the employees' Social Security Number, time and attendance data, and place assignment.

Authority for maintenance of the system:

System is established and maintained in accordance with Federal pay requirements, and all legislative enactments, Office of Personnel Management regulations, General Accounting Office rulings and decisions. Treasury Department regulations, and Office of Management requirements, and Office of Management and Budget regulations relative thereto, Title 5, U.S. Code, Section 301 and Title 44, U.S. Code, Section 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Biweekly issuance of payroll and related matters. Quarterly issuance of State Tax Report and Federal Insurance Contributions Act Report. Resign and End-of-Year Federal Tax Records (W-2's). Biweekly, quarterly, fiscal and annual Budget and Accounting Reports. Appropriate information is made available to the Internal Revenue Service and state and city tax bureaus.

Release of information to the news media: Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available from systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Release of information to Members of Congress. Information contained in systems of records maintained by the Department of Justice, not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and at the request of the individual who is the subject of the record.

Release of information to the National Archives and Records Administration (NARA) and the General Services Administration (GSA): A record from a system of records may be disclosed as a routine use to NARA and GSA in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Information maintained in the system is stored electronically on magnetic tapes and disks for use in a computer environment.

Retrievability:

Information is retrieved by Social Security Number. (The authority to solicit an employee's Social Security Number is based on Title 26, Code of Federal Regulations, Section 31.6011(b)-2(b).)

Safeguards:

Information contained in the system is relative to the individual employee's payroll status and is considered confidential to that employee and to official business conducted for that employee's pay and accounting purposes. It is safeguarded and protected in accordance with the FBI's Computer Center's regulations that permit access and use by only authorized personnel.

Retention and disposal:

Master payroll and accounting records are stored electronically and retained for a period of three years. Federal tax files are retained for four years. Auxiliary files pertinent to main payroll functions are retained for periods varying from three pay periods to three years, depending on support files needed for any retroactive or audit purposes. (GRS No. 2; GSA Reg. 3; GSA Bulletin FPMR B-47, "Archives and Records"; and Job No. NC1-65-82-4, Part E. 13 c. (1))

System manager(s) and address:

Director, Federal Bureau of Investigation, Ninth and Pennsylvania Avenue, NW., Washington, D.C. 20535.

Notification procedure:

Same as the above.

Record access procedures:

A request of access to information may be made by an employee through his supervisor or by a former employee by writing to the Federal Bureau of Investigation, 9th and Pennsylvania Avenue, NW., Washington, D.C. 20535, Attention Payroll Office.

Contesting record procedures:

Contest of any information shoud be set out in detail and a check of all supportive records will be made to determine the factual data in existence, which is predetermined by source documents and accounting procedures governing pay matters.

Record source categories:

Source of information is derived from personnel actions, employee authorizations, and time records which are issued and recorded in accordance with regulations governing Federal pay.

Systems exempted from certain provisions of the act:

None.

JUSTICE/FBI-008

System name:

Personnel Information Network System (PINS).

System location:

Federal Bureau of Investigation, J. Edgar Hoover Building, 10th Street and Pennsylvania Avenue, NW., Washington, DC 20535.

Categories of individuals covered by the system:

Federal Bureau of Investigation employees and former employees.

Categories of records in the system:

The system contains personnel information which includes information set forth on (1) Standard Form 50—Notification of Personnel Action, (2) SF 176-T-Federal Employee Group Life Insurance Plan, (3) FBI form 12-60 in lieu of SF 1126—Notification of Pay Change, (4) SF 2801 and CSC 1084—Application for and additional information in support of retirement, respectively, (5) SF 2809—Federal Employment Health Benefit Plan and (6) various intra-agency forms and memoranda.

Authority for maintenance of the system:

The system is established and maintained pursuant to regulations set forth in the Federal Personnel Manual. Title 5, U.S. Code, Section 301 and Title 44, U.S.Code, Section 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The PINS is used (1) to prepare the Notification of Personnel Action, copies of which are furnished to the Office of Personnel Management, (2) to prepare Standard From 52B—Request for Personnel Action, (3) to generate lists of employees which are used internally by authorized personnel for record keeping, planning, and decision making purposes, and (4) as a source for the dissemination of information (A) to federal, state and local agencies and to private organizations pursuant to service record inquiries and (B) pursuant to credit inquiries. In response to proper credit inquiries from credit bureaus and financial institutions, the FBI will verify employment and furnish salary and length of service).

Release of information to the news media: Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available from systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Release of information to Members of Congress. Information contained in systems of records maintained by the Department of Justice, not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and at the request of the individual who is the subject of the record.

Release of information to the National Archives the Records Administration (NARA) and the General Services Administration (GSA): A record from a system of records may be disclosed as a routine use to NARA and GSA in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Information maintained in PINS is stored by disc and magnetic tape.

Retrievability:

Information is retrieved (1) on-line through intelligent workstations and terminals by keying the name or Social Security Number of the employee and (2) off-line through data base retrievals. (It is noted the authority to solicit an employee's Social Security Number is based on Title 26, Code of Federal Regulations, Section 31.6011(b)-2(b).)

Safeguards:

Areas housing the system and access terminals are located in secure buildings available to authorized FBI personnel and escorted maintenance and repair personnel only. Access terminals are operational only during normal daytime working hours at which time they are constantly attended.

Retention and disposal:

Electronically stored records for employees and former employees are maintained indefinitely in a vault under the control of a vault supervisor. Pursuant to regulations set forth in the Federal Personnel Manual a copy of the Notification of Personnel Action is made a part of the employees' personnel file.

The automated records are disposable when administrative needs have expired. (Job No. NC1-65-82-4, Part E. 13c. (1)).

System manager(s) and address:

Director, Federal Bureau of Investigation, John Edgar Hoover Building, 10th Street and Pennsylvania Avenue, NW., Washington, DC 20535.

Notification procedure:

Same as the above.

Record access procedures:

A request for access to a record from this system shall be made in writing, with the envelope and the letter clearly marked "Privacy Access Request." Include in the request the name and return address of the requestor. Access requests will be directed to the Director, Federal Bureau of Investigation.

Contesting record procedures:

Individuals desiring to contest or amend information maintained in the system should direct their request to the Director, FBI stating clearly and concisely what information is being contested, the reasons for contesting it, and the proposed amendment to the information sought.

Record source categories:

Sources of information contained in this system are present and former FBI employees and employee personnel files.

Systems exempted from certain provisions of the act:

None.

JUSTICE/FBI-009

System name:

Identification Division Records System.

System location:

Federal Bureau of Investigation: J. Edgar Hoover Bldg., 10th and Pennsylvania Avenue NW., Washington, DC 20537-9700.

Categories of individuals covered by the system:

A. Individuals fingerprinted as a result of arrest or incarceration.

B. Persons fingerprinted as a result of Federal employment applications, military service, alien registration and naturalization purposes and individuals desiring to have their fingerprints placed on record with the FBI for personal identification purposes.

Categories of records in the system:

A. Criminal fingerprint cards and related criminal justice information submitted by authorized agencies having criminal justice responsibilities.

B. Civil fingerprint cards submitted by Federal agencies and civil fingerprint cards submitted by persons desiring to have their fingerprints placed on record for personal identification purposes.

C. Identification records sometimes referred to as "rap sheets" which are compilations of criminal history information pertaining to individuals who have criminal fingerprint cards maintained in the system.

D. An alphabetical name index pertaining to all individuals whose fingerprints are maintained in the system. The criminal records and the civil records are maintained in separate files and each file has an alphabetical name index related to the data contained therein.

Authority for maintenance of the system:

The system is established, maintained and used under authority granted by 28 U.S.C. 534, 15 U.S.C. 78q, 7 U.S.C. 12a, and Pub. L. 92-544 (86 Stat. 1115), and Pub. L. 99-399. The authority is also codified in 28 CFR 0.85 (b) and (j).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The FBI operates the Identification Division Records System to perform identification and criminal history record information functions, for Federal, State, local, and foreign criminal justice agencies, and for noncriminal justice agencies, and other entities where authorized by Federal statute, State statute pursuant to Pub. L. 92-544 (86 Stat. 1115), Presidential executive order, or regulation of the Attorney General of the United States. In addition, identification assistance is provided in disasters and for other humanitarian purposes.

Release of information to the news media: Guidelines applicable for the release of information to the news media and the public are set forth in 28 CFR 20.33(a)(4), 20.33(c), and 50.2.

Release of information to Members of Congress: Information contained in systems of records maintained by the Department of Justice, not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and at the request of the individual who is the subject of the record.

Release of information to the National Archives and Records Administration (NARA) and the General Services Administration (GSA): A record from a system of records may be dislosed as a routine use to NARA and GSA in records management and inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Information in the system is stored manually in file cabinets either in its natural state or on microfilm. In addition, some of the information is stored in computerized data storage devices.

Retrievability:

(1) All information in the system is retrievable by technical fingerprint classification and positive identification is effected only by comparison of the unique identifying characteristics appearing in fingerprint impressions submitted for search against the fingerprint cards maintained within the system.

(2) An auxiliary means of retrieval is through alphabetical name indexes which contain names of the individuals, their birth date, other physical descriptors, and the individuals technical fingerprint classification and FBI numbers, if such have been assigned.

Safeguards:

Information in the system is unclassified. Disclosure of information from the system is made only to authorized recipients upon authentication and verification of the right to access the system by such persons and agencies. The physical security and maintenance of information within the system is provided by FBI rules, regulations and procedures.

Retention and disposal:

(1) The Archivist of the United States has approved the destruction of records maintained in the criminal file when the records indicate individuals have reach 80 years of age, and the destruction of records maintained in the civil file when the records indicate individuals have reached 75 years of age. (Job. No. NC1-65-76-1 and NN-171-160)

(2) Fingerprint cards and related arrest data in the system are destroyed seven years following notification of the death of an individual whose records is maintained in the system. (Job No. 351-S190)

(3) Fingerprint cards submitted by State and local criminal justice agencies are either returned or destroyed upon the request of the submitting agencies. The return or destruction of a fingerprint card under this procedure results in the deletion from the system of all arrest information related to that fingerprint card.

(4) Fingerprint cards and related arrest data are removed from the Identification Division Records System upon receipt of Federal court

orders for expunctions when accompanied by necessary identifying information. Recognizing lack of jurisdiction of local and State courts over an entity of the Federal Government, the Identification Division Records System, as a matter of comity, either returns or destroys fingerprint cards and related arrest data to local and State criminal justice agencies upon receipt of orders of expunction directed to such agencies by local and State courts when accompanied by necessary identifying informations.

System manager(s) and address:

Director, Federal Bureau of Investigation, 10th and Pennsylvania Avenue NW., Washington, DC 20535.

Notification procedure:

Address inquiries to the System Manager.

Record access procedures:

The Attorney General has exempted the Identification Division Records System from compliance with subsection (d) of the Act. However, pursuant to 28 CFR 16.30–34, and Rules and Regulations promulgated by the Department of Justice on May 20, 1975 at 40 FR 22144 (Section 20.34) for Criminal Justice Information Systems, an individual is permitted access to his identification record maintained in the Identification Division Records System and procedures are furnished for correcting or challenging alleged deficiencies appearing therein.

Contesting record procedures:

Same as above.

Record source categories:

See Categories of Individuals.

Systems exempted from certain provisions of the act:

The Attorney General has exempted this system from subsections (c)(3) and (4); (d); (e)(1), (2), (3), (4)(G) and (H), (5) and (8); (f); and (g) of the Privacy Act pursuant to 5 U.S.C. 552a(j). Rules have been promulgated in accordance with the requirements of 5 U.S.C. 553 (b), (c) and (e) and have been published in the Federal Register.

JUSTICE/FBI–010

System name:

Employee Travel Vouchers and Individual Earning Records.

System location:

Federal Bureau of Investigation; J. Edgar Hoover Bldg., 10th and Pennsylvania Avenue, NW., Washington, D.C. 20535. Records pending audit are located at Federal Records Centers.

Categories of individuals covered by the system:

Former and current employees of the FBI.

Categories of records in the system:

Payroll, travel and retirement records of current and former employees of the FBI.

Authority for maintenance of the system:

The head of each executive agency, or his delegate, is responsible for establishing and maintaining an adequate payroll system, covering pay, leave and allowances, as a part of the system of accounting and internal control of the Budget and Accounting Procedures Act of 1950, as amended, 31 U.S.C. 66, 66a, and 200(a).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records are used by Departmental personnel to prepare and document payment to employees of the FBI and to carry out financial matters related to the payroll or accounting functions.

Release of information to the National Archives and Records Administration (NARA) and the General Services Administration (GSA): A record from a system of records may be disclosed as a routine use to the National Archives and Records Administration (NARA) and GSA in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Manual on paper files.

Retrievability:

The records can be retrieved by name; and either social security account number or employee identification number.

Safeguards:

Accessed by Bureau employees at FBI Headquarters and by Field Office employees at Records Centers. Transmittal document contains Bureau statement concerning security, i.e., who may access or view records. Records are maintained in rooms under the control of employees during working hours and maintained in locked file cabinets in locked rooms at other times. Security guards further restrict access to the building to authorized personnel only.

Retention and disposal:

Employee Travel Vouchers are destroyed 6 years, 3 months, after the period covered by the account (GRS No. 6, Item 1A2). Individual Earnings Records are destroyed 56 years after date of last entry (GRS No. 2, Item 1).

System manager(s) and address:

Director, Federal Bureau of Investigation, 9th and Pennsylvania Avenue, NW., Washington, D.C. 20535.

Notification procedure:

Written inquiries, including name, date of birth, and social security number, to determine whether this system contains records about an individual may be addressed to Director, Federal Bureau of Investigation, 9th and Pennsylvania Avenue, NW., Washington, D.C. 20535.

Record access procedures:

Contesting record procedures:

Written inquiries, including name, date of birth and social security number, requesting access or contesting the accuracy of records may be addressed to: Director, Federal Bureau of Investigation, 9th and Pennsylvania Avenue, NW., Washington, D.C. 20535.

Record source categories:

Travel vouchers turned in by individual employees for official business. Pay records—time and attendance records, pay determined by the agency.

Systems exempted from certain provisions of the act:

None.

JUSTICE/FBI–011

System name:

Employee Health Records.

System location:

Federal Bureau of Investigation, Administrative Services Division, Health Service, J. Edgar Hoover Bldg., 10th and Pennsylvania Avenue, NW., Washington, DC. 20535 and the following field offices: New York, Newark, Philadelphia, Chicago, Los Angeles, San Francisco, and FBI Academy, Quantico, Virginia. Addresses for field offices can be found in the appendix of Field Offices for the Federal Bureau of Investigation in System notice Justice/FBI 002.

Categories of individuals covered by the system:

Current and former employees of the FBI.

Categories of records in the system:

Records of visits to health facilities relating to sickness, injuries or accidents.

Authority for maintenance of the system:

The head of each agency is responsible, under 5 U.S.C. 7902, for keeping a record of injuries and accidents to its employees and for reducing accidents and health risks. These records are maintained under the general authority of 5 U.S.C. 301 so that the FBI can be kept aware of the health related matters of its employees and more expeditiously identify them.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records are maintained by the FBI to identify matters relating to the health of its present and former employees. Information is available to employees of the FBI whose job function relates to identifying and resolving health matters of former and current personnel of the FBI.

Release of information to the National Archives and Records Administration (NARA) and the General Services Administration (GSA): A record from a system of records may be disclosed as a routine use to NARA and GSA in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Previous procedure of creation and maintenance of 3 x 5 index cards to record individual health service visits is being phased out and a folder will be created to maintain an employee health record and SF 510, "Nursing Notes".

Retrievability:

The index cards and folders are retrievable by the name of an individual.

Safeguards:

These records are maintained by FBI personnel during working hours and in locked file cabinets during non-working hours. Security guards further restrict access to the building to authorized personnel.

Retention and disposal:

Remaining index cards will be destroyed 6 years after date of last entry (GRS No.1, Item 19). The folder containing the health record and nursing notes will be maintained in the Health Unit for 5 years after the last entry. Thereafter, the contents of the folder will be transferred to the Employee Medical Folder, an appendage of the Official Personnel Folder.

System manager(s) and address:

Director, Federal Bureau of Investigation, 9th and Pennsylvania Avenue, NW., Washington, DC. 20535.

Notification procedure:

Written inquiries, including name, address and social security number, to determine whether this system of records contains records about an individual may be addressed to Director, Federal Bureau of Investigation, 9th and Pennsylvania Avenue, NW., Washington, DC. 20535, and/or individually to the field offices which maintain similar records.

Contesting record procedures:

Written inquiries, including name, date of birth and social security number, requesting access or contesting the accuracy of records may be addressed to: Director, Federal Bureau of Investigation, 9th and Pennsylvania Avenue, NW., Washington, DC. 20535, and the above-mentioned field offices at addresses referred to in system notice Justice/FBI 002.

Record source categories:

Employees of the Federal Bureau of Investigation originate their own records. Nursing Notes appear on SF 510.

Systems exempted from certain provisions of the act:

None.

JUSTICE/FBI-012

System name:

Time Utilization Record/Keeping (TURK) System.

System location:

Administrative Services Division. Federal Bureau of Investigation, J. Edgar Hoover Building, 10th and Pennsylvania Avenue, NW, Washington, D.C. 20535.

Categories of individuals covered by the system:

Special Agents, Accounting Technicians, Investigative Assistants, and Laboratory Technicians.

Categories of records in the system:

System contains bi-weekly time utilization data of Special Agents, Accounting Technicians, Investigative Assistants and Laboratory Technicians.

Authority for maintenance of the system:

This system of records is maintained under the authority of 31 U.S.C. 66a which requires the head of the Department, or his delegate, to establish a system of accounting and internal control designed to provide full disclosure of the financial results of the FBI's activities; adequate financial information needed for the FBI's management purposes and effective control over and accountability for all funds, property and other assets for which the FBI is responsible.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

For the purpose of producing cost accounting reports reflective of personnel utulization, records may be made available to the General Accounting Office, the Office of Management and Budget and the Treasury Department.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Information maintained in the system is stored electronically on magnetic tapes and discs for use in a computer environment.

Retrievability:

Information is retrieved by name and/or social security number:

Safeguards:

Information is safeguarded and protected in accordance with the FBI's Computer Center regulations that permit access and use by authorized personnel only.

Retention and disposal:

Bi-weekly magnetic tapes are retained for a period of 3 years. Hard copy records are retained in accordance with instructions contained in GRS No. 8, Items 7 and 8, and GSA Bulletin FPMR-47, "Archives and Records". Hard copy records are destroyed; magnetic tapes are erased and reused. (Job No. NCI-65-82-4, Part E.13c.(1))

System manager(s) and address:

Director, Federal Bureau of Investigation, 9th and Pennsylvania Avenue, NW, Washington, D.C. 20535.

Notification procedure:

Same as above.

Contesting record procedures:

Written requests for access to information may be made by an employee through his supervisor or by former employees by writing to: Federal Bureau of Investigation, 9th and Pennsylvania Avenue, NW, Washington, D.C. 20535 (Attn: Administrative Services Division). Contesting of any information should be set out in written detail and forwarded to the above address. A check of all supportive records will be made to determine the factual data in existence.

Record source categories:

Source of information is derived from daily time utilization recording made by the employees.

Systems exempted from certain provisions of the act:

None.

JUSTICE/FBI-013

System name:

Security Access Control System (SACS).

System location:

Federal Bureau of Investigation, J. Edgar Hoover Building, 10th and Pennsylvania Avenue, NW., Washington, D.C. 20535.

Categories of individuals covered by the system:

Individuals, both FBI employees and outside visitors, who have been granted access to the J. Edgar Hoover Building.

Categories of records in the system:

The system contains computerized information concerning names, badge numbers, and the dates and times of entries of those individuals, including escorted visitors, who have been issued access badges to the J. Edgar Hoover Building.

Authority for maintenance of the system:

The maintenance of this system is authorized by Executive Order 12065, the Privacy Act of 1974 (5 U.S.C. 552a(e)(10)) and Pub. L. No. 90-620, as amended (44 U.S.C. Chapters 21 and 33). Each of these two statutes, as well as the Executive Order, is directed toward security of United States Government records maintained by Federal agencies.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Category of users: Federal Bureau of Investigation management officials and security personnel. The information is used to determine the status of individuals entering the building and maintain control of badges issued to individuals requiring access to the J. Edgar Hoover Building.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

The automated portion of the records is maintained on a magnetic tape. Documentary records are maintained in manual file folders.

Retrievability:

Alphabetically by last name; numerically by access badge number.

Safeguards:

Maintained in a locked room, which is manned 24 hours per day, with access limited to FBI security personnel.

Retention and disposal:

Computerized records are maintained for one year and hard copy computer listings are maintained for six months. Cards containing badge information are destroyed when administrative needs have expired. Duplicate badges are maintained on individuals granted permanent access to the building until access is no longer required and/or upon separation or transfer. (Job No. NC1-65-82-4, Part B. 66c. (8); Part E. 13 c. (1))

System manager(s) and address:

Director, Federal Bureau of Investigation, J. Edgar Hoover Building, 10th and Pennsylvania Avenue NW., Washington, D.C. 20535.

Notification procedure:

Inquiry concerning this system should be in writing and made to the system manager listed above.

Record access procedures:

Same as above.

Contesting record procedures:

Same as above.

Record source categories:

See categories of individuals.

Systems exempted from certain provisions of the act:

None.

JUSTICE/FBI-014

System name:

FBI Alcoholism Program.

System location:

FBI Headquarters, Administrative Services Division, 10th and Pennsylvania Avenue NW., Washington, DC 20535; and FBI Field Divisions.

Categories of individuals covered by the system:

This system contains information on current and former FBI employees who have been counseled or otherwise treated regarding alcohol abuse or referred to the Alcoholism Program Coordinator or Counselor.

Categories of records in the system:

This system contains correspondence and records regarding employees and/or their families who have been referred to the Alcoholism Program Coordinator or Counselor, the results of any counseling which may have occurred, recommended treatment and results of treatment, in addition to interview appraisals and other notes or records of discussions held with employees relative to this program.

Authority for maintenance of the system:

The maintenance of this system is authorized by Pub. L. 91-616 and Pub. L. 92-255, as amended by Pub. L. 93-282, Section 122, and the implementing regulations, 42 CFR Part 2.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

All disclosures of information pertaining to an individual are made in compliance with Publ. L. 91-616, Section 333, and the Confidentiality of Alcoholism and Drug Abuse Patient Records Regulations, 42 CFR Part 2.2, as amended, for the sole purpose of administering the program.

These records are used to document the nature of an individual's alcohol abuse problem and progress made, and to record an individual's participation in and the results of community or private sector treatment or rehabilitation programs.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are maintained in file folders.

Retrievability:

Records are retrieved by employee's name.

Safeguards:

Files are maintained in locked file cabinets, or safes under the immediate control of the Alcoholism Program Coordinator or other authorized individuals. Access is strictly limited to the Coordinator and other authorized personnel.

Retention and disposal:

Files are destroyed 3 years after case is closed. (GRS No. 1, Item 27 b.; Job No. NC1-65-82-4, Part B. 67d.)

System manager(s) and address:

Director, FBI J. Edgar Hoover Building, 10th and Pennsylvania Avenue NW., Washington, DC 20535.

Notification procedure:

Inquiry concerning this system should be in writing and made to the system manager listed above.

Record access procedures:

Requests made by employees should be made in writing to the Director, FBI, Washington, D.C. 20535. Requests must contain employee's full name, date and place of birth, and current office of assignment and/or home address where records are to be sent. If the individual making the request is a former employee, he/she must submit a duly notarized signature in order to establish identity. In addition, the requester must specify the location of the system of records sought, i.e., those maintained at FBI headquarters or those maintained in a particular field division.

Contesting record procedures:

Requests for correction/amendment of records in this system should be made in writing to the Director, FBI, Washington, D.C. 20535, specifying the information to be amended, and the reasons and justifications for requesting such amendment.

Record source categories:

See categories of individuals.

Systems exempted from certain provisions of the act:

None.

JUSTICE/FBI-015

System name:

National Center for the Analysis of Violent Crime (NCAVC).

System location:

Federal Bureau of Investigation, Training Division, FBI Academy, Behavioral Science Unit, Quantico, Virgina 22135.

Categories of individuals covered by the system:

A. Individuals who relate in any manner to official FBI investigations into violent crimes including, but not limited to, subjects, suspects, victims, witnesses, close relatives, medical personnel, and associates who are relevant to an investigation.

B. Individuals who are the subject of unsolicited information or who offer unsolicited information, and law enforcement personnel who request assistance and/or make inquiries concerning records.

C. Individuals who are the subject of violent crime research studies including, but not limited to, criminal personality profiles, scholarly journals, and news media references.

Categories of individuals covered by the system:

The National Center for the Analysis of Violent Crime will maintain in both manual and automated formats case investigation reports on all forms of solved and unsolved violent crimes. These violent crimes include, but are not limited to, acts or attempted acts of murder, kidnapping, incendiary arson or bombing, rape, physical torture, sexual trauma, or evidence of violent forms of death.

A. Violent Criminal Apprehension Program (VICAP) case reports submitted to the FBI by a duly constituted Federal, State, county, or municipal law enforcement agency in any violent criminal matter. VICAP reports include but are not limited to, crime scene descriptions, victim and offender descriptive data, laboratory reports, criminal history records, court records, news media references, crime scene photographs, and statements.

B. Violent crime case reports submitted by FBI headquarters or field offices.

C. Violent crime research studies, scholarly journal articles, textbooks, training materials, and news media references of interest to NCAVC personnel.

D. An index of all detected trends, patterns, profiles and methods of operation of known and unknown violent criminals whose records are maintained in the system.

E. An index of the names, addresses, and contact telephone numbers of professional individuals and organizations who are in a position to furnish assistance to the FBI's NCAVC operation.

F. An index of public record sources for historical, statistical and demographic data collected by the U.S. Bureau of the Census.

G. An alphabetical name index pertaining to all individuals whose records are maintained in the system.

Authority for maintenance of the system:

44 U.S.C., Section 3101; 41 CFR Subpart 101-11.2 and 28 U.S.C., Section 534.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

As currently envisioned, the NCAVC will be administered by the FBI through its Training Division's Behavioral Science Unit Located at the FBI Academy, Quantico, Virginia. Its primary mission is to consolidate research, training, and operational support activities for the express purposes of providing expertise to any legitimate law enforcement agency confronted with unusual, bizarre, and/or particularly vicious or repetitive violent crimes.

Records described above are maintained in this system to permit the FBI to function efficiently as an authorized, responsive component of the Department of Justice. Therefore, the information in this system is disclosed to officials and employees of the Department of Justice, and/or all components thereof, who need the information to perform their official duties.

Information in this system may be disclosed as a routine use to any Federal, State, local, or foreign government agency directly engaged in the criminal justice process where access is directly related to a law enforcement function of the recipient agency in connection with the tracking identification, and apprehensive of persons believed to be engaged in repeated or exceptionally violent acts of criminal behavior.

Information in this system may be disclosed as a routine use in a proceeding before a court or adjudicative body, e.g., the Equal Employment Opportunity Commission and the Merit System Protection Board, before which the FBI is authorized to appear, when (a) the FBI or any employee thereof in his or her official capacity, or (b) any employee in his or her individual capacity where the Department of Justice has agreed to represent the employee, or (c) the United States, where the FBI determines it is likely to be affected by the litigation, is a party to litigation or has an interest in litigation and such records are determined by the FBI to be relevant to the litigation.

Information in this system may be disclosed as a routine use to an organization or individual in both the public or private sector pursuant to an appropriate legal proceeding or, if deemed necessary, to elicit information or cooperation from the recipient for use by the FBI in the performance of an authorized activity. An example could be where the activities of an individual are disclosed to a member of the public to elicit his/her assistance in FBI apprehension or detection efforts.

Information in this system may be disclosed as a routine use to an organization or individual in the public or private sector where there is reason to believe the recipient is or could become the target of a particular criminal activity or conspiracy and to the extent the information is relevant to the protection of life or property.

Relevant information may be disclosed from this system to the news media and general public where there exists a legitimate public interest. Examples would include: To obtain public or media assistance in the tracking, identifying, and apprehending of persons believed to be engaged in repeated acts of violent criminal behavior; to notify the public and/or media of arrests; to protect the public from imminent threat to life or property where necessary; and to disseminate information to the public and/or media to obtain cooperation with violent crime research, evaluation, and statistical programs.

Information in this system may be disclosed as is necessary to appropriately respond to congressional inquiries on behalf of constituents.

A record from a system of records may be disclosed as a routine use to the National Archives and Records Administration (NARA) in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906 to the extent that legislation governing the record permits.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Information in the system is stored manually in locked file cabinets, either in its natural state or on microfilm, at the NCAVC in Quantico, Virginia. The active main files are maintained in hard copy form and some inactive records are maintained on microfilm.

In addition, some of the information is stored in computerized data storage devices at the NCAVC and FBI Computer Center in Washington, D.C. Investigative information which is maintained in computerized form may be stored in memory on disk storage on computer tape, or on computer printed listings.

Retrievability:

On-line computer access to NCAVC files is achieved by using the following search descriptors:

A. A data base which contains the names of individuals, their birth dates, physical descriptions, and other identification numbers such as FBI numbers, if such have been assigned.

B. Summary variables contained on VICAP reports submitted to the NCAVC as previously described.

C. Key words citations to violent crime research studies, scholarly journal articles, textbooks, training materials, and media references.

Safeguards:

Records are maintained in restricted areas are accessed only by FBI employees. All FBI employees receive a complete pre-employment background investigation. All employees are cautioned about divulging confidential information or any information contained in FBI files. Failure to abide by this provision violates Department of Justice regulations and may violate certain statutes providing maximum severe penalties of a ten thousand dollar fine or 10 years' imprisonment or both. Employees who resign or retire are also cautioned about divulging information acquired in the job.

Registered mail is used to transmit routine hard copy records between field offices. Highly classified records are hand carried by Special Agents or personnel of the Armed Forces Courier Service. Highly classified or sensitive privacy information, which is electronically transmitted between field offices and to and from FBI Headquarters, is transmitted in encrypted form to prevent interception and interpretation.

Information transmitted in teletype form between the NCAVC in Quantico, Virginia and the FBI Computer Center in Washington, D.C., is encrypted prior to transmission at both places to ensure confidentiality and security of the data.

FBI field offices involved in certain complicated, investigative matters may be provided with on-line access to the computerized information which is maintained for them on disc storage in the FBI Computer Center in Washington, D.C. This computerized data is also transmitted in encrypted form.

Retention and disposal:

Records are proposed for destruction after 50 years or upon termination of the program, whichever is earlier. The disposition schedule is pending with NARA as Job No. N1-65-86-13.

System manager(s) and address:

Director, Federal Bureau of Investigation, 10th and Pennsylvania Avenue, NW., Washington, D.C. 20535.

Notification procedure:

Address inquiries to the System Manager.

Record access procedures:

Requests for access to records in this system shall be made in writing with the envelope and the letter clearly marked "Privacy Access Request." The request must provide the full name, complete address, date of birth, place of birth, and notarized signature of the individual who is the subject of the record requested. The request should also include the general subject matter of the document or its file number—along with any other known information which may assist in making a search of the records. The request must also provide a return addressing for transmitting the information. Access requests should be addressed to the Director, Federal Bureau of Investigation, Washington, D.C. 20535.

Contesting record procedures:

Individuals desiring to contest or amend information maintained in the system should also direct their request to the Director, Federal Bureau of Investigation, Washington, D.C. 20535. The request should state clearly and concisely (1) the reasons for contesting the information, and (2) the proposed amendment to the information.

Record source categories:

The FBI, by the very nature of its responsibilities to investigate violations of law within its investigative jurisdiction and ensure the internal security of the United States, collects information from a wide variety of sources. Basically, information is obtained, as a result of investigative efforts, from other Government agencies, law enforcement agencies, the general public, informants, witnesses, and public source material.

Systems exempted from certain provisions of the act:

The Attorney General has exempted this system from subsections (c)(3), (d), (e)(1), (e)(4)(G) and (H), (f) and (g) of the Privacy Act pursuant to 5 U.S.C. 552a (j)(2) and (k)(2). Rules have been promulgated in accordance with the requirements of 5 U.S.C. 553 (b), (c), and (e).

JUSTICE/FBI - 999

System name: Appendix of Field Divisions for the Federal Bureau of Investigation.

Field Office:

502 U.S. Post Office & Court House
Albany, New York 12207

4303 Federal Office Building
Albuquerque, New Mexico 87101

Room 500, 300 North Lee Street
Alexandria, Virginia 22314

Room 238, Federal Building
Anchorage, Alaska 99510

275 Peachtree Street, N.E.
Atlanta, Georgia 30303

7142 Ambassador Road
Baltimore, Maryland 21207

Room 1400 - 2121 Building
Birmingham, Alabama 35203

John F. Kennedy Federal Office Building
Boston, Massachusetts 02203

Room 1400 - 111 West Huron Street
Buffalo, New York 14202

115 U.S. Court House and Federal Building
Butte, Montana 59701

1120 Jefferson Standard Life Building
Charlotte, North Carolina 28202

Room 905, Everett McKinley Dirksen Building
Chicago, Illinois 60604

415 U.S. Post Office & Court House Building
Cincinnati, Ohio 45202

3005 Federal Office Building
Cleveland, Ohio 44199

1529 Hampton Street
Columbia, South Carolina 29201

Room 200, 1810 Commerce Street
Dallas, Texas 75201

Room 18218, Federal Office Building
Denver, Colorado 80202

Patrick V. McNamara Building
477 Michigan Avenue
Detroit, Michigan 48226

202 U.S. Court House Building
El Paso, Texas 79901

Kalanianaole Federal Building
Room 4307
300 Ala Moana Boulevard
Honolulu, Hawaii 96850

6015 Federal Building and U.S. Court House
Houston, Texas 77002

575 North Pennsylvania St.
Indianapolis, Indiana 46202

800 Unifirst Federal Savings & Loan Building
Jackson, Mississippi 39205

414 U.S. Court House & Post Office Building
Jacksonville, Florida 32202

Room 300 - U.S. Courthouse
Kansas City, Missouri 64106

Room 800, 1111 Northshore Drive
Knoxville, Tennessee 37919

Room 2-011, Federal Office Building
Las Vegas, Nevada 89101

215 U.S. Post Office Building
Little Rock, Arkansas 72201

11000 Wilshire Boulevard
Los Angeles, California 90024

Room 502, Federal Building
Louisville, Kentucky 40202

841 Clifford Davis Federal Building
Memphis, Tennessee 38103

3801 Biscayne Boulevard
Miami, Florida 33137

Room 700, Federal Building and U.S. Court House
Milwaukee, Wisconsin 53202

392 Federal Building
Minneapolis, Minnesota 55401

520 Federal Building
Mobile, Alabama 36602

Gateway I, Market Street
Newark, New Jersey 07101

770 Chapel Building
New Haven, Connecticut 06510

701 Loyola Avenue
New Orleans, Louisiana 70113

201 East 69th Street
New York, New York 10021

Room 300, 870 Military Highway
Norfolk, Virginia 23502

50 Penn Place, N.W., 50th at Pennsylvania
Oklahoma City, Oklahoma 73118

1010 Federal Office Building
Omaha, Nebraska 68102

8th Floor, Federal Office Building
600 Arch Street
Philadelphia, Pennsylvania 19106

2721 North Central Avenue
Phoenix, Arizona 85004

1300 Federal Office Building
Pittsburgh, Pennsylvania 15222

Crown Plaza Building
Portland, Oregon 97201

200 West Grace Street
Richmond, Virginia 23220

Federal Building
2800 Cottage Way
Sacramento, California 95825

2704 Federal Building
St. Louis, Missouri 63103

3203 Federal Building
Salt Lake City, Utah 84138

433 Federal Building
Box 1630
San Antonio, Texas 78296

Federal Office Building
Room 6531
88 Front Street
San Diego, California 92188

450 Golden Gate Avenue
San Francisco, California 94102

U.S. Courthouse and Federal Building
Room 526
Hato Rey, Puerto Rico 00918

5401 Paulsen Street
Savannah, Georgia 31405

915 Second Avenue
Seattle, Washington 98174

535 West Jefferson Street
Springfield, Illinois 62702

Room 610, Federal Office Building
Tampa, Florida 33602

506 Old Post Office Building
Washington, D.C. 20535

Federal Bureau of Investigation Academy
Quantico, Virginia 22135

LEGAL ATTACHE (all c/o The American Embassy for the cities indicated):

Bern, Switzerland

Bonn, Germany (Box 310, APO, New York 09080)

Buenos Aires, Argentina

Caracas, Venezuela (APO, New York 09893)

Hong Kong, B.C.C. (FPO, San Francisco 96659)

London, England (Box 40, FPO, New York 09510)

Madrid, Spain (APO, New York 09285)

Manila, Philippines (APO, San Francisco 96528)

Mexico City, Mexico

Ottawa, Canada

Paris, France (APO, New York 09777)

Rome, Italy (APO, New York 09794)

Tokyo, Japan (APO, San Francisco 96503)

FOREIGN CLAIMS SETTLEMENT COMMISSION

JUSTICE/FCSC—1

System name:

Indexes of Claimants (Alphabetical)—FCSC.

System location:

Foreign Claims Settlement Commission, 1111 20th Street, NW., Washington, DC 20579.

Categories of individuals covered by the system:

Maintained on all individuals who filed claims for compensation under the statutes administered by the Foreign Claims Settlement Commission.

Categories of records in the system:

3 x 5 index cards and data processing print-out indexes containing names of claimants, claim and decision numbers, date and disposition of claims, addresses and dates of birth.

Authority for maintenance of the system:

5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used by authorized Commission personnel for identification of individual claims and to obtain information concerning disposition of claims where record systems have been destroyed.

The information contained in this system of records will be disclosed to the Office of Management and Budget, in connection with the review of private relief legislation as set forth in OMB Circular No. A-19, at any stage of the legislative coordination and clearance process as set forth in that circular.

A record from this system of records may be disclosed as a routine use to a member of Congress or to a congressional staff member in response to an inquiry of the congressional office made at the request of the individual about whom the record is maintained.

A record, or any facts derived therefrom, may be disclosed in a proceeding before a court or adjudicative body before which the FCSC is authorized to appear or to the Department of Justice for use in such proceeding when:

i. The FCSC, or any subdivision thereof, or

ii. Any employee of the FCSC in his or her official capacity, or

iii. Any employee of the FCSC in his or her individual capacity where the Department of Justice has agreed to represent the employee, or

iv. The United States, where the FCSC determines that the litigation is likely to affect it or any of its subdivisions,

is a party to litigation or has an interest in litigation and such records are determined by the FCSC to be arguably relevant and necessary to the litigation and such disclosure is determined by the FCSC to be a use compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper index cards contained in metal cardex containers. Data processing index print-outs stored on shelves in cardboard binders.

Retrievability:

By name.

Safeguards:

Security guards in building. Records maintained in locked rooms accessible only to authorized Commission personnel.

Retention and disposal:

Permanent records. Disposition will be made in accordance with 44 U.S.C. 3301-3314 when such records are determined no longer useful.

System manager(s) and address:

Administrative Office, Foreign Claims Settlement Commission, 1111 20th Street NW., Washington, DC 20579. 202/653-6155 or TDD 202/653-5112.

Notification procedure:

Set forth in Part 504 of Title 45, Code of Federal Regulations.

Contesting record procedures:

Same as above.

Record source categories:

Individual on whom the record is maintained and information obtained by actions taken by the Foreign Claims Settlement Commission as a result of adjudication of individual claims.

JUSTICE/FCSC—2

System name:

Bulgaria, Claims Against (1st Program)—FCSC.

System location:

Washington National Records Center, 4205 Suitland Road, Washington, DC 20409.

Categories of individuals covered by the system:

U.S. Nationals who suffered certain property losses or damages in Bulgaria prior to August 9, 1955.

Categories of records in the system:

Claim application form containing name and address of claimant and representative, if any; date and place of birth or naturalization; nature and amount of claim; description, ownership, and value of property; and evidence to support claim for the purpose of receiving compensation.

Authority for maintenance of the system:

Title III, International Claims Settlement Act of 1949, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Records were used for the purpose of adjudicating claims of individuals; issuance of decisions concerning eligibility to receive compensation under the Act; notifications to claimants of rights to appeal; and preparation of certifications of awards, if any, to Treasury Department for payment by authorized FCSC personnel. Names and other data furnished by claimants used for verifying citizenship status with INS. Law enforcement: In the event that a system of records maintained by FCSC to carry out its functions indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, State, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto.

The information contained in this system of records will be disclosed to the Office of Management and Budget, in connection with the review of private relief legislation as set forth in OMB Circular No. A-19, at any stage of the legislative coordination and clearance process as set forth in that circular.

A record from this system of records may be disclosed as a routine use to a member of Congress or to a congressional staff member in response to an inquiry of the congressional office made at the request of the individual about whom the record is maintained.

A record, or any facts derived therefrom, may be disclosed in a proceeding before a court or adjudicative body before which the

FCSC is authorized to appear or to the Department of Justice for use in such proceeding when:

i. The FCSC, or any subdivision thereof, or

ii. Any employee of the FCSC in his or her official capacity, or

iii. Any employee of the FCSC in his or her individual capacity where the Department of Justice has agreed to represent the employee, or

iv. The United States, where the FCSC determines that the litigation is likely to affect it or any of its subdivisions,

is a party to litigation or has an interest in litigation and such records are determined by the FCSC to be arguably relevant and necessary to the litigation and such disclosure is determined by the FCSC to be a use compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records maintained in file folders.

Retrievability:

Filed numerically by claim number. File folders retrieved from Records Center by claim number. Alphabetical index used for identification of claim (see system "Justice/FCSC-1" above).

Safeguards:

Under security safeguards at Washington National Records Center.

Retention and disposal:

Records maintained under 5 U.S.C. 301. Disposal of records will be made in accordance with 44 U.S.C. 3301-3314 when such records are determined no longer useful. This system of records was retired to the Washington National Record Center after the completion of the claims program on August 9, 1959.

System manager(s) and address:

Administrative Office, Foreign Claims Settlement Commission, 1111 20th Street NW., Washington, DC 20579. 202/653-6155 or TDD 202/653-5112.

Notification procedure:

Set forth in Part 504 of Title 45, Code of Federal Regulations.

Contesting record procedures:

Same as above.

Record source categories:

Individual on whom the record is maintained.

JUSTICE/FCSC—3

System name:

Bulgaria, Claims Against (2nd Program)—FCSC.

System location:

Washington National Records Center, 4205 Suitland Road, Washington, DC 20409.

Categories of individuals covered by the system:

US Nationals who suffered property losses in Bulgaria between August 9, 1955, and July 2, 1963.

Categories of records in the system:

Claim application form containing name and address of claimant and representative, if any, date and place of birth or naturalization; nature and amount of claim; description, ownership, and value of property; and evidence to support claim for the purpose of receiving compensation.

Authority for maintenance of the system:

Title III, International Claims Settlement Act of 1949, as amended, and US-Bulgarian Claims Agreement of July 2, 1963.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Records were used for the purpose of adjudicating claims of individuals; issuance of decisions concerning eligibility to receive compensation under the Act; notifications to claimants of rights to appeal; and preparation of certifications of awards, if any, to Treasury Department for payment by authorized FCSC personnel. Names and other data furnished by claimants used for verifying citizenship status with INS. Law enforcement: In the event that a system of records maintained by FCSC to carry out its functions indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether federal, state, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto.

The information contained in this system of records will be disclosed to the Office of Management and Budget, in connection with the review of private relief legislation as set forth in OMB Circular No. A-19, at any stage of the legislative coordination and clearance process as set forth in that circular.

A record from this system of records may be disclosed as a routine use to a member of Congress or to a congressional staff member in response to an inquiry of the congressional office made at the request of the individual about whom the record is maintained.

A record, or any facts derived therefrom, may be disclosed in a proceeding before a court or adjudicative body before which the FCSC is authorized to appear or to the Department of Justice for use in such proceeding when:

i. The FCSC, or any subdivision thereof, or

ii. Any employee of the FCSC in his or her official capacity, or

iii. Any employee of the FCSC in his or her individual capacity where the Department of Justice has agreed to represent the employee, or

iv. the United States, where the FCSC determines that the litigation is likely to affect it or any of its subdivisions,

is a party to litigation or has an interest in litigation and such records are determined by the FCSC to be arguably relevant and necessary to the litigation and such disclosure is determined by the FCSC to be a use compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records maintained in file folders.

Retrievability:

Filed numerically by claim number. File folders retrieved from Records Center by claim number. Alphabetical index used for identification of claim (see system "Justice/FCSC-1" above).

Safeguards:

Under security safeguards at Washington National Records Center.

Retention and disposal:

Records maintained under 5 U.S.C. 301. Disposal of records will be made in accordance with 44 U.S.C. 3301-3314 when such records are determined no longer useful. This system of records was retired to the Washington National Records Center after the completion of the claims program on December 24, 1971.

System manager(s) and address:

Administrative Office, Foreign Claims Settlement Commission, 1111 20th Street NW., Washington, DC 20579. 202/653-6155 or TDD 202/653-5112.

Notification procedure:

Set forth in Part 504 of Title 45, Code of Federal Regulations.

Contesting record procedures:

Same as above.

Record source categories:

Individual on whom the record is maintained.

JUSTICE/FCSC—4

System name:

Certification of Awards—FCSC.

System location:

Foreign Claims Settlement Commission, 1111 20th Street, NW., Washington, DC 20579.

Categories of individuals covered by the system:

Individuals receiving awards under the International Claims Settlement Act of 1949, as amended, and War Claims Act of 1948, as amended.

Categories of records in the system:

Names and addresses of claimants and amounts of awards certified to Treasury Department for payment. Name and address of claimant's representative, if any, also included in certification voucher.

Authority for maintenance of the system:

International Claims Settlement Act of 1949, as amended, and War Claims Act of 1948, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Award certifications prepared by authorized FCSC personnel and forwarded to Treasury Department for payment in accordance with statutory authority and Treasury Department regulations and procedures.

The information contained in this system of records will be disclosed to the Office of Management and Budget, in connection with the review of private relief legislation as set forth in OMB Circular No. A-19, at any stage of the legislative coordination and clearance process as set forth in that circular.

A record from this system of records may be disclosed as a routine use to a member of Congress or to a congressional staff member in response to an inquiry of the congressional office made at the request of the individual about whom the record is maintained.

A record, or any facts derived therefrom, may be disclosed in a proceeding before a court or adjudicative body before which the FCSC is authorized to appear or to the Department of Justice for use in such proceeding when:

i. The FCSC, or any subdivision thereof, or

ii. Any employee of the FCSC in his or her official capacity, or

iii. Any employee of the FCSC in his or her individual capacity where the Department of Justice has agreed to represent the employee, or

iv. The United States, where the FCSC determines that the litigation is likely to affect it or any of its subdivisions,

is a party to litigation or has an interest in litigation and such records are determined by the FCSC to be arguably relevant and necessary to the litigation and such disclosure is determined by the FCSC to be a use compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Contained in file folders.

Retrievability:

By voucher number and date of certification.

Safeguards:

Building has building guards. Records are maintained in file cabinets in locked rooms.

Retention and disposal:

Records maintained under 5 U.S.C. 301. Disposal of records will be made in accordance with 44 U.S.C. 3301-3314 when such records are determined no longer useful.

System manager(s) and address:

Administrative Office, Foreign Claims Settlement Commission, 1111 20th Street NW., Washington, DC 20579. 202/653-6155 or TDD 202/653-5112.

Notification procedure:

Set forth in Part 504 of Title 45, Code of Federal Regulations.

Contesting record procedures:

Same as above.

Record source categories:

From award portion of decisions as determined by FCSC.

JUSTICE/FCSC—5

System name:

China, Claims Against—FCSC.

System location:

Washington National Records Center, 4205 Suitland Road, Washington, DC 20409.

Categories of individuals covered by the system:

US nationals who suffered property losses, death and disability in mainland China arising between October 1, 1949, and May 11, 1979.

Categories of records in the system:

Claim application form containing name and address of claimant and representative, if any; date and place of birth or naturalization of claimant; nature and amount of claim; description, ownership and value of property; and evidence to support claim.

Authority for maintenance of the system:

Titles I and V, International Claims Settlement Act of 1949, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Adjudication of claims, issuance of decisions as to the validity and amounts of claims and issuance of certifications to each individual claimant as to amount determined by FCSC officials and personnel. Such amounts and copies of FCSC decisions were certified to the Secretary of State and to the Secretary of the Treasury. Law enforcement: In the event that a system of records maintained by FCSC to carry out its functions indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute, particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, State, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto.

The information contained in this system of records will be disclosed to the Office of Management and Budget, in connection with the review of private relief legislation as set forth in OMB Circular No. A-19, at any stage of the legislative coordination and clearance process as set forth in that circular.

A record from this system of records may be disclosed as a routine use to a member of Congress or to a congressional staff member in response to an inquiry of the congressional office made at the request of the individual about whom the record is maintained.

A record, or any facts derived therefrom, may be disclosed in a proceeding before a court or adjudicative body before which the FCSC is authorized to appear or to the Department of Justice for use in such proceeding when:

ii. Any employee of the FCSC in his or her official capacity, or

iii. Any employee of the FCSC in his or her individual capacity where the Department of Justice has agreed to represent the employee, or

iv. The United States, where the FCSC determines that the litigation is likely to affect it or any of its subdivisions,

is a party to litigation or has an interest in litigation and such records are determined by the FCSC to be arguably relevant and necessary to the litigation and such disclosure is determined by the FCSC to be a use compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records maintained in file folders.

Retrievability:

Filed numerically by claim number. File folders retrieved from Records Center by claim number. Alphabetical index used for identification of claim (see system "Justice/FCSC-1" above).

Safeguards:

Under security safeguards at Washington National Records Center.

Retention and disposal:

Records maintained under 5 U.S.C. 301. Disposal of records will be made in accordance with 44 U.S.C. 3301-3314 when such records are determined no longer useful.

System manager(s) and address:

Administrative Office, Foreign Claims Settlement Commission, 1111 20th Street NW., Washington, DC 20579. 202/653-6155 or TDD 202/653-5112.

Notification procedure:

Set forth in Part 504 of Title 45, Code of Federal Regulations.

Contesting record procedures:

Same as above.

Record source categories:

Individual on whom the record is maintained.

JUSTICE/FCSC—6

System name:

Civilian Internees (Vietnam)—FCSC.

System location:

Washington National Records Center, 4205 Suitland Road, Washington, DC 20409.

Categories of individuals covered by the system:

American citizens held by a hostile force in Southeast Asia during Vietnam conflict.

Categories of records in the system:

Claim application form contains name and address, date and place of birth, birth certificates. Verification of internment furnished by State Department contains names, addresses and inclusive dates of internment.

Authority for maintenance of the system:

Section 5(i), War Claims Act of 1948, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Adjudication of claims of American citizens and certification of awards to Treasury Department for payment by authorized FCSC personnel. Law enforcement: In the event that a system of records maintained by FCSC to carry out its functions indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether federal, state, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto.

The information contained in this system of records will be disclosed to the Office of Management and Budget, in connection with the review of private relief legislation as set forth in OMB Circular No. A-19, at any stage of the legislative coordination and clearance process as set forth in that circular.

A record from this system of records may be disclosed as a routine use to a member of Congress or to a congressional staff member in response to an inquiry of the congressional office made at the request of the individual about whom the record is maintained.

A record, or any facts derived therefrom, may be disclosed in a proceeding before a court or adjudicative body before which the FCSC is authorized to appear or to the Department of Justice for use in such proceeding when:

i. The FCSC, or any subdivision thereof, or

ii. Any employee of the FCSC in his or her official capacity, or

iii. Any employee of the FCSC in his or her individual capacity where the Department of Justice has agreed to represent the employee, or

iv. The United States, where the FCSC determines that the litigation is likely to affect it or any of its subdivisions,

is a party to litigation or has an interest in litigation and such records are determined by the FCSC to be arguably relevant and necessary to the litigation and such disclosure is determined by the FCSC to be a use compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records maintained in file folders.

Retrievability:

Filed by claim number. Cross-referenced by alphabetical index cards (see system "Justice/FCSC-1" above).

Safeguards:

Under security safeguards at Washington National Records Center.

Retention and disposal:

Records maintained under 5 U.S.C. 301. Disposal of records will be made in accordance with 44 U.S.C. 3301-3314 when such records are determined no longer useful.

System manager(s) and address:

Administrative Office, Foreign Claims Settlement Commission, 1111 20th Street NW., Washington, DC 20579. 202/653-6155 or TDD 202/653-5112.

Notification procedure:

Set forth in Part 504 of Title 45, Code of Federal Regulations.

Contesting record procedures:

Same as above.

Record source categories:

Individual on whom record is maintained.

JUSTICE/FCSC—7

System name:

Correspondence (General)—FCSC.

System location:

Foreign Claims Settlement Commission, 1111 20th Street, NW., Washington, DC 20579.

Categories of individuals covered by the system:

Generally, US nationals suffering losses in foreign countries; also inquiries from Congressmen.

Categories of records in the system:

Correspondence containing names and addresses of individual, description and location of property or other types of losses. Inquiries generally are related to claims. Commission procedures and other related matters not included under the "Correspondence (Inquiries concerning claims in foreign countries)" system.

Authority for maintenance of the system:

5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

For dissemination of requested information to individuals by FCSC personnel. Correspondence may be referred to other concerned agencies on matters not within the jurisdiction of FCSC.

The information contained in this system of records will be disclosed to the Office of Management and Budget, in connection with the review of private relief legislation as set forth in OMB Circular No. A-19, at any stage of the legislative coordination and clearance process as set forth in that circular.

A record from this system of records may be disclosed as a routine use to a member of Congress or to a congressional staff member in response to an inquiry of the congressional office made at the request of the individual about whom the record is maintained.

A record, or any facts derived therefrom, may be disclosed in a proceeding before a court or adjudicative body before which the FCSC is authorized to appear or to the Department of Justice for use in such proceeding when:

i. The FCSC, or any subdivision thereof, or

ii. Any employee of the FCSC in his or her official capacity, or

iii. Any employee of the FCSC in his or her individual capacity where the Department of Justice has agreed to represent the employee, or

iv. The United States, where the FCSC determines that the litigation is likely to affect it or any of its subdivisions,

is a party to litigation or has an interest in litigation and such records are determined by the FCSC to be arguably relevant and necessary to the litigation and such disclosure is determined by the FCSC to be a use compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Alphabetical in file cabinets.

Retrievability:

By name.

Safeguards:

Security guards in building. Records maintained in file cabinets in locked rooms accessible only to authorized Commission personnel.

Retention and disposal:

Records maintained under 5 U.S.C. 301. Disposal of records will be made in accordance with 44 U.S.C. 3301-3314 when such records are determined no longer useful.

System manager(s) and address:

Administrative Office, Foreign Claims Settlement Commission, 1111 20th Street NW., Washington, DC 20579. 202/653-6155 or TDD 202/653-5112.

Notification procedure:

Set forth in Part 504 of Title 45, Code of Federal Regulations.

Contesting record procedures:

Same as above.

Record source categories:

Individual on whom the record is maintained.

JUSTICE/FCSC—8

System name:

Correspondence (Inquiries Concerning Claims in Foreign Countries)—FCSC.

System location:

Foreign Claims Settlement Commission, 1111 20th Street NW., Washington, DC 20579.

Categories of individuals covered by the system:

US nationals suffering losses in foreign countries; inquiries from Congressmen.

Categories of records in the system:

Correspondence containing names and addresses of individuals and description and location of property or other types of losses. Inquiries generally are related to claims programs administered by FCSC. Records also include those transferred from State Department which may relate to such programs.

Authority for maintenance of the system:

5 U.S.C. 301, sec. 4(d), International Claims Settlement Act of 1949, as amended, and sec. 216, War Claims Act of 1948, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

For dissemination of information by authorized FCSC personnel to individuals making inquiries concerning various claims programs authorized under the International Claims Settlement Act of 1949, as amended, the War Claims Act of 1948, as amended, international claims agreements, and for notification purposes for newly authorized claims programs under which individuals may be affected.

The information contained in this system of records will be disclosed to the Office of Management and Budget, in connection with the review of private relief legislation as set forth in OMB Circular No. A-19, at any stage of the legislative coordination and clearance process as set forth in that circular.

A record from this system of records may be disclosed as a routine use to a member of Congress or to a congressional staff member in response to an inquiry of the congressional office made at the request of the individual about whom the record is maintained.

A record, or any facts derived therefrom, may be disclosed in a proceeding before a court or adjudicative body before which the FCSC is authorized to appear or to the Department of Justice for use in such proceeding when:

i. The FCSC, or any subdivision thereof, or

ii. Any employee of the FCSC in his or her official capacity, or

iii. Any employee of the FCSC in his or her individual capacity where the Department of Justice has agreed to represent the employee, or

iv. The United States, where the FCSC determines that the litigation is likely to affect it or any of its subdivision,

is a party to litigation or has an interest in litigation and such records are determined by the FCSC to be arguably relevant and necessary to the litigation and such disclosure is determined by the FCSC to be a use compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Alphabetical in file cabinets.

Retrievability:

By name.

Safeguards:

Security guards in building. Records maintained in file cabinets in locked rooms accessible only to authorized Commission personnel.

Retention and disposal:

Records maintained under 5 U.S.C. 301. Disposal of records will be made in accordance with 44 U.S.C. 3301-3314 when such records are determined no longer useful.

System manager(s) and address:

Administrative Office, Foreign Claims Settlement Commission, 1111 20th Street NW., Washington, DC 20579. 202/653-6155 or TDD 202/653-5112.

Notification procedure:

Set forth in Part 504 of Title 45, Code of Federal Regulations.

Contesting record procedures:

Same as above.

Record source categories:

Individual on whom the record is maintained.

JUSTICE/FCSC—9

System name:

Cuba, Claims Against—FCSC.

System location:

Washington National Records Center, 4205 Suitland Road, Washington, DC 20409.

Categories of individuals covered by the system:

US nationals who suffered property losses, death and disability in Cuba since January 1, 1959.

Categories of records in the system:

Claim application form containing name and address of claimant and representative, if any; date and place of birth or naturalization; nature and amount of claim; description, ownership, and value of property; and evidence to support claim, including medical and death records in claims involving death and disability.

Authority for maintenance of the system:

Title V, International Claims Settlement Act of 1949, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Adjudication of claims, issuance of decisions as to the validity and amounts of claims and issuance of certifications to each individual claimant as to amount determined by FCSC officials and personnel. Such amounts and copies of FCSC decisions were certified to the Secretary of State pending conclusion of any claims settlement agreement between US and Cuba. Law enforcement: In the event that a system of records maintained by FCSC to carry out its functions indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, State, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto.

The information contained in this system of records will be disclosed to the Office of Management and Budget, in connection with the review of private relief legislation as set forth in OMB Circular No. A-19, at any stage of the legislative coordination and clearance process as set forth in that circular.

A record from this system of records may be disclosed as a routine use to a member of Congress or to a congressional staff member in response to an inquiry of the congressional office made at the request of the individual about whom the record is maintained.

A record, or any facts derived therefrom, may be disclosed in a proceeding before a court or adjudicative body before which the FCSC is authorized to appear or to the Department of Justice for use in such proceeding when:

i. The FCSC, or any subdivision thereof, or

ii. Any employee of the FCSC in his or her official capacity, or

iii. Any employee of the FCSC in his or her individual capacity where the Department of Justice has agreed to represent the employee, or

iv. The United States, where the FCSC determines that the litigation is likely to affect it or any of its subdivisions,

is a party to litigation or has an interest in litigation and such records are determined by the FCSC to be arguably relevant and necessary to the litigation and such disclosure is determined by the FCSC to be a use compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records maintained in file folders.

Retrievability:

Filed numerically by claim number. File Folders retrieved from Records Center by claim number. Alphabetical index used for identification of claim (see system "Justice/FCSC-1" above).

Safeguards:

Under security safeguards at Washington National Records Center.

Retention and disposal:

Records maintained under 5 U.S.C. 301. Disposal of records will be made in accordance with 44 U.S.C. 3301-3314 when such records are determined no longer useful.

System manager(s) and address:

Administrative Office, Foreign Claims Settlement Commission, 1111 20th Street NW, Washington, DC 20579. 202/653-6155 or TDD 202/653-5112.

Notification procedure:

Set forth in Part 504 of Title 45, Code of Federal Regulations.

Contesting record procedures:

Same as above.

Record source categories:

Individual on whom the record is maintained.

JUSTICE/FCSC—10

System name:

Czechoslovakia, Claims Against (1st and 2nd Programs)—FCSC.

System location:

Washington National Records Center, 4205 Suitland Road, Washington, DC 20409.

Categories of individuals covered by the system:

US nationals who suffered property losses in Czechoslovakia from January 1, 1945, to August 8, 1958 (1st Program) and from August 9, 1958 to February 2, 1982 (2nd Program).

Categories of records in the system:

Claim application form containing name and address of claimant and representative, if any; date and place of birth or naturalization; nature and amount of claim; description, ownership, and value of property; and evidence to support claim for the purpose of receiving compensation.

Authority for maintenance of the system:

Title IV, International Claims Settlement Act of 1949, as amended (1st Program) and the Czechoslovakian Claims Settlement Act of 1981 (2nd Program).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Records were used for the purpose of adjudicating claims of individuals; issuance of decisions concerning eligibility to receive compensation under the Act; notifications to claimants of rights to appeal; and preparation of certifications of awards, if any, to Treasury Department for payment by authorized by FCSC personnel. Names and other data furnished by claimants used for verifying citizenship status with INS. Law enforcement: In the event that a system of records maintained by FCSC to carry out its functions indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, State, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto.

The information contained in this system of records will be disclosed to the Office of Management and Budget, in connection with the review of private relief legislation as set forth in OMB Circular No. A-19, at any stage of the legislative coordination and clearance process as set forth in that circular.

A record from this system of records may be disclosed as a routine use to a member of Congress or to a congressional staff member in response to an inquiry of the congressional office made at the request of the individual about whom the record is maintained.

A record, or any facts derived therefrom, may be disclosed in a proceeding before a court or adjudicative body before which the FCSC is authorized to appear or to the Department of Justice for use in such proceeding when:

i. The FCSC, or any subdivision thereof, or

ii. Any employee of the FCSC in his or her official capacity, or

iii. Any employee of the FCSC in his or her individual capacity where the Department of Justice has agreed to represent the employee, or

iv. The United States, where the FCSC determines that the litigation is likely to affect it or any of its subdivisions,

is a party to litigation or has an interest in litigation and such records are determined by the FCSC to be arguably relevant and necessary to the litigation and such disclosure is determined by the FCSC to be a use compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records maintained in file folders.

Retrievability:

Filed numerically by claim number. File Folders retrieved from Records Center by claim number. Alphabetical index used for identification of claim (see system "Justice/FCSC-1" above).

Safeguards:

Under security safeguards at Washington National Records Center.

Retention and disposal:

Records maintained under 5 U.S.C. 301. Disposal of records will be made in accordance with 44 U.S.C. 3301-3314 when such records are determined no longer useful.

System manager(s) and address:

Administrative Office, Foreign Claims Settlement Commission, 1111 20th Street NW., Washington, DC 20579. 202/653-6155 or TDD 202/653-5112.

Notification procedure:

Set forth in Part 504 of Title 45, Code of Federal Regulations.

Contesting record procedures:

Same as above.

Record source categories:

Individual on whom the record is maintained.

JUSTICE/FCSC—11

System name:

East Germany, Registration of Claims Against—FCSC.

System location:

Foreign Claims Settlement Commission, 1111 20th Street, NW., Washington, DC 20579.

Categories of individuals covered by the system:

US nationals who suffered certain property losses in East Germany.

Categories of records in the system:

Claims registration form containing name and address of claimant and representative, if any; date and place of birth or naturalization; nature and amount of claim; description, ownership, and value of property; and evidence to support claim for the purpose of receiving compensation.

Authority for maintenance of the system:

Title I, International Claims Settlement Act of 1949, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Information received from individuals on registration forms is for use in preparation of statistical reports which will form the basis for further discussions by the State Department for negotiations between the Governments of the United States and the German Democratic Republic for the settlement of claims of US nationals not otherwise settled. Registration forms filed will be used by FCSC personnel in the distribution of formal claim application forms in case a claims settlement agreement is reached at a future date.

The information contained in this system of records will be disclosed to the Office of Management and Budget, in connection with the review of private relief legislation as set forth in OMB Circular No. A-19, at any stage of the legislative coordination and clearance process as set forth in that circular.

A record from this system of records may be disclosed as a routine use to a member of Congress or to a congressional staff member in response to an inquiry of the congressional office made at the request of the individual about whom the record is maintained.

A record, or any facts derived therefrom, may be disclosed in a proceeding before a court or adjudicative body before which the FCSC is authorized to appear or to the Department of Justice for use in such proceeding when:

i. The FCSC, or any subdivision thereof, or

ii. Any employee of the FCSC in his or her official capacity, or

iii. Any employee of the FCSC in his or her individual capacity where the Department of Justice has agreed to represent the employee, or

iv. The United States, where the FCSC determines that the litigation is likely to affect it or any of its subdivisions,

is a party to litigation or has an interest in litigation and such records are determined by the FCSC to be arguably relevant and necessary to the litigation and such disclosure is determined by the FCSC to be a use compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Numerical order in file cabinets. Cross-reference alphabetical index.

Retrievability:

By name.

Safeguards:

Building employs security guards. Records are maintained in locked room accessible only to authorized FCSC personnel.

Retention and disposal:

Records maintained under 5 U.S.C. 301. Disposal of records will be made in accordance with 44 U.S.C. 3301-3314 when such records are determined no longer useful.

System manager(s) and address:

Administrative Office, Foreign Claims Settlement Commission, 1111 20th Street NW., Washington, DC 20579. 202/653-6155 or TDD 202/653-5112.

Notification procedure:

Set forth in Part 504 of Title 45, Code of Federal Regulations.

Contesting record procedures:

Same as above.

Record source categories:

Individual on whom the record is maintained.

JUSTICE/FCSC—12

System name:

Federal Republic of Germany, Questionnaire Inquiries From—FCSC.

System location:

Washington National Records Center, 4205 Suitland Road, Washington, DC 20409.

Categories of individuals covered by the system:

Individuals suffering losses in Eastern European countries, including Germany.

Categories of records in the system:

Questionnaires from Federal Republic of Germany (Ausgleichsamt) containing name, address, date and place of birth or naturalization; description and location of property. Such information was furnished to Federal Republic of Germany by US residents who filed claims under the West German Federal Compensation Laws (BEG).

Authority for maintenance of the system:

5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To inform Federal Republic Of Germany Equalization of Burdens offices whether individuals who filed claims for losses compensable under the West German Federal Compensation Laws (BEG) also filed claims with the Foreign Claims Settlement Commission under US claims statutes and received compensation under such statutes for the same losses. Information furnished to FRG obtained from FCSC decisions or claim applications from individuals who filed claims with FCSC.

The information contained in this system of records will be disclosed to the Office of Management and Budget, in connection with the review of private relief legislation as set forth in OMB Circular No. A-19, at any stage of the legislative coordination and clearance process as set forth in that circular.

A record from this system of records may be disclosed as a routine use to a member of Congress or to a congressional staff member in response to an inquiry of the congressional office made at the request of the individual about whom the record is maintained.

A record, or any facts derived therefrom, may be disclosed in a proceeding before a court or adjudicative body before which the FCSC is authorized to appear or to the Department of Justice for use in such proceeding when:

i. The FCSC, or any subdivision thereof, or

ii. Any employee of the FCSC in his or her official capacity, or

iii. Any employee of the FCSC in his or her individual capacity where the Department of Justice has agreed to represent the employee, or

iv. The United States, where the FCSC determines that the litigation is likely to affect it or any of its subdivisions,

is a party to litigation or has an interest in litigation and such records are determined by the FCSC to be arguably relevant and necessary to the litigation and such disclosure is determined by the FCSC to be a use compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

By name.

Safeguards:

Under security safeguards at Washington National Records Center.

Retention and disposal:

Records maintained under 5 U.S.C. 301. Disposal of records will be made in accordance with 44 U.S.C. 3301-3314 when such records are determined no longer useful.

System manager(s) and address:

Administrative Office, Foreign Claims Settlement Commission, 1111 20th Street NW., Washington, DC 20579. Telephone: 202/653-6155 or TDD 202/653-5112.

Notification procedure:

Set forth in Part 504 of Title 45, Code of Federal Regulations.

Contesting record procedures:

Same as above.

Record source categories:

Questionnaire from Federal Republic of Germany (Equalization of Burdens Office).

JUSTICE/FCSC—13

System name:

Payroll Records—FCSC.

System location:

Justice Department, Payroll Services Center, 633 Indiana Ave., NW., Washington, DC 20530. Copies held by FCSC, 1111 20th Street NW., Washington, DC 20579.

Categories of records in the system:

Varied payroll records, including, among other documents, time and attendance sheets; payment vouchers; comprehensive listing of employees; health benefits records; requests for deductions; tax forms, W-2 forms, overtime requests; leave data; retirement records. Records are used by FCSC and Justice Department employees to maintain adequate payroll information for the employees, and otherwise by FCSC and Justice Department employees who have a need for the record in the performance of their duties.

Authority for maintenance of the system:

31 U.S.C., generally.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

See Appendix under General Personnel Files. Records also are disclosed to GAO for audits; to the Internal Revenue Service for investigation; and to private attorneys, pursuant to a power of attorney.

A copy of an employee's Department of the Treasury Form W-2, Wage and Tax Statement, also is disclosed to the State, city, or other local jurisdiction which is authorized to tax the employee's compensation. The record will be provided in accordance with a withholding agreement between the State, city, or other local jurisdiction and the Department of the Treasury, pursuant to 5 U.S.C. 5516, 5517, or 5520, or, in the absence thereof, in response to a written request from an appropriate official of the taxing jurisdiction to the Administrative Office, Foreign Claims Settlement Commission, 1111 20th Street NW., Washington, DC 20579. The request must include a copy of the applicable statute or ordinance authorizing the taxation of compensation and should indicate whether the authority of the jurisdiction to tax the employee is based on place of residence, place of employment, or both.

Pursuant to a withholding agreement between a city and the Department of the Treasury (5 U.S.C. 5520), copies of executed city tax withholding certificates shall be furnished the city in response to written request from an appropriate city official to the Administrative Office.

In the absence of a withholding agreement, the Social Security Number will be furnished only to a taxing jurisdiction which has furnished this agency with evidence of its independent authority to compel disclosure of the Social Security Number, in accordance with Section 7 of the Privacy Act, Pub. L. 93-579.

A record, or any facts derived therefrom, may be disclosed in a proceeding before a court or adjudicative body before which the FCSC is authorized to appear or to the Department of Justice for use in such proceeding when:

i. The FCSC, or any subdivision thereof, or

ii. Any employee of the FCSC in his or her official capacity, or

iii. Any employee of the FCSC in his or her individual capacity where the Department of Justice has agreed to represent the employee, or

iv. The United States, where the FCSC determines that the litigation is likely to affect it or any of its subdivisions,

is a party to litigation or has an interest in litigation and such records are determined by the FCSC to be arguably relevant and necessary to the litigation and such disclosure is determined by the FCSC to be a use compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper and microfilm.

Retrievability:

Social Security Number.

Safeguards:

Stored in guarded building; released only to authorized personnel.

Retention and disposal:

In accordance with General Records Schedule 2, GSA Federal Property Management Regulations.

System manager(s) and address:

Justice Department Payroll Services Center, 633 Indiana Avenue NW., Washington, DC 20530, and Administrative Office, Foreign Claims Settlement Commission, 1111 20th Street NW., Washington, DC 20579. 202/653-6155 or TDD 202/653-5112.

Notification procedure:

Set forth in Part 504 of Title 45, Code of Federal Regulations.

Record access procedures:

Same as above.

Contesting record procedures:

Same as above.

Record source categories:

The subject individual; the FCSC.

JUSTICE/FCSC—14

System name:

General Personnel Files—FCSC.

System location:

Justice Department Personnel Office, 10th and Pennsylvania Avenue NW., Washington, DC 20530. Copies held by Administrative Office, Foreign Claims Settlement Commission, 1111 20th Street NW., Washington, DC 20579.

Categories of individuals covered by the system:

Commission employees and former employees.

Categories of records in the system:

General personnel information, including, among other data, training and travel records, applications, position descriptions, request for and notification of personnel action, employee performance ratings and promotion appraisals, time and attendance records, security clearances, titles, SCD, DOB, grade, salary, employment history, home address, age, marital status, SSN, home telephone number, resume, and letters of recommendation. System contains copies of Office of Personnel Management and Justice Department personnel forms, including, among others: Fingerprint chart, security investigation data for sensitive position, data for noncritical-sensitive position, US savings bond authorization, physical fitness inquiry for motor vehicle operators, application for leave, personal qualifications statement, operational emergencies relocation site, recommendation for performance recognition, employee appraisal, payroll change slip, organizational roster, notice of injury or occupational disease, claim for reimbursement for expenditures, statement of earnings, promotion appraisal, and receipt for property.

Authority for maintenance of the system:

5 U.S.C., generally.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

See Appendix. Completion of agency forms for request for personnel actions, security clearances, training authorizations, travel authorizations, time and attendance records, reports, etc. Also used for issuing passes, etc. Information is used "in house" for personnel evaluation and management. Information is disclosed to persons outside the agency for verifying employment/salary, preparing letters of reference at the request of the employee, making travel and training arrangements, supplying data to non-Federal attorneys directories, and furnishing copies of performance appraisals to other government agencies when employees have applied for jobs elsewhere.

The information contained in this system of records will be disclosed to the Office of Management and Budget, in connection with the review of private relief legislation as set forth in OMB Circular No. A-19, at any stage of the legislative coordination and clearance process as set forth in that circular.

A record from this system of records may be disclosed as a routine use to a member of Congress or to a congressional staff member in response to an inquiry of the congressional office made at the request of the individual about whom the record is maintained.

A record, or any facts derived therefrom, may be disclosed in a proceeding before a court or adjudicative body before which the FCSC is authorized to appear or to the Department of Justice for use in such proceeding when:

i. The FCSC, or any subdivision thereof, or

ii. Any employee of the FCSC in his or her official capacity, or

iii. Any employee of the FCSC in his or her individual capacity where the Department of Justice has agreed to represent the employee, or

iv. The United States, where the FCSC determines that the litigation is likely to affect it or any of its subdivisions,

is a party to litigation or has an interest in litigation and such records are determined by the FCSC to be arguably relevant and necessary to the litigation and such disclosure is determined by the FCSC to be a use compatible with the purpose for which the records were collected.

Appendix

In the event that a system of records maintained by this agency to carry out its functions indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, State, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto.

A record from this system of records may be disclosed as a routine use to a Federal, State or local agency maintaining civil, criminal or other relevant enforcement information, such as current licenses, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee, the issuance of security clearance, grant or other benefit.

A record from this system of records may be disclosed to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision in the matter.

A record from this system of records may be disclosed to an authorized appeal grievance examiner, formal complaints examiner, equal employment opportunity investigator, arbitrator or other duly authorized official engaged in investigation or settlement of a grievance, complaint, or appeal filed by an employee. A record from this system of records may be disclosed to the United States Office of Personnel Management in accordance with the agency's responsibility for evaluation and oversight of Federal personnel management.

A record from this system of records may be disclosed to officers and employees of a Federal agency for purposes of audit; used by Administrative Officer and other authorized agency employees; used for convenient reference to personnel information needed on a daily basis to complete reports, make payroll adjustments, take personnel action, and meet other administrative requirements within the Commission and Justice Department; used also to supply information, as requested by employees, to persons outside the agency.

The information contained in this system of records will be disclosed to the Office of Management and Budget, in connection with the review of private relief legislation as set forth in OMB Circular No. A-19, at any stage of the legislative coordination and clearance process as set forth in that circular.

A record from this system of records may be disclosed as a routine use to amember of Congress or to a congressional staff member in response to an inquiry of the congressional office made at the request of the individual about whom the record is maintained.

A record from this system of records may be disclosed to officers and employees of the Justice Department in connection with administrative services provided to this agency by the Department.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper files and computer printouts.

Retrievability:

Manual by name, grade, title.

Safeguards:

Filed in guarded buildings; records are available to authorized persons only.

Retention and disposal:

In accordance with General Records Schedule 1, GSA Federal Property Management Regulations.

System manager(s) and address:

Justice Department Personnel Office, 10th and Pennsylvania Avenue NW., Washington, DC 20530. and Administrative Office, Foreign Claims Settlement Commission, 1111 20th Street NW., Washington, DC 20579. 202/653-6155 or TDD 202/653-5112.

Notification procedure:

Set forth in Part 504 of Title 45, Code of Federal Regulations.

Contesting record procedures:

Same as above.

Record source categories:

Official personnel records, Commission and Justice Department Personnel and Finance Offices. Supervisors, letters of reference or commendation furnished by agency officials or persons from private industry, educational information supplied by colleges and universities, and the individual.

JUSTICE/FCSC—15

System name:

General Financial Records—FCSC.

System location:

Justice Department Finance Office, Justice Management Division, 601 D Street NW., Washington, DC 20530. Copies held by Administrative Office, Foreign Claims Settlement Commission, 1111 20th Street NW., Washington, DC 20579.

Categories of individuals covered by the system:

Commission employees and former employees.

Categories of records in the system:

SF 1038, Application and account for advance of funds; Vendor register and vendor payment tape. Information is used by accounting technicians to maintain adequate financial information and by other officers and employees of the Justice Department and Commission who have a need for the record in the performance of their duties.

Authority for maintenance of the system:

31 U.S.C. generally.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

See Appendix under General Personnel Files. Records also are released to GAO for audits; to the IRS for investigation; and to private attorneys, pursuant to a power of attorney.

The information contained in this system of records will be disclosed to the Office of Management and Budget, in connection with the review of private relief legislation as set forth in OMB Circular No. A-19, at any stage of the legislative coordination and clearance process as set forth in that circular.

A record from this system of records may be disclosed as a routine use to a member of Congress or to a congressional staff member in response to an inquiry of the congressional office made at the request of the individual about whom the record is maintained.

A record, or any facts derived therefrom, may be disclosed in a proceeding before a court or adjudicative body before which the FCSC is authorized to appear or to the Department of Justice for use in such proceeding when:

i. The FCSC, or any subdivision thereof, or

ii. Any employee of the FCSC in his or her official capacity, or

iii. Any employee of the FCSC in his or her individual capacity where the Department of Justice has agreed to represent the employee, or

iv. The United States, where the FCSC determines that the litigation is likely to affect it or any of its subdivisions,

is a party to litigation or has an interest in litigation and such records are determined by the FCSC to be arguably relevant and necessary to the litigation and such disclosure is determined by the FCSC to be a use compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper and tape.

Retrievability:

Manual and automated by name.

Safeguards:

Stored in guarded building; released only to authorized personnel.

Retention and disposal:

In accordance with General Records Schedule 1, GSA Federal Property Management Regulations.

System manager(s) and address:

Justice Department Finance Office, Justice Management Division, 601 D Street NW., Washington, DC 20530, and Administrative Office, Foreign Claims Settlement Commission, 1111 20th Street NW., Washington, DC 20579. 202/653-6155 or TDD 202/653-5112.

Notification procedure:

Set forth in Part 504 of Title 45, Code of Federal Regulations.

Contesting record procedures:

Same as above.

Record source categories:

The subject individual; the Commission.

JUSTICE/FCSC—16

System name:

Hungary Claims Against (1st Program)—FCSC.

System location:

Washington National Records Center, 4205 Suitland Road, Washington, DC 20409.

Categories of individuals covered by the system:

US nationals who suffered property losses or damages in Hungary prior to August 9, 1955.

Categories of records in the system:

Claim application form containing name and address of claimant and representative, if any; date and place of birth or naturalization; nature and amount of claim; description, ownership, and value of property; and evidence to support claim for the purpose of receiving compensation.

Authority for maintenance of the system:

Title III, International Claims Settlement Act of 1949, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Records were used for the purpose of adjudicating claims of individuals; issuance of decisions concerning eligibility to receive compensation under the Act; notifications to claimants of rights to appeal; and preparation of certifications of awards, if any, to Treasury Department for payment by authorized FCSC personnel. Names and other data furnished by claimants used for verifying citizenship status with INS. Law enforcement: In the event that a system of records maintained by FCSC to carry out its functions indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, State, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto.

The information contained in this system of records will be disclosed to the Office of Management and Budget, in connection with the review of private relief legislation as set forth in OMB Circular No. A-19, at any stage of the legislative coordination and clearance process as set forth in that circular.

A record from this system of records may be disclosed as a routine use to a member of Congress or to a congressional staff member in response to an inquiry of the congressional office made at the request of the individual about whom the record is maintained.

A record, or any facts derived therefrom, may be disclosed in a proceeding before a court or adjudicative body before which the FCSC is authorized to appear or to the Department of Justice for use in such proceeding when:

i. The FCSC, or any subdivision thereof, or

ii. Any employee of the FCSC in his or her official capacity, or

iii. Any employee of the FCSC in his or her individual capacity where the Department of Justice has agreed to represent the employee, or

iv. The United States, where the FCSC determines that the litigation is likely to affect it or any of its subdivisions,

is a party to litigation or has an interest in litigation and such records are determined by the FCSC to be arguably relevant and necessary to the litigation and such disclosure is determined by the FCSC to be a use compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records maintained in file folders.

Retrievability:

Filed numerically by claim number. File folders retrieved from Records Center by claim number. Alphabetical index used for identification of claim (see system "Justice/FCSC-1" above).

Safeguards:

Under security safeguards at Washington National Records Center.

Retention and disposal:

Records maintained under 5 U.S.C. 301. Disposal of records will be made in accordance with 44 U.S.C. 3301-3314 when such records are determined no longer useful.

System manager(s) and address:

Administrative Office, Foreign Claims Settlement Commission, 1111 20th Street NW., Washington, DC 20579. 202/653-6155 or TDD 202/653-5112.

Notification procedure:

Set forth in Part 504 of Title 45, Code of Federal Regulations.

Contesting record procedures:

Same as above.

Record source categories:

Individual on whom the record is maintained.

JUSTICE/FCSC—17

System name:

Hungary, Claims Against (2nd Program)—FCSC.

System location:

Washington National Records Center, 4205 Suitland Road, Washington, DC 20409.

Categories of individuals covered by the system:

US nationals who suffered property losses in Hungary between August 9, 1955, and March 6, 1973.

Categories of records in the system:

Claim application form containing name and address of claimant and representative, if any; date and place of birth or naturalization; nature and amount of claim; description, ownership, and value of property; and evidence to support claim for the purpose of receiving compensation.

Authority for maintenance of the system:

Title III, International Claims Settlement Act of 1949, as amended, and US-Hungarian Claims Agreement of March 6, 1973.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Records were used for the purpose of adjudicating claims of individuals; issuance of decisions concerning eligibility to receive compensation under the Act; notifications to claimants of rights to appeal; and preparation of certifications of awards, if any, to Treasury Department for payment by authorized FCSC personnel. Names and other data furnished by claimants used for verifying citizenship status with INS. Law enforcement: In the event that a system of records maintained by FCSC to carry out its functions indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, State, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto.

The information contained in this system of records will be disclosed to the Office of Management and Budget, in connection with the review of private relief legislation as set forth in OMB Circular No. A-19, at any stage of the legislative coordination and clearance process as set forth in that circular.

A record from this system of records may be disclosed as a routine use to a member of Congress or to a congressional staff member in response to an inquiry of the congressional office made at the request of the individual about whom the record is maintained.

A record, or any facts derived therefrom, may be disclosed in a proceeding before a court or adjudicative body before which the FCSC is authorized to appear or to the Department of Justice for use in such proceeding when:

i. The FCSC, or any subdivision thereof, or

ii. Any employee of the FCSC in his or her official capacity, or

iii. Any employee of the FCSC in his or her individual capacity where the Department of Justice has agreed to represent the employee, or

iv. The United States, where the FCSC determines that the litigation is likely to affect it or any of its subdivisions,

is a party to litigation or has an interest in litigation and such records are determined by the FCSC to be arguably relevant and necessary to the litigation and such disclosure is determined by the FCSC to be a use compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records maintained in file folders.

Retrievability:

Filed numerically by claim number. Alphabetical index used for identification of claim (see system "Justice/FCSC-1" above).

Safeguards:

Under security safeguards at Washington National Records Center.

Retention and disposal:

Records maintained under 5 U.S.C. 301. Disposal of records will be made in accordance with 44 U.S.C. 3301-3314 when such records are determined no longer useful.

System manager(s) and address:

Administrative Office, Foreign Claims Settlement Commission, 1111 20th Street NW., Washington, DC 20579. 202/653-6155 or TDD 202/653-5112.

Notification procedure:

Set forth in Part 504 of Title 45, Code of Federal Regulations.

Contesting record procedures:

Same as above.

Record source categories:

Individual on whom the record is maintained.

JUSTICE/FCSC—18

System name:

Italy, Claims Against (1st Program)—FCSC.

System location:

Washington National Records Center, 4205 Suitland Road, Washington, DC 20409.

Categories of individuals covered by the system:

US nationals who suffered losses to property attributable to Italian military action arising out of World War II.

Categories of records in the system:

Claim application forms containing name and address of claimant and representative, if any; date and place of birth or naturalization; nature and amount of claim; description, ownership, and value of property; and evidence to support claim for the purpose of receiving compensation.

Authority for maintenance of the system:

Title III, International Claims Settlement Act of 1949, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Records were used for the purpose of adjudicating claims of individuals; issuance of decisions concerning eligibility to receive compensation under the Act; notifications to claimants of rights to appeal; and preparation of certifications of awards, if any, to Treasury Department for payment by authorized FCSC personnel. Names and other data furnished by claimants used for verifying citizenship status with INS. Law enforcement: In the event that a system of records maintained by FCSC to carry out its functions indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, State, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto.

The information contained in this system of records will be disclosed to the Office of Management and Budget, in connection with the review of private relief legislation as set forth in OMB Circular No. A-19, at any stage of the legislative coordination and clearance process as set forth in that circular.

A record from this system of records may be disclosed as a routine use to a member of Congress or to a congressional staff member in response to an inquiry of the congressional office made at the request of the individual about whom the record is maintained.

A record, or any facts derived therefrom, may be disclosed in a proceeding before a court or adjudicative body before which the FCSC is authorized to appear or to the Department of Justice for use in such proceeding when:

i. The FCSC, or any subdivision thereof, or

ii. Any employee of the FCSC in his or her official capacity, or

iii. Any employee of the FCSC in his or her individual capacity where the Department of Justice has agreed to represent the employee, or

iv. The United States, where the FCSC determines that the litigation is likely to affect it or any of its subdivisions,

is a party to litigation or has an interest in litigation and such records are determined by the FCSC to be arguably relevant and necessary to the litigation and such disclosure is determined by the FCSC to be a use compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

storage:

Paper records maintained in file folders.

Retrievability:

Filed numerically by claim number. File folders retrieved from Records Center by claim number. Alphabetical index used for identification of claim (see System "Justice/FCSC-1" above).

Safeguards:

Under security safeguards at Washington National Records Center.

Retention and disposal:

Records maintained under 5 U.S.C. 301. Disposal of records will be made in accordance with 44 U.S.C. 3301-3314 when such records are determined no longer useful. This system of records was retired in the Washington National Records Center after the completion of the claims program on August 9, 1959.

System manager(s) and address:

Administrative Office, Foreign Claims Settlement Commission, 1111 20th Street NW., Washington, DC 20579. 202/653-6155 or TDD 202/653-5112.

Notification procedure:

Set forth in Part 504 of Title 45, Code of Federal Regulations.

Contesting record procedures:

Same as above.

Record source categories:

Individual on whom the record is maintained.

JUSTICE/FCSC—19

System name:

Italy, Claims Against (2nd Program)—FCSC.

System location:

Washington National Records Center, 4205 Suitland Road, Washington, DC 20409.

Categories of individuals covered by the system:

US nationals who suffered certain property losses attributable to military action arising out of World War II. Benefits extended to late US nationals, persons who did not file under the 1st Italian Claims Program and for property losses arising in territory ceded pursuant to the Treaty of Peace with Italy, which claims had been excluded under the 1st program.

Categories of records in the system:

Claim application forms containing name and address of claimant and representative, if any; date and place of birth or naturalization; nature and amount of claim; description, ownership, and value of property; and evidence to support claim for the purpose of receiving compensation.

Authority for maintenance of the system:

Title III, International Claims Settlement Act of 1949, as amended by Pub. L. 85-604.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Records were used for the purpose of adjudicating claims of individuals; issuance of decisions concerning eligibility to receive compensation under the Act; notifications to claimants of rights to appeal; and preparation of certifications of awards, if any, to Treasury Department for payment by authorized FCSC personnel. Names and other data furnished by claimants used for verifying citizenship status with INS. Law enforcement: In the event that a system of records maintained by FCSC to carry out its functions indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether federal, state, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto.

The information contained in this system of records will be disclosed to the Office of Management and Budget, in connection with the review of private relief legislation as set forth in OMB Circular No. A-19, at any stage of the legislative coordination and clearance process as set forth in that circular.

A record from this system of records may be disclosed as a routine use to a member of Congress or to a congressional staff member in response to an inquiry of the congressional office made at the request of the individual about whom the record is maintained.

A record, or any facts derived therefrom, may be disclosed in a proceeding before a court or adjudicative body before which the FCSC is authorized to appear or to the Department of Justice for use in such proceeding when:

i. The FCSC, or any subdivision thereof, or

ii. Any employee of the FCSC in his or her official capacity, or

iii. Any employee of the FCSC in his or her individual capacity where the Department of Justice has agreed to represent the employee, or

iv. The United States, where the FCSC determines that the litigation is likely to affect it or any of its subdivisions,

is a party to litigation or has an interest in litigation and such records are determined by the FCSC to be arguably relevant and necessary to the litigation and such disclosure is determined by the FCSC to be a use compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records maintained in file folders.

Retrievability:

Filed numerically by claim number. File folders retrieved from Records Center by claim number. Alphabetical index used for identification of claim (see system "Justice/FCSC-1" above).

Safeguards:

Under security safeguards at Washington National Records Center.

Retention and disposal:

Records maintained under 5 U.S.C. 301. Disposal of records will be made in accordance with 44 U.S.C. 3301-3314 when such records are determined no longer useful. This system of records was retired to the Washington National Records Center after the completion of the claims program on December 24, 1971.

System manager(s) and address:

Administrative Office, Foreign Claims Settlement Commission, 1111 20th Street NW., Washington, DC 20579. 202/653-6155 or TDD 202/653-5112.

Notification procedure:

Set forth in Part 504 of Title 45, Code of Federal Regulations.

Contesting record procedures:

Same as above.

Record source categories:

Individual on whom the record is maintained.

JUSTICE/FCSC—20

System name:

Micronesia, Claims Arising In—FCSC.

System location:

Washington National Records Center, 4205 Suitland Road, Washington, DC 20409.

Categories of individuals covered by the system:

Inhabitants of Micronesia, including US nationals, who suffered damages to property, disability and death arising out of World War II and arising during the period from the dates of the securing of the various islands of Micronesia to July 1, 1951.

Categories of records in the system:

Claim application forms containing name and address of claimant and representative, if any; date and place of birth or naturalization; nature and amount of claim; description, ownership, and value of property; and evidence to support claim for the purpose of receiving compensation.

Authority for maintenance of the system:

Micronesian Claims Act of 1971.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Records were used for the purpose of adjudicating claims of individuals; issuance of decisions concerning eligibility to receive compensation under authority of the Micronesian Claims Act of 1971; notifications to claimants of rights to appeal; and preparation of certifications of awards, if any, to Secretary of Interior for payment by authorized personnel of Foreign Claims Settlement Commission assigned to duty in the Trust Territory of the Pacific Islands and locally hired employees of the Micronesian Claims Commission. Upon completion of the program, the Commission was required under the Micronesian Claims Act to certify to the FCSC, the Secretary of the Interior,and the Congress of the United States (1) a list of all claims allowed and the amounts awarded, (2) a list of all claims disallowed and (3) a copy of the decision rendered in each case.

The information contained in this system of records will be disclosed to the Office of Management and Budget, in connection with the review of private relief legislation as set forth in OMB Circular No. A-19, at any stage of the legislative coordination and clearance process as set forth in that circular.

A record from this system of records may be disclosed as a routine use to a member of Congress or to a congressional staff member in response to an inquiry of the congressional office made at the request of the individual about whom the record is maintained.

A record, or any facts derived therefrom, may be disclosed in a proceeding before a court or adjudicative body before which the FCSC is authorized to appear or to the Department of Justice for use in such proceeding when:

i. The FCSC, or any subdivision thereof, or

ii. Any employee of the FCSC in his or her official capacity, or

iii. Any employee of the FCSC in his or her individual capacity where the Department of Justice has agreed to represent the employee, or

iv. The United States, where the FCSC determines that the litigation is likely to affect it or any of its subdivisions,

is a party to litigation or has an interest in litigation and such records are determined by the FCSC to be arguably relevant and necessary to the litigation and such disclosure is determined by the FCSC to be a use compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records maintained in file folders.

Retrievability:

Filed numerically by claim number. Alphabetical index used to identify claim (see system "Justice/FCSC-1" above).

Safeguards:

Under security safeguards at Washington National Records Center.

Retention and disposal:

Records maintained under 5 U.S.C. 301. Disposal of records will be made in accordance with 44 U.S.C. 3301-3314 when such records are determined no longer useful.

System manager(s) and address:

Administrative Office, Foreign Claims Settlement Commission, 1111 20th Street NW., Washington, DC 20579. 202/653-6155 or TDD 202/653-5112.

Notification procedure:

Set forth in Part 504 of Title 45, Code of Federal Regulations.

Contesting record procedures:

Same as above.

Record source categories:

Individual on whom the record is maintained.

JUSTICE/FCSC—21

System name:

Panama, Claims Against-FCSC.

System location:

Washington National Records Center, 4205 Suitland Road, Washington, DC 20409.

Categories of individuals covered by the system:

US nationals who suffered loss of property in Panama as a result of a judgment of the Supreme Court of Panama on October 20, 1931, nullifying title to certain land in Panama.

Categories of records in the system:

Claim application form containing name and address of claimant and representative, if any; date and place of birth or naturalization; description, ownership, and value of property, and evidence to support claim for the purpose of receiving compensation.

Authority for maintenance of the system:

Title I, International Claims Settlement Act of 1949, as amended, and Panamanian Claims Convention of 1950.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Records were used for the purpose of adjudicating claims of individuals; issuance of decisions concerning eligibility to receive compensation under the Act; notifications to claimants of rights to appeal; and preparation of certifications of awards, if any, to Treasury Department for payment by authorized FCSC personnel. Names and other data furnished by claimants used for verifying citizenship status with INS. Law enforcement: In the event that a system of records maintained by FCSC to carry out its functions indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, State, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto.

The information contained in this system of records will be disclosed to the Office of Management and Budget, in connection with the review of private relief legislation as set forth in OMB Circular No. A-19, at any stage of the legislative coordination and clearance process as set forth in that circular.

A record from this system of records may be disclosed as a routine use to a member of Congress or to a congressional staff member in response to an inquiry of the congressional office made at the request of the individual about whom the record is maintained.

A record, or any facts derived therefrom, may be disclosed in a proceeding before a court or adjudicative body before which the FCSC is authorized to appear or to the Department of Justice for use in such proceeding when:

i. The FCSC, or any subdivision thereof, or

ii. Any employee of the FCSC in his or her official capacity, or

iii. Any employee of the FCSC in his or her individual capacity where the Department of Justice has agreed to represent the employee, or

iv. The United States, where the FCSC determines that the litigation is likely to affect it or any of its subdivisions,

is a party to litigation or has an interest in litigation and such records are determined by the FCSC to be arguably relevant and necessary to the litigation and such disclosure is determined by the FCSC to be a use compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records maintained in file folders.

Retrievability:

Filed numerically by claim number. File folders retrieved from Records Center by claim number. Alphabetical index used for identification of claim (see system "Justice/FCSC-1" above).

Safeguards:

Under GSA security safeguards at Washington National Records Center.

Retention and disposal:

Records maintained under 5 U.S.C. 301. Disposal of records will be made in accordance with 44 U.S.C. 3301-3314 when such records are determined no longer useful. This system of records was retired to the Washington National Records Center after completion of the claims program on December 31, 1954.

System manager(s) and address:

Administrative Office, Foreign Claims Settlement Commission, 1111 20th Street NW., Washington, DC 20579. 202/653-6155 or TDD 202/653-5112.

Notification procedure:

Set forth in Part 504 of Title 45, Code of Federal Regulations.

Contesting record procedures:

Same as above.

Record source categories:

Individual on whom the record is maintained.

JUSTICE/FCSC—22

System name:

Poland, Registration of Claims—FCSC.

System location:

Washington National Records Center, 4205 Suitland Road, Washington, DC 20409.

Categories of individuals covered by the system:

US nationals who suffered property losses in Poland due to nationalization or other taking of such property.

Categories of records in the system:

Claim registration form containing name and address of claimant and representative, if any, date and place of birth or naturalization, description, ownership, date of loss and value of property lost.

Authority for maintenance of the system:

Title I, International Claims Settlement Act of 1949, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Information received from individuals on registration forms was used in the preparation of statistical reports which served as basis of discussions by the State Department in negotiations between the Governments of the United States and Poland for the settlement of claims of US nationals. Registration forms also used by authorized Commission personnel for distribution of formal application forms upon conclusion of Polish Claims Agreement of July 6, 1960.

The information contained in this system of records will be disclosed to the Office of Management and Budget, in connection with the review of private relief legislation as set forth in OMB Circular No. A-19, at any stage of the legislative coordination and clearance process as set forth in that circular.

A record from this system of records may be disclosed as a routine use to a member of Congress or to a congressional staff member in response to an inquiry of the congressional office made at the request of the individual about whom the record is maintained.

A record, or any facts derived therefrom, may be disclosed in a proceeding before a court or adjudicative body before which the FCSC is authorized to appear or to the Department of Justice for use in such proceeding when:

i. The FCSC, or any subdivision thereof, or

ii. Any employee of the FCSC in his or her official capacity, or

iii. Any employee of the FCSC in his or her individual capacity where the Department of Justice has agreed to represent the employee, or

iv. The United States, where the FCSC determines that the litigation is likely to affect it or any of its subdivisions, is a party to litigation or has an interest in litigation and such records are determined by the FCSC to be arguably relevant and necessary to the litigation and such disclosure is determined by the FCSC to be a use compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records maintained in file folders.

Retrievability:

Filed alphabetically by name.

Safeguards:

Under security safeguards at Washington National Records Center.

Retention and disposal:

Records maintained under 5 U.S.C. 301. Disposal of records will be made in accordance with 44 U.S.C. 3301-3314 when such records are determined no longer useful.

System manager(s) and address:

Administrative Office, Foreign Claims Settlement Commission, 1111 20th Street NW., Washington, DC 20579. 202/653-6155 or TDD 202/653-5112.

Notification procedure:

Set forth in Part 504 of Title 45, Code of Federal Regulations.

Contesting record procedures:

Same as above.

Record source categories:

Individual on whom the record is maintained.

JUSTICE/FCSC—23

System name:

Poland, Claims Against—FCSC.

System location:

Washington National Records Center, 4205 Suitland Road, Washington, DC 20409.

Categories of individuals covered by the system:

US nationals who suffered property losses in Poland due to nationalization or other taking of such property.

Categories of records in the system:

Claim application form containing name and address of claimant and representative, if any; date and place of birth or naturalization; nature and amount of claim; description, ownership, and value of property; and evidence to support claim for the purpose of receiving compensation.

Authority for maintenance of the system:

Title I, International Claims Settlement Act of 1949, as amended, and US-Poland Claims Agreement of July 16, 1960.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Records were used for the purpose of adjudicating claims of individuals; issuance of decisions concerning eligibility to receive compensation under the Act; notifications to claimants of rights to appeal; and preparation of certifications of awards, if any, to Treasury Department for payment by authorized FCSC personnel. Names and other data furnished by claimants used for verifying citizenship status with INS. Law enforcement: In the event that a system of records maintained by FCSC to carry out its functions indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, State, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto.

The information contained in this system of records will be disclosed to the Office of Management and Budget, in connection with the review of private relief legislation as set forth in OMB Circular No. A-19, at any stage of the legislative coordination and clearance process as set forth in that circular.

A record from this system of records may be disclosed as a routine use to a member of Congress or to a congressional staff member in response to an inquiry of the congressional office made at the request of the individual about whom the record is maintained.

A record, or any facts derived therefrom, may be disclosed in a proceeding before a court or adjudicative body before which the FCSC is authorized to appear or to the Department of Justice for use in such proceeding when:

i. The FCSC, or any subdivision thereof, or

ii. Any employee of the FCSC in his or her official capacity, or

iii. Any employee of the FCSC in his or her individual capacity where the Department of Justice has agreed to represent the employee, or

iv. The United States, where the FCSC determines that the litigation is likely to affect it or any of its subdivisions,

is a party to litigation or has an interest in litigation and such records are determined by the FCSC to be arguably relevant and necessary to the litigation and such disclosure is determined by the FCSC to be a use compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records maintained in file folders.

Retrievability:

Filed numerically by claim number. File folders retrieved from Records Center by claim number. Alphabetical index used for identification of claim (see system "Justice/FCSC-1" above).

Safeguards:

Under security safeguards at Washington National Records Center.

Retention and disposal:

Records maintained under 5 U.S.C. 301. Disposal of records will be made in accordance with 44 U.S.C. 3301-3314 when such records are determined no longer useful. This system of records was retired to the Washington National Records Center after the completion of the claims program on March 31, 1966.

System manager(s) and address:

Administrative Office, Foreign Claims Settlement Commission, 1111 20th Street NW., Washington, DC 20579. 202/653-6155 or TDD 202/653-5112.

Notification procedure:

Set forth in Part 504 of Title 45, Code of Federal Regulations.

Contesting record procedures:

Same as above.

Record source categories:

Individual on whom the record is maintained.

JUSTICE/FCSC—24

System name:

Prisoners of War (Pueblo)—FCSC.

System location:

Washington National Records Center, 4205 Suitland Road, Washington, DC 20409.

Categories of individuals covered by the system:

Members of the US Armed Forces or any persons (military or civilian) assigned to duty on the USS Pueblo who were captured by military forces of North Korea on January 23, 1968, and held prisoner by such forces.

Categories of records in the system:

Claim application form containing name and address of claimant, date and places of birth, branch of service and military service number. In case of death, date, place and name of spouse, names, address and date of birth of surviving children, name and address of parents and VA claim number. Proof of death if no VA claim.

Authority for maintenance of the system:

Section 6(e), War Claims Act of 1948, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Records were used for adjudication of claims for detention benefits, issuance of decisions concerning eligibility of claimant to receive compensation; notifications to claimants of rights to appeal; and preparation of certifications of awards to Treasury Department for payment by authorized Commission personnel. Verifications from State Department include names and addresses and inclusive dates of detention.

The information contained in this system of records will be disclosed to the Office of Management and Budget, in connection with the review of private relief legislation as set forth in OMB Circular No. A-19, at any stage of the legislative coordination and clearance process as set forth in that circular.

A record from this system of records may be disclosed as a routine use to a member of Congress or to a congressional staff member in response to an inquiry of the congressional office made at the request of the individual about whom the record is maintained.

A record, or any facts derived therefrom, may be disclosed in a proceeding before a court or adjudicative body before which the FCSC is authorized to appear or to the Department of Justice for use in such proceeding when:

i. The FCSC, or any subdivision thereof, or

ii. Any employee of the FCSC in his or her official capacity, or

iii. Any employee of the FCSC in his or her individual capacity where the Department of Justice has agreed to represent the employee, or

iv. The United States, where the FCSC determines that the litigation is likely to affect it or any of its subdivisions,

is a party to litigation or has an interest in litigation and such records are determined by the FCSC to be arguably relevant and necessary to the litigation and such disclosure is determined by the FCSC to be a use compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

By claim number. Cross-referenced by alphabetical index cards which contain claim numbers (see system "Justice/FCSC-1" above).

Safeguards:

Under security safeguards at the Washington National Records Center.

Retention and disposal:

Records maintained under 5 U.S.C. 301. Disposal of records will be made in accordance with 44 U.S.C. 3301-3314 when such records are determined no longer useful.

System manager(s) and address:

Administrative Office, Foreign Claims Settlement Commission, 1111 20th Street NW., Washington, DC 20579. 202/653-6155 or TDD 202/653-5112.

Notification procedure:

Set forth in Part 504 of Title 45, Code of Federal Regulations.

Contesting record procedures:

Same as above.

Record source categories:

Individual on whom the record is maintained.

JUSTICE/FCSC—25

System name:

Prisoners of War (Vietnam)—FCSC.

System location:

Washington National Records Center, 4205 Suitland Road, Washington, DC 20409.

Categories of individuals covered by the system:

Members of Armed Forces of the United States who were captured and held by a hostile force during the Vietnam conflict beginning February 28, 1961.

Categories of records in the system:

Claim application form containing name and address of claimant; date and place of birth, branch of service and military service number. In case of death, date, place, name of spouse, names, addresses and dates of birth of surviving children, name and address of parents and VA claim number.

Authority for maintenance of the system:

Section 6(f), War Claims Act of 1948, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Records used for adjudication of claims for detention benefits; issuance of decisions concerning eligibility of claimants to receive compensation; notifications to claimants of rights of appeal; and preparation of certification of awards to Treasury Department for payment by authorized Commission personnel. Verification of captured status obtained from rosters or casualty reports furnished by the respective military establishments.

The information contained in this system of records will be disclosed to the Office of Management and Budget, in connection with the review of private relief legislation as set forth in OMB Circular No. A-19, at any stage of the legislative coordination and clearance process as set forth in that circular.

A record from this system of records may be disclosed as a routine use to a member of Congress or to a congressional staff member in response to an inquiry of the congressional office made at the request of the individual about whom the record is maintained.

A record, or any facts derived therefrom, may be disclosed in a proceeding before a court or adjudicative body before which the FCSC is authorized to appear or to the Department of Justice for use in such proceeding when:

i. The FCSC, or any subdivision thereof, or

ii. Any employee of the FCSC in his or her official capacity, or

iii. Any employee of the FCSC in his or her individual capacity where the Department of Justice has agreed to represent the employee, or

iv. The United States, where the FCSC determines that the litigation is likely to affect it or any of its subdivisions,

is a party to litigation or has an interest in litigation and such records are determined by the FCSC to be arguably relevant and necessary to the litigation and such disclosure is determined by the FCSC to be a use compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records maintained in file folders.

Retrievability:

Filed numerically by claim number. File folders retrieved from Records Center by claim number. Alphabetical index used for identification of claim (see system "Justice/FCSC-1" above).

Safeguards:

Under security safeguards at Washington National Records Center.

Retention and disposal:

Records maintained under 5 U.S.C. 301. Disposal of records will be made in accordance with 44 U.S.C. 3301-3314 when such records are determined no longer useful.

System manager(s) and address:

Administrative Office, Foreign Claims Settlement Commission, 1111 20th Street NW., Washington, DC 20579. 202/653-6155 or TDD 202/653-5112.

Notification procedure:

Set forth in Part 504 of Title 45, Code of Federal Regulations.

Contesting record procedures:

Same as above.

Record source categories:

Individual on whom the record is maintained.

JUSTICE/FCSC—26

System name:

Rumania, Claims Against (1st Program)—FCSC.

System location:

Washington National Records Center, 4205 Suitland Road, Washington, DC 20409.

Categories of individuals covered by the system:

US nationals who suffered certain property losses or damages in Rumania prior to August 9, 1955.

Categories of records in the system:

Claim application form containing name and address of claimant and representative, if any; date and place of birth or naturalization; nature and amount of claim; description, ownership, and value of property; and evidence to support claim for the purpose of receiving compensation.

Authority for maintenance of the system:

Title III, International Claims Settlement Act of 1949, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Records were used for the purpose of adjudicating claims of individuals; issuance of decisions concerning eligibility to receive compensation under the Act; notifications to claimants of rights to appeal; and preparation of certifications of awards, if any, to Treasury Department for payment by authorized FCSC personnel. Names and other data furnished by claimants used for verifying citizenship status with INS. Law enforcement: In the event that a system of records maintained by FCSC to carry out its functions indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, State, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto.

The information contained in this system of records will be disclosed to the Office of Management and Budget, in connection with the review of private relief legislation as set forth in OMB Circular No. A-19, at any stage of the legislative coordination and clearance process as set forth in that circular.

A record from this system of records may be disclosed as a routine use to a member of Congress or to a congressional staff member in response to an inquiry of the congressional office made at the request of the individual about whom the record is maintained.

A record, or any facts derived therefrom, may be disclosed in a proceeding before a court or adjudicative body before which the FCSC is authorized to appear or to the Department of Justice for use in such proceeding when:

i. The FCSC, or any subdivision thereof, or

ii. Any employee of the FCSC in his or her official capacity, or

iii. Any employee of the FCSC in his or her individual capacity where the Department of Justice has agreed to represent the employee, or

iv. The United States, where the FCSC determines that the litigation is likely to affect it or any of its subdivisions,

is a party to litigation or has an interest in litigation and such records are determined by the FCSC to be arguably relevant and necessary to the litigation and such disclosure is determined by the FCSC to be a use compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records maintained in file folders.

Retrievability:

Filed numerically by claim number. File folders retrieved from Records Center by claim number. Alphabetical index used for identification of claim (see system "Justice/FCSC-1" above).

Safeguards:

Under security safeguards at Washington National Records Center.

Retention and disposal:

Records maintained under 5 U.S.C. 301. Disposal of records will be made in accordance with 44 U.S.C. 3301-3314 when such records are determined no longer useful. This system of records was retired to the Washington National Records Center after the completion of the claims program on August 9, 1959.

System manager(s) and address:

Administrative Office, Foreign Claims Settlement Commission, 1111 20th Street NW., Washington, DC 20579. 202/653-6155 or TDD 202/653-5112.

Notification procedure:

Set forth in Part 504 of Title 45, Code of Federal Regulations.

Contesting record procedures:

Same as above.

Record source categories:

Individual on whom the record is maintained.

JUSTICE/FCSC—27

System name:

Rumania, Claims Against (2nd Program)—FCSC.

System location:

Washington National Records Center, 4205 Suitland Road, Washington, DC 20409.

Categories of individuals covered by the system:

US nationals who suffered certain property losses in Rumania between August 9, 1955 and March 30, 1960.

Categories of records in the system:

Claim application form containing name and address of claimant and representative, if any; date and place of birth or naturalization;

nature and amount of claim; description, ownership, and value of property; and evidence to support claim for the purpose of receiving compensation.

Authority for maintenance of the system:

Title III, International Claims Settlement Act of 1949, as amended, and the US-Rumania Claims Agreement of March 30, 1960.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Records were used for the purpose of adjudicating claims of individuals; issuance of decisions concerning eligibility to receive compensation under the Act; notifications to claimants of rights to appeal; and preparation of certifications of awards, if any, to Treasury Department for payment by authorized FCSC personnel. Names and other data furnished by claimants used for verifying citizenship status with INS. Law enforcement: In the event that a system of records maintained by FCSC to carry out its functions indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute. or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, State, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto.

The information contained in this system of records will be disclosed to the Office of Management and Budget, in connection with the review of private relief legislation as set forth in OMB Circular No. A-19, at any stage of the legislative coordination and clearance process as set forth in that circular.

A record from this system of records may be disclosed as a routine use to a member of Congress or to a congressional staff member in response to an inquiry of the congressional office made at the request of the individual about whom the record is maintained.

A record, or any facts derived therefrom, may be disclosed in a proceeding before a court or adjudicative body before which the FCSC is authorized to appear or to the Department of Justice for use in such proceeding when:

i. The FCSC, or any subdivision thereof, or

ii. Any employee of the FCSC in his or her official capacity, or

iii. Any employee of the FCSC in his or her individual capacity where the Department of Justice has agreed to represent the employee, or

iv. The United States, where the FCSC determines that the litigation is likely to affect it or any of its subdivisions,

is a party to litigation or has an interest in litigation and such records are determined by the FCSC to be arguably relevant and necessary to the litigation and such disclosure is determined by the FCSC to be a use compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records maintained in file folders.

Retrievability:

Filed numerically by claim number. File folders retrieved from Records Center by claim number. Alphabetical index used for identification of claim (see system "Justice/FCSC-1" above).

Safeguards:

Under security safeguards at Washington National Records Center.

Retention and disposal:

Records maintained under 5 U.S.C. 301. Disposal of records will be made in accordance with 44 U.S.C. 3301-3314 when such records are determined no longer useful. This system of records was retired to the Washington National Records Center after the completion of the claims program on December 25, 1971.

System manager(s) and address:

Administrative Office, Foreign Claims Settlement Commission, 1111 20th Street NW., Washington, DC 20579. 202/653-6155 or TDD 202/653-5112.

Notification procedure:

Set forth in Part 504 of Title 45, Code of Federal Regulations.

Contesting record procedures:

Same as above.

Record source categories:

Individual on whom the record is maintained.

JUSTICE/FCSC—28

System name:

Soviet Union, Claims Against—FCSC.

System location:

Washington National Records Center, 4205 Suitland Road, Washington, DC 20409.

Categories of individuals covered by the system:

US nationals suffering loss of property in Russia prior to November 16, 1933, and claims by individuals based upon liens acquired with respect to propery in the US assigned to US Government by the Soviet Government under Litvinov Assignment of November 16, 1933.

Categories of records in the system:

Claim application form containing name and address of claimant and representative, if any; date and place of birth or naturalization; nature and amount of claim; description, ownership, and value of property; and evidence to support claim for the purpose of receiving compensation.

Authority for maintenance of the system:

Title III, International Claims Settlement Act of 1949, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Records were used for the purpose of adjudicating claims of individuals; issuance of decisions concerning eligibility to receive compensation under the Act; notifications to claimants of rights to appeal; and preparation of certifications of awards, if any, to the Treasury Department for payment authorized by FCSC personnel. Names and other data furnished by claimants used for verifying citizenship status with INS. Law enforcement: In the event that a system of records maintained by FCSC to carry out its functions indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, State, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto.

The information contained in this system of records will be disclosed to the Office of Management and Budget, in connection with the review of private relief legislation as set forth in OMB Circular No. A-19, at any stage of the legislative coordination and clearance process as set forth in that circular.

A record from this system of records may be disclosed as a routine use to a member of Congress or to a congressional staff member in response to an inquiry of the congressional office made at the request of the individual about whom the record is maintained.

A record, or any facts derived therefrom, may be disclosed in a proceeding before a court or adjudicative body before which the FCSC is authorized to appear or to the Department of Justice for use in such proceeding when:

i. The FCSC, or any subdivision thereof, or

ii. Any employee of the FCSC in his or her official capacity, or

iii. Any employee of the FCSC in his or her individual capacity where the Department of Justice has agreed to represent the employee, or

iv. The United States, where the FCSC determines that the litigation is likely to affect it or any of its subdivisions,

is a party to litigation or has an interest in litigation and such records are determined by the FCSC to be arguably relevant and necessary to the litigation and such disclosure is determined by the FCSC to be a use compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records maintained in file folders.

Retrievability:

Filed numerically by claim number. File folders retrieved from Records Center by claim number. Alphabetical index used for identification of claim (see system "Justice/FCSC-1" above).

Safeguards:

Under security safeguards at Washington National Records Center.

Retention and disposal:

Records maintained under 5 U.S.C. 301. Disposal of records will be made in accordance with 44 U.S.C. 3301-3314 when such records are determined no longer useful. This system of records was retired to the Washington National Records Center after the completion of the claims program on August 9, 1959.

System manager(s) and address:

Administrative Office, Foreign Claims Settlement Commission, 1111 20th Street NW., Washington, DC 20579. 202/653-6155 or TDD 202/653-5112.

Notification procedure:

Set forth in Part 504 of Title 45, Code of Federal Regulations.

Contesting record procedures:

Same as above.

Record source categories:

Individual on whom the record is maintained.

JUSTICE/FCSC—29

System name:

Yugoslavia, Claims Against (1st Program)—FCSC.

System location:

Washington National Records Center, 4205 Suitland Road, Washington, DC 20409.

Categories of individuals covered by the system:

US nationals who suffered property losses in Yugoslavia prior to July 19, 1948.

Categories of records in the system:

Claim application form containing name and address of claimant and representative, if any; date and place of birth or naturalization; nature and amount of claim; description, ownership, and value of property; and evidence to support claim for the purpose of receiving compensation.

Authority for maintenance of the system:

Title I, International Claims Settlement Act of 1949, as amended, and US-Yugoslavia Claims Agreement of July 19, 1948.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Records were used for the purpose of adjudicating claims of individuals; issuance of decisions concerning eligibility to receive compensation under the Act; notifications to claimants of rights to appeal; and preparation of certifications of awards, if any, to Treasury Department for payment by authorized FCSC personnel. Names and other data furnished by claimants used for verifying citizenship status with INS. Law enforcement: In the event that a system of records maintained by FCSC to carry out its functions indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, State, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto.

The information contained in this system of records will be disclosed to the Office of Management and Budget, in connection with the review of private relief legislation as set forth in OMB Circular No. A-19, at any stage of the legislative coordination and clearance process as set forth in that circular.

A record from this system of records may be disclosed as a routine use to a member of Congress or to a congressional staff member in response to an inquiry of the congressional office made at the request of the individual about whom the record is maintained.

A record, or any facts derived therefrom, may be disclosed in a proceeding before a court or adjudicative body before which the FCSC is authorized to appear or to the Department of Justice for use in such proceeding when:

i. The FCSC, or any subdivision thereof, or

ii. Any employee of the FCSC in his or her official capacity, or

iii. Any employee of the FCSC in his or her individual capacity where the Department of Justice has agreed to represent the employee, or

iv. The United States, where the FCSC determines that the litigation is likely to affect it or any of its subdivisions,

is a party to litigation or has an interest in litigation and such records are determined by the FCSC to be arguably relevant and necessary to the litigation and such disclosure is determined by the FCSC to be a use compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records maintained in file folders.

Retrievability:

Filed numerically by claim number. File folders retrieved from Records Center by claim number. Alphabetical index used for identification of claim (see system "Justice/FCSC-1" above).

Safeguards:

Under security safeguards at Washington National Records Center.

Retention and disposal:

Records maintained under 5 U.S.C. 301. Disposal of records will be made in accordance with 44 U.S.C. 3301-3314 when such records are determined no longer useful. This system of records was retired to the Washington National Records Center after the completion of the claims program on December 31, 1954.

System manager(s) and address:

Administrative Office, Foreign Claims Settlement Commission, 1111 20th Street NW., Washington, DC 20579. 202/653-6155 or TDD 202/653-5112.

Notification procedure:

Set forth in Part 504 of Title 45, Code of Federal Regulations.

Contesting record procedures:

Same as above.

Record source categories:

Individual on whom the record is maintained.

JUSTICE/FCSC—30

System name:

Yugoslavia, Claims Against (2nd Programs)—FCSC.

System location:

Washington National Records Center, 4205 Suitland Road, Washington, DC 20409.

Categories of individuals covered by the system:

US nationals who suffered losses in Yugoslavia which occurred between July 19,1948, and November 5, 1964.

Categories of records in the system:

Claim application form containing name and address of claimant and representative, if any; date and place of birth or naturalization; nature and amount of claim; description, ownership, and value of property; and evidence to support claim for the purpose of receiving compensation.

Authority for maintenance of the system:

Title I, International Claims Settlement Act of 1949, as amended, and US-Yugoslavia Claims Agreement of November 5, 1964.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Records were used for the purpose of adjudicating claims of individuals; issuance of decisions concerning eligibility to receive compensation under the Act; notifications to claimants of rights to appeal; and preparation of certifications of awards, if any, to Treasury Department for payment by authorized FCSC personnel. Names and other data furnished by claimants used for verifying citizenship status with INS. Law enforcement: In the event that a system of records maintained by FCSC to carry out its functions indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, State, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto.

The information contained in this system of records will be disclosed to the Office of Management and Budget, in connection with the review of private relief legislation as set forth in OMB Circular No. A-19, at any stage of the legislative coordination and clearance process as set forth in that circular.

A record from this system of records may be disclosed as a routine use to a member of Congress or to a congressional staff member in response to an inquiry of the congressional office made at the request of the individual about whom the record is maintained.

A record, or any facts derived therefrom, may be disclosed in a proceeding before a court or adjudicative body before which the FCSC is authorized to appear or to the Department of Justice for use in such proceeding when:

i. The FCSC, or any subdivision thereof, or

ii. Any employee of the FCSC in his or her official capacity, or

iii. Any employee of the FCSC in his or her individual capacity where the Department of Justice has agreed to represent the employee, or

iv. The United States, where the FCSC determines that the litigation is likely to affect it or any of its subdivisions,

is a party to litigation or has an interest in litigation and such records are determined by the FCSC to be arguably relevant and necessary to the litigation and such disclosure is determined by the FCSC to be a use compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records maintained in file folders.

Retrievability:

Filed numerically by claim number. File folders retrieved from Records Center by claim number. Alphabetical index used for identification of claim (see system "Justice/FCSC-1" above).

Safeguards:

Under security safeguards at Washington National Records Center.

Retention and disposal:

Records maintained under 5 U.S.C. 301. Disposal of records will be made in accordance with 44 U.S.C. 3301-3314 when such records are determined no longer useful. This system of records was retired to the Washington National Records Center after the completion of the claims program'" on July 15, 1969.

System manager(s) and address:

Administrative Office, Foreign Claims Settlement Commission, 1111 20th Street NW., Washington, DC 20579. 202/653-6155 or TDD 202/653-5112.

Notification procedure:

Set forth in Part 504 of Title 45, Code of Federal Regulations.

Contesting record procedures:

Same as above.

Record source categories:

Individual on whom the record is maintained.

JUSTICE/FCSC—31

System name:

German Democratic Republic, Claims Against—FCSC.

System location:

Washington National Records Center, 4205 Suitland Road, Washington, DC 20409

Categories of individuals covered by the system:

U.S. nationals who suffered certain property losses in the German Democratic Republic.

Categories of records in the system:

Claim application form containing name and address of claimant and representative, if any; date and place of birth or naturalization; nature and amount of claim; description, ownership and value of property; and evidence to support claim for the purpose of receiving compensation.

Authority for maintenance of the system:

Title IV, International Claims Settlement Act of 1949, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Records were used for the purpose of adjudicating claims of individuals; issuance of decisions concerning eligibility to receive compensation under the Act; notification to claimants of rights to appeal; and preparation of certifications of awards, if any, to Treasury Department for payment. Names and other data furnished by claimants used for verifying citizenship status with INS. The information contained in this system of records is considered by the Commission to be public information which may be disclosed as a routine use to interested persons who make inquiries about the claims program or individual claims therein, including but not limited to Members of Congress or congressional staff, staff of the Office of Management and Budget, other persons interested in the work of the Commission, and members of the news media. Law Enforcement: In the event that a system of records maintained by FCSC to carry out its functions indicates a violation or potential violation of law, whether civil or criminal or regulatory in nature, and whether arising by general statute or particular program statute or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, State, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation, or order issued pursuant thereto.

The information contained in this system of records will be disclosed to the Office of Management and Budget in connection with the review of private relief legislation as set forth in OMB Circular No. A-19, at any stage of the legislative coordination and clearance process as set forth in that circular.

A record, or any facts derived therefrom, may be disclosed in a proceeding before a court or adjudicative body before which the FCSC is authorized to appear or to the Department of Justice for use in such proceeding when:

i. The FCSC, or any subdivision thereof, or

ii. Any employee of the FCSC in his or her official capacity, or

iii. Any employee of the FCSC in his or her individual capacity where the Department of Justice has agreed to represent the employee, or

iv. The United States, where the FCSC is determines that the litigation is likely to affect it or any of its subdivisions,

is a party to litigation or has an interest in litigation and such records are determined by the FCSC to be arguably relevant and necessary to the litigation and such disclosure is determined by the FCSC to be a use compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records maintained in file folders.

Retrievability:

Filed numerically by claim number. Alphabetical index used for identification of claim (see system "Justice/FCSC-1" above.

Safeguards:

Under security safeguards at Washington National Records Center.

Retention and disposal:

Records maintained under 5 U.S.C. 301. Disposal in accordance with 44 U.S.C. 3301-3314 when such records are determined no longer useful.

System manager(s) and address:

Administrative Office, Foreign Claims Settlement Commission, 1111 20th Street NW., Washington, DC 20579; 202-653-6155 or TDD 202/653-5112.

Notification procedure:

Set forth in Part 504 of Title 45, Code of Federal Regulations.

Contesting record procedures:

Same as above.

Record source categories:

Claimant on whom the record is maintained.

JUSTICE/FCSC—32

System name:

General War Claims Program—Justice/FCSC.

System location:

Washington National Records Center, 4205 Suitland Road, Washington, DC 20409.

Categories of individuals covered by the system:

US nationals who suffered certain property losses during World War II.

Categories of records in the system:

Claim application forms containing name and address of claimant and representative, if any; date and place of birth or naturalization; nature and amount of claim; description, ownership, and value of property; and evidence to support claim for the purpose of receiving compensation.

Authority for maintenance of the system:

Title II of War Claims Act of 1948, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Records were used for the purpose of adjudicating claims; issuance of decisions concerning eligibility to receive compensation under the Act; notifications to claimants of rights to appeal; and transmittal of awards, if any, to Treasury Department for payment by authorized by FCSC personnel. Names and other data furnished by claimants used for verifying citizenship status with INS. Law enforcement: In the event that a system of records maintained by FCSC to carry out its functions indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether federal, state, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto.

The information contained in this system of records will be disclosed to the Office of Management and Budget, in connection with the review of private relief legislation as set forth in OMB Circular No. A-19, at any stage of the legislative coordination and clearance process as set forth in that circular.

A record from this system of records may be disclosed as a routine use to a member of Congress or to a Congressional staff member in response to an inquiry of the congressional office made at the request of the individual about whom the record is maintained.

A record, or any facts derived therefrom, may be disclosed in a proceeding before a court or adjudicative body before which the FCSC is authorized to appear or to the Department of Justice for use in such proceeding when:

i. The FCSC, or any subdivision thereof, or

ii. Any employee of the FCSC in his or her official capacity, or

iii. Any employee of the FCSC in his or her individual capacity where the Department of Justice has agreed to represent the employee, or

iv. The United States, where the FCSC determines that the litigation is likely to affect it or any of its subdivisions,

is a party to litigation or has an interest in litigation and such records are determined by the FCSC to be arguably relevant and necessary to the litigation and such disclosure is determined by the FCSC to be a use compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records maintained in file folders.

Retrievability:

Filed numerically by claim number. Alphabetical index used for identification of claim (see system "Justice/FCSC-1" above).

Safeguards:

Under security safeguards at Washington National Records Center.

Retention and disposal:

Records maintained under 5 U.S.C. 301. Disposal of records will be made in accordance with 44 U.S.C. 3301-3314 when such records are determined no longer useful.

System manager(s) and address:

Administrative Office, Foreign Claims Settlement Commission, 1111 20th Street NW., Washington, DC 20579. 202/653-6155 or TDD 653-5112.

Notification procedure:

Set forth in Part 504 of Title 45, Code of Federal Regulations.

Contesting record procedures:

Same as above.

Record source categories:

Claimant on whom the record is maintained.

JUSTICE/FCSC—33

System name:

Vietnam, Claims for Losses Against—FCSC.

System location:

Washington National Records Center, 4205 Suitland Road, Washington, DC 20409.

Categories of individuals covered by the system:

Natural and Juridical persons who allege losses against Vietnam.

Categories of records in the system:

Claim application forms containing name and address of claimant and representative, if any; date and place of birth or naturalization; nature and amount of claim; description, ownership, and value of property; and evidence to support claim for the purpose of receiving compensation.

Authority for maintenance of the system:

Title VII, International Claims Settlement Act of 1949, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Records were used for the purpose of adjudicating claims of individuals; issuance of decisions concerning eligibility to receive compensation under the Act; notifications to claimants of rights to appeal; and preparation of certifications of awards, if any, to Treasury Department for payment. Names and other data furnished by claimants used for verifying citizenship status with INS. The information contained in this system of records is considered by the Commission to be public information which may be disclosed as a routine use to interested persons who make inquiries about the claims program or individual claims therein, including but not limited to members of Congress, Congressional staff, staff of the Office of Management and Budget, other persons interested in the work of the Commission, and members of the news media.

Law Enforcement: In the event that a system of records maintained by FCSC to carry out its functions indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether federal, state, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto.

The information contained in this system of records will be disclosed to the Office of Management and Budget, in connection with the review of private relief legislation as set forth in OMB Circular No. A-19, at any stage of the legislative coordination and clearance process as set forth in that circular.

A record, or any facts derived therefrom, may be disclosed in a proceeding before a court or adjudicative body before which the FCSC is authorized to appear or to the Department of Justice for use in such proceeding when:

i. The FCSC, or any subdivision thereof, or

ii. Any employee of the FCSC in his or her official capacity or

iii. Any employee of the FCSC in his or her individual capacity where the Department of Justice has agreed to represent the employee, or

iv. The United States, where the FCSC determines that the litigation is likely to affect it or any of its subdivisions

is a party to litigation or has an interest in litigation and such records are determined by the FCSC to be arguably relevant and necessary to the litigation and such disclosure is determined by the FCSC to be a use compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records maintained in file folders.

Retrievability:

Filed numerically by claim number. Alphabetical index used for identification of claim (see system "Justice/FCSC-1" above).

Safeguards:

Under security safeguards at Washington National Records Center.

Retention and disposal:

Records maintained under 5 U.S.C. 301. Disposal of records will be made in accordance with 44 U.S.C. 3301-3314 when such records are determined no longer useful.

System manager(s) and address:

Administrative Office, Foreign Claims Settlement Commission, 1111 20th Street NW., Washington, DC 20579. 202/653-6155 or TDD 202/653-5112.

Notification procedure:

Set forth in Part 504 of Title 45, Code of Federal Regulations.

Contesting record procedures:

Same as above.

Record source categories:

Individual on whom the record is maintained.

JUSTICE/FCSC—34

System name:

Ethiopia, Claims for Losses Against—FCSC.

System location:

Foreign Claims Settlement Commission, 1111 20th Street NW., Washington, DC 20579.

Categories of individuals covered by the system:

Natural and juridical persons who allege losses against Ethiopia.

Categories of records in the system:

Claims information including name and address of claimant and representative, if any; date and place of birth or naturalization; nature and amount of claim; description, ownership, and value of property; and evidence to support claim for the purpose of receiving compensation.

Authority for maintenance of the system:

Title I, International Claims Settlement Act of 1949, as amended, and the December 19, 1985 Compensation Agreement between the Government of the United States of America and the Provisional Military Government of Socialist Ethiopia.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Records are used for the purpose of adjudicating claims of individuals; issuance of decisions concerning eligibility to receive compensation under the Act; notifications to claimants of rights to appeal; and preparation of certifications of awards, if any, to the Treasury Department for payment. Names and other data furnished by claimants used for verifying citizenship status with INS. The information contained in this system of records is considered by the Commission to be public information which may be disclosed as a routine use to interested persons who make inquiries about the claims program or individual claims therein, including but not limited to members of Congress, Congressional staff, staff of the Office of Management and Budget, other persons interested in the work of the Commission, and members of the news media.

Law Enforcement: In the event that a system of records maintained by FCSC to carry out its functions indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether federal, state, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto.

A record, or any facts derived therefrom, may be disclosed in a proceeding before a court or adjudicative body before which the FCSC is authorized to appear or to the Department of Justice for use in such proceeding when:

i. The FCSC, or any subdivision thereof, or

ii. Any employee of the FCSC in his or her official capacity or

iii. Any employee of the FCSC in his or her individual capacity where the Department of Justice has agreed to represent the employee, or

iv. The United States, where the FCSC determines that the litigation is likely to affect it or any of its subdivisions

is a party to litigation or has an interest in litigation and such records are determined by the FCSC to be arguably relevant and necessary to the litigation and such disclosure is determined by the FCSC to be a use compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records maintained in file folders.

Retrievability:

Filed numerically by claim number. Alphabetical index used for identification of claim (see system "Justice/FCSC-1" above).

Safeguards:

Building employs security guards. Records maintained in locked room accessible to authorized FCSC personnel.

Retention and disposal:

Records maintained under 5 U.S.C. 301. Disposal of records will be made in accordance with 44 U.S.C. 3301-3314 when such records are determined no longer useful.

System manager(s) and address:

Administrative Office, Foreign Claims Settlement Commission, 1111 20th Street NW., Washington, DC 20579. 202/653-6155 or TDD 202/653-5112.

Notification procedure:

Set forth in Part 504 of Title 45, Code of Federal Regulations.

Contesting record procedures:

Same as above.

Record source categories:

Claimant on whom the record is maintained.

JUSTICE/FCSC-35

System name:

Egypt, Claims Against.

System location:

Foreign Claims Settlement Commission, 1111 20th Street NW., Room 400, Washington, DC 20579.

Categories of individuals covered by the system:

Natural and juridical persons who assert claims for property losses resulting from actions by the Government of the Arab Republic of Egypt.

Categories of records in the system:

Claim information, including name and address of claimant and representative, if any; date and place of birth or naturalization; nature and amount of claim; description, ownership, and value of property; other evidence establishing entitlement to compensation of claim.

Authority for maintenance of the system:

Title I, International Claims Settlement Act of 1949, as amended, and the Agreement Between the Government of the United States of America and the Government of the Arab Republic of Egypt Concerning Claims of Nationals of the United States of May 1, 1976.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Records are used for the purpose of adjudicating claims of individuals; issuance of decisions concerning eligibility to receive compensation under the Act and Agreement; notifications to claimants of rights to appeal; and preparation of certifications of awards, if any, to the Treasury Department for payment. Names and other information furnished by claimants may be used for verifying citizenship status with the Immigration and Naturalization Service. The information contained in this system of records is considered by the Commission to be public information which may be disclosed as a routine use to interested persons who make inquiries about the claims program or individual claims therein including but not limited to Members of Congress or Congressional staff, staff of the Office of Management and Budget, other persons interested in the work of the Commission, and members of the news media.

Law Enforcement: In the event that a system of records maintained by FCSC to carry out its functions indicates a violation or potential violation of law, whether civil or criminal or regulatory in nature and whether arising by general statute or particular program statute or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, State, local or foreign, charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto.

A record, or any facts derived therefrom, may be disclosed in a proceeding before a court or adjudicative body before which the FCSC is authorized to appear or to the Department of Justice for use in such proceeding when:

i. The FCSC, or any subdivision thereof, or

ii. Any employee of the FCSC in his or her official capacity, or

iii. Any employee of the FCSC in his or her official capacity where the Department of Justice has agreed to represent the employee, or

iv. The United States, where the FCSC determines that the litigation is likely to affect it or any of its subdivisions

is a party to litigation or has an interest in litigation and such records are determined by the FCSC to be arguably relevant and necessary to the litigation and such disclosure is determined by the FCSC to be a use compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records maintained in file folders.

Retrievability:

Filed numerically by claim number. Alphabetical index used for identification of claim. Indexing by other information in the claim.

Safeguards:

At FCSC: Building employs security guards.

Records are maintained in locked room accessible to authorized FCSC personnel and other persons when accompanied by such personnel.

Retention and disposal:

Records maintained under 5 U.S.C. 301. Disposal of records will be in accordance with 44 U.S.C. 3301–3314 when such records are determined no longer useful.

System manager(s) and address:

Administrative Office, Foreign Claims Settlement Commission, 1111 20th Street NW, Washington, DC 20579; Phone (202) 653–6155 or FAX (202) 653–6009.

Notification procedure:

Same as above.

Contesting record procedures:

Same as above.

Record source categories:

Claimant on whom the record is maintained.

IMMIGRATION AND NATURALIZATION SERVICE

JUSTICE/INS–001

System name:

The Immigration and Naturalization Service Index System, which consists of the following subsystems:

A. Agency information control record index.
B. Alien address reports index and records.
C. Alien enemy index and records.
D. Automobile decal parking identification system for employees.
E. Centralized index and records (Master Index).
F. Congressional Mail Unit Correspondence control index.
G. Document vendors and alters index.
H. Enforcement indexes.
1. Group one. (a) Contact index. (b) Information index. (c) Anti-smuggling index (general). (d) Criminal, narcotic, and subversive index. (e) Suspect third party index.
2. Group two. (a) Air detail office index. (b) Anti-smuggling information centers, Canadian and Mexican borders. (c) Border Patrol Academy index. (d) Boarder Patrol sectors general index. (e) Fraudulent Document Center index.
3. Enforcement correspondence control index.
I. Examinations indexes.
1. Application and petition system.
2. Correspondence control index.
3. Service lookout system.
J. Extension training program enrollees.
K. Finance Section indexes.
1. Accounts with creditors.
2. Accounts with debtors.
L. Freedom of Information correspondence control index.
M. Intelligence indexes.
N. Microfilmed manifest records.
O. Naturalization and citizenship indexes.
1. Naturalization and citizenship docket cards.
2. Examiners docket lists of petitioners for naturalization.
3. Master docket list of petitions for naturalization pending one year or more.
P. Office of Professional Responsibility investigations index and records.
Q. Property issued to employees.
R. Security access clearance index.
S. White House and Attorney General correspondence control index.
T. Health record system.
U. Personal data card system.
V. Compassionate cases system.
W. Emergency reassignment index.
X. Alien documentation, identification and telecommunications (ADIT) system.

System location:

A. Central Office: 425 Eye Street, NW., Washington, DC 20536.

B. Regional Offices: (1) Burlington, Vt.; (2) Fort Snelling, Twin Cities, Minn.; (3) Dallas, Tex.; (4) Laguna Nigel, Calif.

C. District offices in the United States; (1) Anchorage, Alaska; (2) Atlanta, Ga.; (3) Baltimore, Md.; (4) Boston, Mass.; (5) Buffalo, N.Y.; (6) Chicago, Ill.; (7) Cleveland, Ohio; (8) Dallas, Tex.; (9) Denver, Colo.; (10) Detroit, Mich.; (11) El Paso, Tex.; (12) Hartford, Conn.; (13) Helena, Mont.; (14) Honolulu, Hawaii; (15) Houston, Tex.; (16) Kansas City, Mo.; (17) Los Angeles, Calif.; (18) Miami, Fla.; (19) Newark, N.J.; (20) New Orleans, La.; (21) New York, N.Y.; (22) Omaha, Nebr.; (23) Philadelphia, Pa.; (24) Phoenix, Ariz.; (25) Portland, Maine; (26) Portland, Oreg.; (27) St. Albans, Vt.; (28) St. Paul, Minn.; (29) San Antonio, Tex.; (30) San Diego, Calif.; (31) San Francisco, Calif.; (32) San Juan, P.R.; (33) Seattle, Wash.; (34) Arlington, Va.

D. District offices in foreign countries: (1) Hong Kong, B.C.C.; (2) Mexico City, Mexico; (3) Rome, Italy.

E. Sub-offices: (1) Agana, Guam; (2) Albany, N.Y.; (3) Cincinnati, Ohio; (4) Indianapolis, Ind.; (5) Harlingen, Tex.; (6) Las Vegas, Nev.; (7) Louisville, Ky.; (8) Memphis, Tenn., (9) Milwaukee, Wis.; (10) Norfolk, Va.; (11) Oklahoma City, Okla.; (12) Pittsburgh, Pa.; (13) Providence, R.I.; (14) Reno, Nev.; (15) St. Louis, Mo.; (16) Salt Lake City, Utah; (17) Spokane, Wash.

F. Bordern Patrol Sector Headquarters: (1) Blaine, Wash.; (2) Buffalo, N.Y.; (3) Chula Vista, Calif.; (4) Del Rio, Tex.; (5) Detroit, Mich.; (6) El Centro, Calif.; (7) El Paso, Tex.; (8) Grand Forks, N. Dak.; (9) Havre, Mont.; (10) Houlton, Maine; (11) Laredo, Tex.; (12) Livermore, Calif.; (13) Marfa, Tex.; (14) McAllen, Tex.; (15) Miami, Fla.; (16) New Orleans, La.; (17) Ogdensburg, N.Y.; (18) Spokane, Wash.; (19) Swanton, Vt.; (2) Tucson, Ariz.; (21) Yuma, Ariz.

G. Border Patrol Academy, Los Fresnos, Tex.: Federal Law Enforcement Training Center (FLETC), Glynco, Ga.

H. Charlotte Amalie, St. Thomas, V.I.

I. Sub-offices in foreign countries: (1) Athens, Greece; (2) Frankfurt, Germany; (3) Naples, Italy; (4) Palermo, Italy; (5A) Rome, Italy; (6) Tokyo, Japan; (7) Vienna, Austria.

J. El Paso Intelligence Center (EPIC), El Paso, Tex.

Addresses of offices are listed in the telephone directories of the respective cities listed above under the heading "United States Government, Immigration and Naturalization Service."

Categories of individuals covered by the system:

A. Agency information control record index (Location A, supra). Individuals named or referenced in documents classified for national security reasons.

B. Alien address reports index and records (Location A, supra). Aliens required to report addresses.

C. Alien enemy index and records (Location A, supra).

1. Alien enemies who were interned during World War II.

2. Americans of Japanese ancestry (Niser) who returned to Japan and, during World War II, either accepted employment by the Japanese Government or became naturalized in Japan.

D. Automobile decal parking identification for employees (Location B–3, supra). Current INS employees who have the privilege of parking their cars on government premises.

E. Centralized index and records (Master Index) (Locations A, C, D, E, and I, supra).

1. Individuals covered by provisions of the immigration and nationality laws of the United States.

2. Individuals who are under investigation, were investigated in the past, or who are suspected of violating the criminal or civil provisions of treaties, statutes, Executive orders, and Presidential proclamations administered by the Immigration and Naturalization Service, and witnesses and informants having knowledge of such violations.

F. Congressional Mail Unit correspondence control index (Location A, supra).

1. Individuals named in correspondence received, including INS employees and past employees; Federal, State, and local officials; and members of the general public.

2. Individuals named in reports or correspondence received, as individuals investigated in the past or under active investigation, or suspected of violations of the criminal or civil provisions of statutes enforced by INS, including Presidential proclamations and Executive orders relating thereto, and witnesses and informants having knowledge of violations.

G. Document vendors and alterers index (Location B–4; duplicates in several INS offices in the Western and Southern regions). Individuals who are alleged immigration law violaters involved in the supply of fraudulent documents.

H. Enforcement indexes.

1. Group one (Locations A, B, C, and E supra); (a) Contact index; (b) Informant index; (c) Anti-smuggling index (general); (d) Criminal, immoral, narcotic, racketeer and subversive indexes; (e) Suspect third party index.

(1) Individuals who are in a position to know, learn of, and assist in locating aliens illegally in the United States; (2) individuals who have significant knowledge of foreign or domestic organizations subversive in nature and are willing to appear as Government witnesses or cooperate with INS on a continuing basis; (3) individuals who are known or suspected of being professional arrangers, transporters, harborers, and smugglers of aliens; who operate or conspire to operate with others to facilitate the surreptitious entry of an alien over a coastal or land border of the United States; and witnesses having knowledge of such matters; (4) individuals who are known or suspected of being habitual or notorious criminals, immorals, narcotic violators or racketeers, or subversive functionaries or leaders; (5) individuals who are known or believed to be engaged in fraud operations involving the preparation and submission of visa petitions and other applications for benefits administered by INS; or the preparation and submission of applications for immigrant visas and/or Department of Labor certifications, or the filing of false United States birth registrations for alien children to enable them to pose as citizens or to enable parents who are immigrant visa applicants to evade the labor certification requirement.

2. Group two. (a) Air detail office index (Location J, supra). Individuals who are pilots and/or owners of private aircraft flying between the United States and foreign countries; individuals who engage in or are suspected of being engaged in illegal activity such as alien smuggling or entry without inspection.

(b) Anti-smuggling information centers, Canadian and Mexican borders (Locations: Northern border, F-19, supra; southern border, J, supra). Individuals who are known or suspected of being smugglers or transporters of illegal aliens.

(c) Border Patrol Academy index (Location G, supra). Students or former students at the Border Patrol Academy; INS officers attending advanced training classes at the Academy or the Federal Law Enforcement Training Center (FLETC).

(d) Border Patrol sectors general index (Location F, supra). Past or present INS employees; individuals who are law violators, witnesses, contacts, informants, members of the general public, Federal, state, county, and local officials.

(e) Fraudulent Documents Center index (Location J, supra). Individuals who are members of the general public, notaries, public, state and local birth registration officials and employees, immigration law violators, vendors of documents, donors of documents, midwives, and witnesses. Also included in the system are names and information about fictitious persons used by counterfeiters or alterers of citizenship documents.

3. Enforcement correspondence control index (Location A, supra). (a) Individuals named in correspondence received, including employees, past employees, and others; (b) individuals named in documents, reports, or correspondence as individuals under current or past investigation, suspended of violation of the criminal or civil provisions of the statutes enforced by INS, including Executive orders and Presidential proclamations, and witnesses and informants having knowledge of violations.

I. Examinations indexes (Location A, supra; duplicates in some local offices):

1. Application and petition index: Individuals who have filed or assisted in filing petitions to classify aliens for the issuance of immigrant visas.

2. Correspondence control index: Members of the general public.

3. Service lookout system: Violators or suspected violators of the criminal or civil provisions of statutes enforced by INS.

J. Extension training program enrollees (Location A, supra). INS employees and other Federal agency employees enrolled in extension training program courses administered by INS.

K. Finance Section indexes (Locations A and B, supra): (1) Accounts with creditors; (2) Accounts with debtors.

(a) Individuals who are indebted to the United States Government for goods, services, or benefits or for administrative fines and assessments.

(b) Employees who have received travel advances or overpayments from the United States Government, who are in arrears in their accounts, or who are liable for damage to Government property.

(c) Vendors who have furnished supplies, material, equipment, and services to the Government.

(d) Employees, witnesses and special deportation attendants who have performed official travel.

(e) Employees and other individuals who have a valid claim against the Government.

L. Freedom of Information correspondence control index (Locations A, B, C, D, E, F, G. H, and I, supra). Individuals who request access to or copies of records maintained by INS, under the provisions of the Freedom of Information Act (5 U.S.C. 522).

M. Intelligence indexes (Locations A and B, supra). Individuals who have or are suspected of having violated the criminal or civil provisions of the statutes enforced by INS.

N. Microfilmed manifest records (Locations A, C-28, C-10, C-20, and C-29, supra). Individuals who have arrived or departed by aircraft or vessel at a United States port.

O. Naturalization and citizenship indexes (Locations C and E, supra, except E-6, E-7, E-8, and E-13).

1. Naturalization and citizenship docket cards. Individuals seeking benefits under Title III of the Immigration and Nationality Act of 1958, as amended.

2. Examiners docket lists of petitioners for naturalization. Petitioners for naturalization and their beneficiaries.

3. Master docket list of petitioners for naturalization pending one year or more. Petitioners for naturalization and their beneficiaries.

P. Office of Professional Responsibility investigations index and records (Location A, B, C, D, E, F, G, H, I, and J supra). (1) INS employees who are the subjects of complainants directed to, or inquiries or investigations conducted by, the Office of Professional Responsibility; (2) individuals (complainants) who write to the Office of Professional Responsibility; (3) individuals (complainants) who write to the Commissioner or Regional Commissioners or other officials of INS and whose correspondence is referred to the Office of Professional Responsibility; (4) employees of agencies of the Federal Government, other than INS, about whom information indicating possible criminal or administrative misconduct has been developed during the course of routine investigation by components of the Department of Justice, when such information is furnished to the Office of Professional Responsibility for referral, if warranted, to an apppropriate investigative component of the Department of Justice, or to another government agency.

Q. Property issued to employees (Locations A, B, C, E, and F, supra.) INS employees who have been issued property for use in performance of official duties.

R. Security access clearance index (Location A, supra). Current INS employees who have been cleared for access to documents and materials classified in the interest of national security.

S. White House and Attorney General correspondence control index (Location A, supra). Individuals named in or originating correspondence referred to INS by staff of the White House or Attorney General.

T. Health record system (Location A. supra). Persons at Location A who have requested health services or required emergency treatment.

U. Personal data card system (Locations A and B. supra). Employees and former employees of INS.

V. Compassionate cases system (Locations A and B. supra). INS employees who have requested transfers for personal reasons.

W. Emergency reassignment index (Locations B, C, E, and F. supra). INS employees who would be reassigned to other duty stations in case of emergency.

X. Alien documentation, identification, and telecommunications (ADIT) system (Location A. supra). Aliens lawfully admitted for permanent residence, commuters and other authorized frequent border crossings, and nonimmigrant persons other than transients.

Categories of records in the system: A. Agency information control record index. The system contains reference and locater data on the following kinds of documents:

1. Top secret and secret materials classified as national security information, including all copies prepared from controlled documents originated, received, or transmitted by INS officers.

2. Confidential material originated by other agencies and referred to INS, including all copies prepared from controlled documents.

3. All investigative reports, responses to security checks, and intelligence material received from sources within the Department of Justice and other Federal intelligence sources.

B. Alien address report index and records. This system contains an index and copies of Form I-53. Alien Address Report, required to be filed January 1 of each year by aliens in the United States.

C. Alien enemy index and records. This system contains a microfilm index and files containing various forms, reports, and other information.

D. Automobile decal parking identification system for employees. This system contains a list by number of each Department of Justice decal car sticker issued to local INS employees.

E. Centralized index and records (Master Index). The system consists of index records and related records and files containing various forms, applications and petitions for benefits under the immigration and nationality laws, reports of investigation, statements, reports, correspondence, and memorandums. Records which may be accessed electronically are limited to index and file locater data including name, identifying number, data and place of birth, date and port of entry, coded status transaction data, and location of relating records or files.

F. Congressional Mail Unit correspondence control index. This system contais a locator record for each report of piece of correspondence received, reflecting the name of the individual and the number of the subject filed in which specified information concerning the individual is maintained.

G. Document vendors and alterers index. This system consists of "mug book" photos of alleged immigration law violators involved in the supply of fraudulent documents, and data relating to the pictured violators including name, aliases, vital statistics, method of operation, list of convictions, present location, and source of material.

H. Enforcement indexes, 1. Group one, (a) Contact index: (b) Informant index: (c) Antismuggling index (general); (d) Criminal, immoral, narcotic, racketeer and subversive indexes; (e) Suspect third party index. These systems of records are maintained on Form G-598, Contract Record: Form G-169, Informant Record: Form G-170, Smuggler Information Index Card; and other index cards containing reference and file locater data on the individuals, including in some cased biographic data, address, and a brief description of activities.

2. Group two, (a) Air detail office index. The primary record in the system is Form I-92A, Report of Private Aircraft Arrival, which is executed by the inspecting official upon arrival of a private aircraft from foreign territory. There are also index cards, forms, investigative reports, records, and correspondence on aircraft arrivals, failures to report for inspection, and known or suspected alien smuggling operations using aircraft and microfiche indexes containing names of owners of aircraft of United States registery.

(b) Anti-smuggling information centers. Canadian and Mexican borders. This system contains Form G-170. Smuggler Information Index Card, other index cards, and correspondence relating to anti-smuggling activities. These indexes are in loose leaf form and are distributed to Border Patrol offices in the border areas.

(c) Border Patrol Academy index. This system contains general information and correspondence regarding each students academic progress in training. The information is maintained on the following forms: SW-91, Probationary Achievement Report: SW 91A. Scholastic Grade Worksheet: SW-91B. IOBTC Achievement Report-Immigration Inspector: SW-91C IOBTC Achievement Report-Investigator: SW-96, Class Rating Form: SW-123, Training Data: SW-282, Registration Information Form: SW-446, Conduct and Efficiency Report of Probationary Employee-5½ and 10 Months Exam Grades.

(d) Border Patrol sectors general index. This system contains indexes, forms, reports, and records relating to activities of the Border Patrol including Form I-14, Record or Apprehension of Seizure Form I-326, Prosecution Reports: Form I-263A and I-263B. Record of Sworn Statement: Form I-195, Criminal Prosecution Control Card; Form I-263W, Record of Sworn Statement-Witness; Form I-236, Prosecution Reports; Form G-170. Smuggler Information Index Card; Form C-296, Report of Violation of Section 239, Immigration and Nationality Act; Form C-330, Notice of Action Information; Form C-445. Conduct and Efficiency Evaluation of Probationary Appointees; From C-598, Contact Record. This system also contains copies of correspondence and memorandums between INS offices and outside agencies and individuals, as well as photographs of some violators of the immigration laws of individuals suspected of being involved in immigration law violations.

(e) Fraudulent Document Center index. This system contains birth certificates, baptismal certificates, and other indentification documents used by aliens to support their fraudulent claims to United States citizenship. Most of the documents are genuine; however, there are also counterfeit and altered documents in the system. Also contained in the system are cross indexes, investigative reports, and records of individuals involved in fraud schemes or whose documents have been put to fraudulent usage.

3. Enforcement correspondence control index. This system contains reference and locator information on documents, reports, and correspondence received in the offices of the Associate Commissioner, Enforcement, Records are maintained on Form C-617, Correspondence Control Card, and Form CO-147, Call-up Index—Domestic Control.

I. Examinations indexes. 1. Application and petition systems. This system contains petitioners' names, date and place of birth, names of prior spouses, immigration "A" number if an alien, and date of marriage if married; beneficiarys' names, date and place of birth, immigration "A" number if any, names of spouses, and nationality code, and the names, dates, and places of birth of any children: Name of the person administering the oath or preparing the form, if other than a Government employee.

2. Correspondence control index. This system contains reference and locator information on documents, reports and correspondence received in the office of the Associate Commissioner, Examinations. Records are maintained on Form C-617, Correspondence Control Card.

3. Service lookout system. This system contains names and reference data on violators, alleged violators, and suspected violators of the criminal or civil provisions of the statutes enforced by INS.

J. Extension training program enrollees. This system contains correspondence and records of each enrollee's test scores; dates of actions such as mailing of lesson materials, test results, and certificates of completion; and dates of receipt of tests.

K. Finance Section indexes. 1. Accounts with creditors. Records are vendors' invoices, purchase orders, travel vouchers, and claims filed by appropriation for the fiscal year from which payment is chargeable.

2. Accounts with debtors. Records consist of bill for inspection services performed under the Act of March 2, 1931; fees, fines, penalties, and deportation expenses assesed pursuant to the Immigration and Nationality Act; and employee indebtedness for travel advances, for the unofficial use of Government facilities and services, for damage to or loss of Government property. and for erroneous or overpayment of compensation for travel expenses.

L. Freedom of Information correspondence control index. Records are kept on Form C-617. Correspondence Control Card, and include reference and locator information on each request for information received under the Freedom of Information Act.

M. Intelligence indexes. Records include reference and locator information on documents, reports, bulletins, and correspondence: Records are categorized by name, violation, and activity.

N. Microfilmed manifest records. The system contains microfilmed indexes and arrival and departure manifests with brief biographical data and facts of arrival and departure. Arrival records for certain ports date from 1891, and departure records date from 1900. Records are not complete, as some records were destroyed and not microfilmed.

O. Naturalization and citizenship indexes. 1. Naturalization and citizenship docket cards. Docket cards are 3x5 or 5x8 index cards for each applicant, beneficiary, or petitioner, recording type of application, date of receipt, file and/or petition number, court number where petition for naturalization was filed, and reference number of the individual's case file.

2. Examiners' docket lists of petitioners for naturalization. Records are maintained on Form N-476, Examiner's Docket List, and record court of naturalization jurisdiction, petition number, petition filing date, court number, name of petitioner, name of beneficiary, proposed recommendation by the naturalization examiner, reasons of continuance, and reference number of the individual's case file.

3. Master docket lists of petitions for naturalization pending one year or more. Records are maintained on Form N-476. Examiner's Docket List, and contain reference and locater information on petitions pending for one year or longer.

P. Office of Professional Responsibility investigations index and records. This system of records consists of complaints filed against INS employees, the results of investigations into those complaints, and actions taken after completion of the investigations. This system also includes all records developed pursuant to special assignments given to the Office of Professional Responsibility by the Commissioner or Regional Commissioners as well as records containing information indicating possible misconduct by employees of the Federal Government, other than the INS, which have been furnished to the Office of Prefessional Responsibility for referral, if warranted, to the appropriate investigative authority.

Q. Property issued to employees. Records are maintained on Form G-570, Record-Recept—Property Issued to Employees, which lists name, description of property, serial number, dates issued and returned, employee's initials, and supervisor's initials.

R. Security access clearance index. Records are kept on 3X5 index cards listing employee's name, dated when clearances were granted, and levels of clearance. Related records and reports are maintained by the Office of Management and Finance, Department of Justice.

S. White House and Attorney General correspondence control index. Records are maintained on Form G-617. Correspondence Control Card, and contain reference and locator information on correspondence addressed to the President and the Attorney General which has been referred to INS for appropriate attention.

T. Health record system. Records are kept on 5X7 index cards listing name, date, and treatment given.

U. Personal data card system. Records are kept on Form G-74, Personal Data Card, for each employee or former employee. Information includes name, date of birth, height, weight, sex, blood type, photograph, and color of hair and eyes.

V. Compassionate cases system. Records are kept on 3X5 index cards containing employees' name, position, grade, present location, date of request, date circulated to committee, disposition, and (when applicable) new location of employee. Relating records include the employee's request: Form G-410, Employee Qualification-Skills Inventory; local and regional recommendations, medical statements (where applicable), records of committee actions, and response to employee.

W. Emergency reassignment index. Records are kept on Form G-560, Emergency Activity Project Assignment. Information includes name, age, grade, title, official station, residence, telephone number, and emergency assignment activity.

X. Alien documentation, identification and telecommunications (ADIT) system. Records consist of formatted data base records of personal and biographical information such as name, date of birth, picture and fingerprint coordinates, height, mother's first name, father's first name, city/town/village of birth.

Authority for maintenance of the system:

A. General, applicable to all Service index system, includes but is not limited to: Sections 103, 265 and 290 and Title III of the Immigrations and Nationality Act, hereinafter referred to as the Act (66 Stat. 163), as amended (8 U.S.C. 1103; 8 U.S.C. 135; 8 U.S.C. 1360), and the regulations pursuant thereto.

B. Specific, applicable to some of the indexes, including but not limited to:

1. Executive Order 11652, and 28 CFR 17.79-Agency control information record index, and Access clearance information system.

2. 31 U.S.C. 66a—Finance Section indexes.

3 Title III of the Act, as amended (8 U.S.C. section 1401 through 1503), and the regulations promulgated thereunder—Naturalizations and citizenship indexes.

4. Sections 235 and 287 of the Act, as amended (8 U.S.C. 1225; and 8 U.S.C. 1357), and the regulations promulgated pursuant thereto—Personnel investigations.

5. Section 231 of the Act, as amended (8 U.S.C. 1221)—Microfilmed manifest records.

6. 40 U.S.C. 483—Property management system.

7. 5 U.S.C. 4113—Extension training program.

8. 5 U.S.C. 552. The Freedom of Information Act requires certain record keeping; this system was established and is maintained in order to enable INS to comply with this requirement.

9. 5 U.S.C. 301—Health Record System. Personal Data Card System, and Compassionate Cases System.

10. Executive Order 11490—Emergency Reassignment Index.

11. Section 204, 214, and 290 of the Act, as amended (8 U.S.C. 1254, 1184, 1360)—Application and petition system.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

This system of records is used to serve the public by providing data for responses, when authorized, to written inquiries, complaints and so forth. It is also used to administer the management, operational, and enforcement activities of the Service. The records are used by officers and employees of the Service and the Department of Justice in the administration and enforcement of the immigration and nationality laws, and related statutes, including the processing of applications for benefits under these laws, detecting violations of these laws, and for referrals for prosecution. Relevant information contained in this system of records may be disclosed as follows:

A. To clerks and judges of courts exercising naturalization jurisdiction for the purpose of filing petitions for naturalization and to enable such courts to determine eligibility for naturalization or grounds for revocation of naturalization.

B. To the Department of State in the processing of petitions or applications for benefits under the Immigration and Nationality Laws, Act, and all other immigration and nationality laws, including treaties and reciprocal agreements.

C. To other federal, state, and local government law enforcement and regulatory agencies, foreign governments, the Department of Defense, including all components thereof, the Department of State, the Department of the Treasury, the Central Intelligence Agency, the Selective Service System, the United States Coast Guard, the United Nations, INTERPOL and individuals and organizations during the course of investigation in the processing of a matter or a proceeding within the purview of the immigration and nationality laws, to elicit information required by the Service to carry out its functions and statutory mandates.

D. Where there is an indication of a violation or potential violation of law (whether civil, criminal or regulatory in nature) to the appropriate agency, (whether federal state, local or foreign) charged with the responsibility of investigating or prosecuting such violations or charged with enforcing or implementing the statute, rule, regulation or order issued pursuant thereto.

E. Where there is an indication of a violation or potential violation of the immigration and nationality laws, or of a general status within Service jurisdiction, or by regulation, rule, or order issued pursuant thereto, to a court, magistrate, or administrative tribunal and to opposing counsel in the course of discovery.

F. To a federal, state, local or foreign government agency in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, loan, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter.

G. To a federal, state or local agency maintaining civil, criminal or other relevant enforcement information or other pertinent information, such as current licenses. If necessary to obtain information relevant to a decision of this Service concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license grant or other benefit.

H. Where there is an indication of a violation or potential violation of the laws of another nation. (whether civil or criminal) to the appropriate foreign government agency charged with enforcement or implementing such laws: To international organizations engaged in the collection and dissemination of intelligence concerning criminal activity.

I. To the Office of Management and Budget in connection with the review of private relief legislation as set forth in OMB Circular No. A-19 at any stage of the legislative coordination and clearance process as set forth in that Circular.

J. To other Federal agencies for the purpose of conducting national intelligence and security investigations.

K. To an applicant, petitioner or respondent or to his or her attorney or representative (as defined in 8 CFR 1.1(j)) in connection with any proceeding before the Service.

L. To a federal, state, local or foreign government agency on a discretionary and/or reciprocal basis in response to its request, to assist in the collection or repayment of loans and fraudulently-secured benefits or grants.

M. To the news media and the public pursuant to 28 CFR 50.2 unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

N. To a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and at the request of the individual who is the subject of the record.

O. To General Services Administration and National Archives and Records Administration in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Generally, index records and cards are stored in manually operated index machines, file drawers, and boxes; other information is stored manually as paper records in file folders at location B, C, E, F, and H, supra. Inactive files are stored at Federal Records Centers, Exceptions are as follows:

A. Alien address report index and records: Forms I-53, Alien Address Report, are microfilmed in the order in which they are received. An index is maintained on microfiche and on computer-readable magnetic tape.

B. Alien documentation, identification, and telecommunications (ADIT) system information is stored on magnetic tape and disks. Original forms completed by the individuals are filed with other records described for the subsystem "Centralized index and records."

C. Alien enemy index: Index records are maintained on microfilm. Actual files are stored in Federal Records Centers.

D. Centralized index and records: Most records are paper documents stored in file folders. Those index records which can be accessed electronically are stored on magnetic disk and tape.

E. Enforcement indexes: Original index cards and records are stored in manually operated file drawers and machines. Some records are also maintained in the automated system published in a notice entitled "JUSTICE/DEA-INS-111, Automated Intelligence Records Systems (Pathfinder),"

F. Examinations indexes: (1) Application and petition system records are stored on magnetic media at the Department of Justice Data Management Service. Original paper forms completed by the individuals are filed with other records in the subsystem called "Centralized index and records" (2) Service lookout system records are maintained on magnetic tape and in printed looseleaf reference books at ports of entry.

Retrievability:

Generally, records are indexed and retrievable by name and/or "A" or "C" file number Exceptions are as follows:

A. Air detail office index system: Aircraft data is filed in-numerical sequence, within each calendar year.

B. Intelligence indexes: Records are retrieved by name within organization, activity, or type of violation.

C. Examiners' docket lists of petitioners for naturalization, and Master Docket lists of petitions for naturalization pending one year or more, are filed chronologically for each court exercising naturalization jurisdiction. Relating records are filed by petition number.

Access controls: Records are safeguarded in accordance with Department of Justice rules and procedures. INS officers are located in buildings under security guard, and access to premises is by official identification. All records are stored in spaces which are locked outside of normal office hours. Many records are stored in cabinets or machines which are locked outside of normal office hours. Access to automated system is controlled by restricted passward for use of remote terminals in secured areas.

Retention and disposal:

Several general rules apply to many subsystems of records:

A. Alien registration records are retained for 100 years from the closing data or date of last actions.

B. Correspondence control cards (forms G-617) are normally retained for one year following the year in which created.

C. Correspondence portions of subject files are normally retained no longer than two years. Records are then either microfilmed or destroyed by burning.

D. Records in policy portions of subject files are retained indefinitely.

E. Indexes and records not specifically mentioned are retained only so long as they serve a useful purpose.

F. Records are destroyed by shredding, burning, or as provided in disposal schedules.

Exceptions to the general practices are as follows:

A. Alien documentation, identification, and telecommunications (ADIT) system records are maintained until naturalization, death, or other material change in status of the individual, or until the registration card is relinquished.

B. Air detail office index: Forms I-92A are retained for five years.

C. Border Patrol trainee examination papers are destroyed six months after the trainee officer completes his probationary year.

D. Centralized index records stored on magnetic disk and tape are updated periodically and maintained for the life of the relating record. Original index cards are microfilmed, then destroyed.

E. Compassionate cases system records are retained for three years after completion of action.

F. Congressional Mail Unit correspondence control index records are retained for three years.

G. Emergency reassignment index records are destroyed upon the transfer, separation, retirement, or death of the employee.

H. Enforcement indexes relating to law violators and witnesses are retained for three years. Routine investigations records are destroyed when the investigation is closed. Correspondence control records are destroyed after final action on the subject matter.

I. Examinations indexes: (1) Application and petition system records are deleted from the automated data base five years after the date of the last activity. Inactive records will be stored on magnetic tape for an additional five years. (2) Service lookout system records are deleted five years after insertion, unless removed at an earlier date or reinserted by the listing agency.

J. Finance Section indexes; accounts with creditors and debtors are retained for two years, from the close of the fiscal year to which they relate and then are transferred to Federal Records Centers for storage and disposition.

K. Freedom of Information correspondence control index cards and records of requests under appeal or litigation are retained for six years after date of final action.

L. Health records are retained for six years after the date of the last entry.

M. Intelligence indexes: Records are maintained indefinitely.

N. Naturalization examiners, docket lists and master docket lists are retained for two years. Naturalization and citizenship docket cards are purged after applications are rejected, closed, granted, or denied, or petitions for naturalization are granted, denied, or nonfiled.

O. Microfilmed manifest records are retained permanently.

P. Personal data cards are retained for three years after the employee is separated (Location A. supra). In regional offices (Location B. supra), records are destroyed after the employee is separated.

Q. Personnel investigations records are destroyed at the close of the fiscal year following the year of investigation. However, Operation Clean Sweep records are being retained until the program is terminated. Records of criminal investigation are retained as long as the information serves a useful purpose.

R. Security access clearance index records are destroyed upon the separation, death, or retirement of the employee.

S. White House and Attorney General correspondence control index cards are retained for one year beyond the expiration of the term of the President.

System manager(s) and address:

The system manager, Servicewide, is the Associate Commissioner, Information Systems (Location A, supra).

B. The Associate Commissioner, Information Systems, is the sole manager of the following subsystems:

1. Agency information control record index.
2. Alien address reports index and records.
3. Alien documentation, identification and telecommunications (ADIT) system.
4. Alien enemy index.
5. Centralized index and records (Master Index).
6. Congressional Mail Unit correspondence control index.
7. Document vendors and alterers index.
8. Enforcement correspondence control index.
9. Examinations indexes: (1) Application and petition system; (2) Correspondence control index; (3) Service lookout system.
10. Finance Section indexes.
11. Freedom of Information correspondence control index
12. Health record system.
13. Intelligence indexes.
14. Microfilmed manifest records.
15. Property issued to employees.
16. Security access clearance index.
17. White House and Attorney General correspondence control index.

C. The following officials are system managers for special subsystems:

1. Automobile decal parking identification for employees: Deputy Regional Commissioner (Location B-4, supra).

2. Enforcement indexes, group one (Contact index; informant index; Antismuggling index (general); Criminal, immoral, narcotic, racketeer and subversive indexes; Suspect third party index); the ranking Service officer of the offices in which the indexes are maintained (Locations A, B, C, and E, supra.

3. Enforcement indexes, group two: (a) Air detail office index: Deputy Director (Location J, supra). (b) Antismuggling information centers; (1) Canadian border, Chief Patrol Agent (Location F-19, supra); (2) Mexican Border, Deputy Director (Location J. supra), (c) Border Patrol Academy index: Chief Patrol Agent (Locations G, supra), (d) Border Patrol sectors general index; Chief Patrol Agent (Location F, supra), (e) Fraudulent Document Center index (Location J, supra).

4. Compassionate cases system: Associate Commissioner, Information Systems. (Location A, supra); Regional Commissioners (Location B, supra).

5. Emergency reassignment index: Regional Commissioners (Location B, supra); Disrict Directors (Location C. supra); Officers in charge (Location E, supra); Chief Patrol Agents (Location F. supra).

6. Extension training program enrollees: Chief, Employee Development Branch, Office of Assistant Commissioner, Personnel (Location A, supra).

7. Naturalization and citizenship indexes: (a) Naturalization and citizenship docket cards, and Examiners' docket lists of petitioners for naturalization: District Directors (Location C, supra); Officers in Charge (Location E, supra, except E-6, E-7, E-8, and E-13), (b) Master docket lists of petitions for naturalization pending one year or more: The Associate Commissioner, Information Systems (Location A, supra); Regional Commissioners (Location B, supra); District Directors (Location C, supra); Officers in charge (Location E, supra, except E-6, E-7, E-8, and E-13).

8. Personnel data card system: Associate Commissioner, Information Systems (Location A, supra); Regional Commissioners (Location B, supra).

Notification procedure:

A. Inquiries should be addressed to the FOIA/PA Officer at the INS office where the record is maintained or (if unknown) to the FOIA/PA Officer, INS, 425 I Street NW., Washington, D.C. 20536.

B. Systems totally exempt from disclosure pursuant to 5 U.S.C. 532a (j) and (k) listed below:

1. Agency information and control record index.
2. Document vendors and alterers index.
3. Emergency reassignment index.
4. Enforcement indexes, group one: (a) Contact index, (b) Informant index, (c) Anti-smuggling index (general), (d) Criminal, immoral,

narcotic, racketeer, and subversive indexes, (e) Suspect third party index.

5. Enforcement indexes, group two: Anti-smuggling information centers, Canadian and Mexican borders.

6. Examinations indexes; Service lookout system.

7. Intelligence indexes.

Record access procedures:

In all cases, requests for access to a record from any record subsystem shall be in writing by mail or in person. If a request for access is made in writing, the envelope and letter shall be clearly marked "Privacy Access Request." The requester shall include a description of the general subject matter and if known, the relating file number. To identify a record relating to an individual, the requester should provide the individual's full name; date and place of birth; alien, citizen, and, if appropriate, the date and place of entry into or departure from the United States. The rquester shall also provide a return address for transmitting the information.

Most of the subsystems of records contain information which the Attorney General has exempted from disclosure pursuant to 5 U.S.C. 552a(j) and (k), and records which are classified pursuant to Executive order. Each requester will be accorded access to the records relating to himself only to the extent that such records are not within the scope of exemptions and are not classified.

Contesting record procedures:

Any individual desiring to contest or amend information maintained in the system should direct his request to the INS office that maintains his record or if not known to the FOIA/PA Officer, INS, 425 I Street, NW., Washington, D.C. 20536 or to the office in which he believes a record concerning him may exist. The request should state clearly what information is being contested, the reasons for contesting it, and the proposed amendment to the information.

Record source categories:

Basic information contained in INS records is supplied by individuals on Department of State and INS applications and reports. Other information comes from inquiries and/or complaints from members of the general public and members of the Congress; referrals of inquiries and/or complaints directed to the White House or Attorney General; INS reports of investigation, sworn statements, correspondence and memorandums; official reports, memorandums, and written referrals from other government agencies, including Federal, state, and local, and from various courts and regulatory agencies; information from foreign government agencies and international organizations; and personnel and administrative applications and forms.

Systems exempted from certain provisions of the act:

The Attorney General has exempted this system from subsections (c) (3) and (4); (d); (e)(1), (2), and (3); (e)(4) (G), (H); (e)(5) and (8); and (g); of the Privacy Act. These exemptions apply to the extent that information in the subsystems is subject to exemption pursuant to 5 U.S.C. 552a (j) and (k). Rules have been promulgated in accordance with the requirements of 5 U.S.C. 553(b), (c); and (e) and have been published in the Federal Register as additions to Title 28, Code of Federal Regulations (28 CFR 16.99).

JUSTICE/INS-001A

System name:

The Immigration and Naturalization Service (INS) Alien File (A File) and Central Index System (CIS).

System location:

Central, Regional, District, and other INS file control offices in the United States as detailed in JUSTICE/INS-999. Remote access terminals will also be located in other components of the Department of Justice and in the Department of State on a limited basis.

Categories of individuals covered by the system:

A. Individuals covered by provisions of the Immigration and Nationality Act of the United States.

B. Individuals who are under investigation, were investigated in the past, or who are suspected of violating the criminal or civil provisions of treaties, statutes, Executive Orders, and Presidential proclamations administered by INS, and witnesses and informats having knowledge of such violations.

Categories of records in the system:

A. The computerized indexing system contains personal identification data such as A-File number, name, date and place of birth, date and port of entry, as well as the location of each official hardcopy paper file known as the "A-file." Microfilm records contain naturalization certificates and any supporting documentation prior to April 1, 1956; however, after that date, this type of information is maintained in the "A-file" which is described in B. below.

B. The hard copy A-file contains all the individual's official record material such as naturalization certificates; various forms, applications and petitions for benefits under the immigration and nationality laws; reports of investigations; statements; reports; correspondence; and memorandums on each individual for whom INS has created a record under the Immigration and Nationality Act.

Authority for maintenance of the system:

Sections 103 and 290 of the Immigration and Nationality Act, as amended (8 U.S.C. 1103, and 8 U.S.C. 1360), and the regulations pursuant thereto.

Purpose(s):

The system is used primarily by INS and other Department of Justice employees to administer and enforce the immigration and nationality laws, and related statutes, including the processing of applications for benefits under these laws, detecting violations of these laws, and the referral of such violations for prosecution.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Relevant information contained in this system of records may be disclosed as follows:

A. To clerks and judges of courts exercising naturalization jurisdiction for the purpose of filing petitions for naturalization and to enable such courts to determine eligibility for naturalization or grounds for revocation of naturalization.

B. To the Department of State in the processing of petitions or applications for benefits under the Immigration and Nationality Act, and all other immigration and nationality laws, including treaties and reciprocal agreements.

C. To other Federal, State, and local government law enforcement and regulatory agencies and foreign governments, including the Department of Defense and all components thereof, the Department of State, the Department of the Treasury, the Central Intelligence Agency, the Selective Service System, the United States Coast Guard, the United Nations, and INTERPOL, and individuals and organizations during the course of investigation in the processing of a matter or during a proceeding within the purview of the immigration and nationality laws to elicit information required by INS to carry out its functions and statutory mandates.

D. Where there is an indication of a violation or potential violation of law (whether civil, criminal or regulatory in nature), to the appropriate agency (whether Federal, State, local or foreign), charged with the responsibility of investigating or prosecuting such violations, or charged with enforcing or implementing the statute, rule, regulation or order issued pursuant thereto.

E. Where there is an indication of a violation or potential violation of the immigration and nationality laws, or of a general statute within INS jurisdiction, or of a regulation, rule, or order issued pursuant thereto, to a court, magistrate, or administrative tribunal in the course of presenting evidence, and to opposing counsel during discovery.

F. To a Federal, State, local or foreign government agency in response to its request, in connection with the hiring or retention by such agency of an employee, the issuance of a security clearance, the reporting of an investigation of such an employee, the letting of a contract, or the issuance of a license, grant, loan, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter.

G. To a Federal, State or local agency maintaining civil, criminal or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to a decision of INS concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant or other benefit.

H. Where there is an indication of a violation or potential violation of the law of another nation (whether civil or criminal), to the appropriate foreign government agency charged with enforcing or implementing such laws and to international organizations engaged in the collection and dissemination of intelligence concerning criminal activity.

I. To the Office of Management and Budget in connection with the review of private relief legislation as set forth in OMB Circular No. A-19 at any stage of the legislative coordination and clearance process as set forth in the Circular.

J. To other Federal agencies for the purpose of conducting national intelligence and security investigations.

K. To an applicant, petitioner or respondent or to his or her attorney or representative as defined in 8 CFR 1.1(j) in connection with any proceeding before INS.

L. To a Federal, State, local or foreign government agency in response to its request for assistance in the collection or repayment of loans and fraudulently or erroneously secured benefits or grants, or other debts owed to the United States.

M. To student volunteers whose services are accepted pursuant to 5 U.S.C. 3111 or to students enrolled in a college work study program pursuant to 42 U.S.C. 2751 et seq.

N. To the news media and the public pursuant to 28 CFR 50.2 unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of a personal privacy.

O. To a Member of Congress or staff acting on the Member's behalf when the Member or staff requests the information on behalf of and at the request of the individual who is the subject of the record.

P. To the General Services Administration and the National Archives and Records Administration in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Most A-file records are paper documents and are stored in file folders. Some microfilm and other records are stored in manually operated machines, file drawers, and filing cabinets. Those index records which can be accessed electronically are stored in a data base on magnetic disk and tape.

Retrievability:

These records are indexed and retrieved by A-file number, name, and/or date of birth.

Safeguards:

INS offices are located in buildings under security guard, and access to premises is by official identification. All records are stored in spaces which are locked during non-duty office hours. Many records are stored in cabinets or machines which are also locked during non-duty office hours. Access to automated records is controlled by passwords and name identifications.

Retention and disposal:

A-file records are retained for 75 years from the closing date or date of last action and then destroyed. Automated index records are retained only as long as they serve a useful purpose and then they are deleted from the system disk and/or tape.

System manager(s) and address:

The Servicewide system manager is the Director, Records Management Branch, Records Systems Division, Immigration and Naturalization Service, 425 I Street NW., Washington, DC 20536.

Notification procedure:

Address inquiries to the system manager identified above, the nearest INS office, or the INS office maintaining desired records, if known, by using the list of principal offices of the Immigration and Naturalization Service Appendix: JUSTICE/INS-999, published in the Federal Register.

Record access procedures:

Make all requests for access in writing to the Freedom of Information Act/Privacy Act (FOIA/PA) officer at one of the addresses identified above. Clearly mark the envelope and letter "Privacy Act Request." Provide the A-file number and/or the full name, date and place of birth, and notarized signature of the individual who is the subject of the record, and any other information which may assist in identifying and locating the record, and a return address. For convenience, INS Form G-639, FOIA/PA Request, may be obtained from the nearest INS office and use to submit a request for access.

Contesting record procedures:

Direct all requests to contest or amend information to the FOIA/PA Officer at one of the addresses identified above. State clearly and concisely the information being contested, the reason for contesting it, and the proposed amendment thereof. Clearly mark the envelope "Privacy Act Request." The record must be identified in the same manner as described for making a request for access.

Record source categories:

Basic information contained in INS records is supplied by individuals on Department of State and INS applications and forms. Other information comes from inquiries and/or complaints from members of the general public and members of Congress; referrals of inquiries and/or complaints directed to the White House or Attorney General, INS reports to investigations, sworn statements, correspondence and memorandums; official reports, memorandums, and written referrals from other entities, including Federal, State, and local governments, various courts and regulatory agencies, foreign government agencies and international organizations.

Systems exempted from certain provisions of the act:

The Attorney General has exempted this system from subsections (c) (3) and (4); (d); (e) (1), (2), and (3); (e)(4) (G) and (H); (e) (5) and (8); and (g) of the Privacy Act. These exemptions apply to the extent that information in the system is subject to exemption pursuant to 5 U.S.C. 552a (j) and (k). Rules have been promulgated in accordance with the requirements of 5 U.S.C. 553 (b), (c), and (e) and have been published in the Federal Register and codified as additions to Title 28, Code of Federal Regulations (28 CFR 16.99).

JUSTICE/INS-002

System name:

Application/Petition Tracking System (APTS).

System location:

District offices of the Immigration and Naturalization Service, as detailed in JUSTICE/INS-999

Categories of individuals covered by the system:

Individuals who have filed applications or petitions for benefits under the Immigration and Nationality Act, as amended.

Categories of records in the system:

Name of applicant or petitioner, date and country of birth, alien identification number, form number of application or petition, date filed or received in INS office, control number, status, and location of relating file or records.

Authority for maintenance of the system:

Section 103 of the Immigration and Nationality Act, as amended (8 U.S.C. 1103).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Information in this system will be used by employees of the Immigration and Naturalization Service to determine the status of the pending application or petition and to locate relating files and other records promptly. This system of records is used to serve the public by providing data for responses, when authorized, to inquiries; complaints, and so forth.

Release of information to the news media: Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available from systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Release of information to Members of Congress: Information contained in a system of records maintained by the Department of Justice, not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and at the request of the individual who is the subject of the record.

Release of information to the National Archives and Records Administration (NARA) and the General Services Administration (GSA): A record from a system of records may be disclosed as a routine use to NARA and GSA in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Information in this system of records is maintained on magnetic disk.

Retrievability:

Records are retrieved by the name or alien identification number of the applicant or petitioner, or the control number of the application or petition. Access to the system is restricted to employees of the Immigration and Naturalization Service responsible for the control, processing, and adjudication of petitions and applications. Method of access is by keyboard terminals located in areas restricted to authorized INS personnel.

Safeguards:

This system of records is safeguarded and protected in accordance with Department of Justice and INS rules and procedures.

Retention and disposal:

Records will be deleted from the automated data base ninety (90) days after final decision on the application or petition.

System manager(s) and address:

Associate Commissioner, Information Systems Central Office, Washington, D.C.; District Directors in district offices in the United States where this system of records is located.

Notification procedure:

Inquiries should be addressed to the District Director of the Immigration and Naturalization Service office where the application or petition was filed. If the filing location is not known, inquiries may be addressed to the Associate Commissioner, Information Systems Central Office, Immigration and Naturalization Service, 425 Eye Street NW., Washington, D.C. 20536.

Record access procedures:

In all cases, requests for access to a record from this system of records shall be in writing or in person. If request for access is made in writing, the envelope and letter shall be clearly marked "Privacy Access Request." The requester shall include a description of the general subject matter and, if known, the relating file number. To identify a record relating to an individual the requester should provide the individual's full name; date and place of birth; alien, citizen, or employee identification number; and, if appropriate, the date and place of entry into or departure from the United States. The requester shall also provide a return address for transmitting the information.

Contesting record procedures:

Any individual desiring to contest or amend information maintained in the system should direct his request to the INS office nearest his residence or the office in which he believes a record concerning him may exist. The request should state clearly what information is being contested, the reasons for contesting it, and the proposed amendment to the information.

Record source categories:

All information is entered from the original application or petition forms completed by the individuals, with the addition of the date of filing or receipt by INS, a control number assigned at the time of receipt, section assignments, and status information updated by each division or unit handling the pending matter.

Systems exempted from certain provisions of the act:

None.

JUSTICE/INS-003

System name:

Position Accounting/Control System (PACS).

System location:

Central Office, Immigration and Naturalization Service, 425 I Street NW., Washington, D.C.

Categories of individuals covered by the system:

Employees of the Immigration and Naturalization Service.

Categories of records in the system:

A. Position data: Position number; category code; organization code; position title; pay plan; series; grade; description; accounting classification code; active/inactive code; fund control number; amount authorized; hours authorized; new program element code; input control number; input transaction code; date position created or vacated; SF-52 date; announcement date and number; Entered on Duty (EOD) date; projected vacant date; date last classified; date Position Management Committee (PMC) approved; date position last audited or reviewed; date of transaction; position appeal date, if any; union coverage code appealed to code, position freeze code, competitive level code; remarks code.

B. Payroll data: Social Security Account Number (SSAN); pay period number; payroll subobject code; last pay period amount and hours; cumulative amount and hours; accrual amount and hours; prior month YTD amount and hours; payroll current/prior/manual (C/P/M) code.

C. Personnel data: position number; organization code; position title; payplan; series; grade; description; accounting classification code; incumbent's name, Social Security Account Number, next Quality Step Increase (QSI) date; nature of action; transaction date; FLSA exemption code; and effective date.

Authority for maintenance of the system:

Section 103 of the Immigration and Nationality Act, as amended (8 U.S.C. 1103); Delegation of Authority to Departments (5 U.S.C. 301); Position Management Systems and Employment Ceilings, Bureau of the Budget Circular No. A-64 (June 28, 1965; January 2, 1970).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Information in this system is used for reports to INS managers of position authorization and cost data by geographic area, organizational unit, program activity, and budget allocation, including the composition of the INS work force (on-board strength and vacancies); status of each vacancy; turnover and occupancy rate statistics; aggregate position data by grade level, organization unit, program activity, type of position, etc.; actual costs for each position and projected position costs for the next fiscal year; and authorization of positions through funds control and periodic review mechanisms.

Release of information to the news media: Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available from systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Release of information to Members of Congress: Information contained in a system of records maintained by the Department of Justice, not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff request the information on behalf of and at the request of the individual who is the subject of the record.

Release of information to the National Archives and Records Administration (NARA) and the General Services Administration (GSA): A record from a system of records may be disclosed as a routine use to NARA and GSA in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Automated records are maintained on magnetic disk and tape at the Department of Justice Data Management Service. All other records are maintained as paper documents at the Central Office, 425 I Street NW, Washington, D.C. and four regional personnel offices.

Retrievability:

Records are retrieved by position number, organization code, accounting classification code, or program element code.

Access controls:

Access to the system is restricted to employees of the Immigration and Naturalization Service responsible for position accounting and management. Biweekly reports are distributed only to authorized INS personnel. Remote terminals for additional access are located in areas restricted to authorized INS personnel.

Safeguards:

The data in the automated system of records is safeguarded and protected in accordance with Department of Justice and INS rules and procedures. Paper forms are stored in metal file cabinets which are locked outside of normal duty hours.

Retention and disposal:

Records are deleted from the automated data base within 60 days after termination of the position authorization. Employee personnel information in the automated data base is deleted when the position becomes vacant. The data base is updated biweekly to maintain accurate, current information on position status and characteristics.

System manager(s) and address:

Associate Commissioner, Management.

Notification procedure:

Inquiries should be addressed to the Associate Commissioner, Management, Immigration and Naturalization Service, 425 I Street NW., Washington, D.C. 20536.

Record access procedures:

In all cases, requests for access to a record shall be in writing, by mail or in person. If request for access is made by mail, the envelope and letter shall be clearly marked "Privacy Access Request." The requester shall include a description of the subject matter and, if known, the relating file number. To identify a record relating to an individual, requester should provide the individual's full name, date and place of birth, employee identification number, and, if known, position number. The requester shall also provide a return address for transmitting the information.

Contesting record procedures:

Any individual desiring to contest or amend information maintained in the system should direct his request to the Associate Commissioner, Management. The request should state clearly what information is being contested, the reasons for contesting it, and the proposed amendment to the information.

Record source categories:

Position management data is obtained from official records in INS personnel offices. Payroll data is obtained from the computerized

Department of Justice Payroll System (JUSTICE/OMF—003). Personnel managment data is obtained from the Department of Justice Personnel System (JUNIPER).

Systems exempted from certain provisions of the act:

None.

JUSTICE/INS-004

System name:

Top Priority Program (TPP).

System location:

Central Office, Immigration and Naturalization Service, 425 I Street, NW., Washington, D.C.

Categories of individuals covered by the system:

Individuals, groups of individuals, or organizations that are expected to generate continuing public interest over a period of time and whose activities lie within the jurisdiction of the Immigration and Nationality Act, including but not limited to those involved in schemes to defraud the government, notorious crime figures, and perpetrators of horrendous or unusual crimes.

Categories of records in the system:

1. Index records of individuals covered by the system, including name of person, group, or organization, and status, reference, and locator information on the related INS case file, if any, in field offices.

2. Temporary file folders established at headquarters containing personal information about the individuals, such as the date and place of birth, immigration status in the United States, marital status, and names of family members and associates; and progress reports on the priority cases.

Authority for maintenance of the system: Section 103 of the Immigration and Nationality Act, as amended (8 U.S.C. 1103).

routine uses of records maintained in the system, including categories of users and the purposes of such uses: Information regarding status and progress of top priority cases is disseminated to INS managers, the Attorney General, officials of other Federal law enforcement agencies, Members of Congress, and to the President. No personal information is disseminated outside the Department of Justice.

Release of information to the news media and the public: Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available from systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Release of information to Members of Congress: Information contained in systems of records maintained by the Department of Justice, not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of or at the request of the individual who is the subject of the record.

Release of information to the National Archives and Records Administration (NARA) and the General Services Administration (GSA): A record from a system of records may be disclosed as a routine use to NARA and GSA in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are maintained as paper documents in manually operated index machines and file drawers.

Retrievability:

Records are retrieved by the name of the individual, group of individuals, or organization.

Safeguards:

The data is safeguarded and protected in accordance with Department of Justice and INS rules and procedures. INS offices are located in buildings under security guard, and access to premises is by official identification. Access to records is restricted to INS employees. All records are stored in locked containers outside normal office hours.

Retention and disposal:

Records are deleted from the system one year after the individual or organization ceases to be active in the Top Priority Program. Records are destroyed by shredding or burning.

System manager(s) and address:

Assistant Commissioner, Investigations, Immigration and Naturalization Service, 425 I Street, NW., Washington, DC 20536.

Notification procedure:

Inquiries should be addressed to the Assistant Commissioner, Investigations, Immigration and Naturalization Service, 425 I Street, NW., Washington, DC 20536. To enable INS to identify whether the system contains a record relating to an individual, the requester must provide the individual's full name, date of birth, and place of birth; name of organization, if any; description of subject matter; and, if known, the related file number.

Record access procedures:

A person desiring to access or contest a record shall submit his request in writing to the agency official designated under "Notification Procedure" above. If a request to access or contest a record is made by mail, the envelope and letter shall be clearly marked "Privacy Act Request." If a requester wishes access to a record, he must identify the record by furnishing the information listed under "Notification Procedure" above. If the requester wishes to contest a record, he must also clearly state which record(s) is being contested, the reason(s) for contesting, and the proposed amendment(s) to the record(s). In addition, he must provide a return address for transmitting any information.

Contesting record procedures:

A person desiring to access or contest a record shall submit his request in writing to the agency official designated under "Notification Procedure" above. If a request to access or contest a record is made by mail, the envelope and letter shall be clearly marked "Privacy Act Request." If a requester wishes access to a record, he must identify the record by furnishing the information listed under "Notification Procedure" above. If the requester wishes to contest a record, he must also clearly state which record(s) is being contested, the reason(s) for contesting, and the proposed amendment(s) to the record(s). In addition, he must provide a return address for transmitting any information.

Record source categories:

Data is obtained from official records of the Immigration and Naturalization Service. These records include information obtained from other Goverment agencies.

Systems exempted from certain provisions of the act:

None.

JUSTICE/INS-005

System name:

Case Control System.

System location:

District offices and suboffices of the Immigration and Naturalization Service (INS) in the United States, as detailed in JUSTICE/INS-999.

Categories of individuals covered by the system:

Individuals who are covered by various provisions of the immigration and nationality laws of the United States, including current and former applicants or petitioners for benefits; petitioners for naturalization or citizenship; individuals under detention, supervised department, or deportation processes; individuals who are under investigation; students; and others whose case files have been assigned to the INS Office having jurisdiction over the individual's place of residence.

Categories of records in the system:

The system contains automated index and summary records to aid in the management of files and administrative control of the processing of various kinds of active cases within each office where a part of this system is located:

A. "A-file" tracking: index records of individuals covered by the system, including name of person, identification or file number, location of file within the office, immigration status, case status (if any), processing checklist;

B. Application and petition control: Name and address of applicant or petitioner and/or beneficiary and authorized representative (if any), date and country of birth, file number, form number of application of petition, date filed or received, control number, status, case assignment, scheduling data;

C. Automated file summary: Name, file number, abstracts of documents on file in permanent manual file;

D. Closed file docket: Name, file number, Federal Records Center accession number and location, date closed;

E. Deportation and detention docket control: Name, file number, charge, amount of bond, hearing date, case assignment, scheduling data;

F. Investigations control: Name, file number, reason for investigation, case assignment, scheduling data;

G. Naturalization and citizenship docket control: Name, file number, petition number, date of receipt of petition, date and place of filing, number of court where petition was filed, code of authorized representative (if any), scheduling data;

H. Student registration control: Name, file number, date of admission, length of approved stay, school attended.

Authority for maintenance of the system:

Section 103 of the Immigration and Nationality Act, as amended (8 U.S.C. 1103).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Information regarding the status and progress of cases is disseminated to the individuals or their authorized representatives, concerned employees of INS and other components of the Department of Justice, officials of other Federal law enforcement agencies, Members of Congress, and to the President.

Release of information to the news media and the public: Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available from systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Release of information to Members of Congress: Information contained in systems of records maintained by the Department of Justice, not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf on and at the request of the individual who is the subject of the record.

Release of information to the National Archives and Records Administration (NARA) and the General Services Administration (GSA): A records from a system of records may be disclosed as a routine use to the NARA and GSA in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are maintained on magnetic disks, tapes, and other computer-readable media.

Retrievability:

Records are retrieved by the name of file number of the individual, control number of the case, date of filing or last action, pending status, case assignment, or scheduling data.

Safeguards:

The data is safeguarded and protected in accordance with Department of Justice and INS rules and procedures. INS offices are located in buildings under security guard, and access to premises is by official identification. Access to terminals is restricted to INS employees, and access to records is further protected by the use of passwords and controlled data base search arguments.

Retention and disposal:

Case control records (those identified under "Categories of records in the system" as "B," "C," "E," "F," "G," and "H") are delted from the automated data base ninety (90) days after final action. File index records (those identified under "Categories of records in the systems" as "A" and "D") are deleted six months after disposal of the manual files.

System manager(s) and address:

Associate Commissioner Information Systems, Central Office; District Director or Officer in Charge in each office where as a part of this system is located.

Notification procedure:

Inquiries should be addressed to the District Director or Officer in Charge of the INS office where the file is located. If the file location is not known, inquiries may be addressed to the Associate Commissioner Information Systems, 425 I Street NW, Washington, DC 20536. To enable INS to identify whether the system contains a record relating to an individual, the requester must provide the individual's full name, date of birth, and place of birth; description of subject matter; and, if known, the related file number.

Record access procedures:

A person desiring access to a record shall submit his request in writing to the agency official designated under "Notification procedure" above. He must also identify the record by furnishing the information listed under that procedure. If a request to access a record is made by mail, the envelope and letter shall be clearly marked "Privacy Act Request", and a return address must be provided for transmitting any record to him.

Contesting record procedures:

A person desiring to contest a record shall submit his request in writing to the agency official designated under "Notification procedure" above. He must also identify the record by furnishing the information listed under that caption and clearly stating which record(s) is being contested, the reason(s) for contesting, and the proposed amendment(s) to the record(s). If a request to access or contest a record is made by mail, the envelope and letter shall be clearly marked "Privacy Act Request", and a return address must be provided for transmitting any information to him.

Record source categories:

Data is obtained from official INS records pertaining to the individuals, together with reference and locator data from the Central Index System (CIS) INS case files.

Systems exempted from certain provisions of the act:

None.

JUSTICE/INS-006

System name:

Alien Address Reports.

System location:

Immigration and Naturalization Service (INS), Central Office, 425 I Street, NW, Washington, DC 20536.

Categories of individuals covered by the system:

Aliens required to report addresses each January: nonimmigrants; aliens lawfully admitted for permanent residence; aliens granted political asylum; refugees and other conditional entrants.

Categories of records in the system:

This system contains an index and copies of Form I-53, Alien Address Report Card, required to be filed by aliens in the United States.

Authority for maintenance of the system:

Sections 103, 265, and 290 of the Immigration and Nationality Act, as amended (8 U.S.C. 1103, 1305, and 1380).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The records in this system are used by officers and employees of INS and other components of the Department of Justice in the administration and enforcement of the immigration and nationality laws, including the processing of applications for benefits under those laws, detecting violations of the laws, and referrals for prosecution; and for compilation of reports of statistical and demographic information.

Relevant records in this system of records may be referred to the appropriate agency, whether Federal, state, local, or foreign, charged with the responsibility of investigating or prosecuting a violation or potential violation of law or charged with enforcing or implementing the statute or rule, regulation, or order issued pursuant thereto, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statue, or by regulation, rule, or order issued pursuant thereto.

A record from this system may be disclosed to other Federal agencies for the purpose of conducting national intelligence and security investigations.

Information contained in this system of records may be disclosed to other Federal agencies in connection with refugee assistance programs.

Records may be disclosed to one or more private firms for the purpose of entering data, sorting, analyzing, coding, microfilming, or otherwise refining records in the system. Such firms will be required to maintain Privacy Act safeguards with respect to such records.

Release of information to Members of Congress: Information contained in systems of records maintained by the Department of Justice, not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of, and at the request of the individual who is the subject of the record.

Release of information to the news media: Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available from systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Release of information to the National Archives and Records Administration (NARA) and the General Services Administration (GSA): A record from a system of records may be disclosed as a routine use to the NARA and GSA in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Original input Forms I-53, Alien Address Report Card, are stored in boxes in INS-controlled areas that are locked when not supervised by INS employees. when entered into the system, the cards are serially numbered and microfilmed. Information for preparation of the microfiche index and reports is coded and stored on computer-readable magnetic tape.

Retrievability:

Records in the system are indexed and retrievable by name of the individual.

Safeguards:

Records are safeguarded in accordance with Department of Justice rules and procedures. INS offices are located in building, under security guard, and access to premises is by official identification. Access to automated systems is controlled by restricted passwords for use of remote terminals in secured areas.

Retention and disposal:

Original input forms are destroyed in accordance with procedures approved by NARA after microfilming and computer data entry is completed, verified, and accepted, or three years after the year of receipt, whichever is earlier. Copies of the index and reports for each year are kept for three years by INS.

System manager(s) and address:

Associate Commissioner, Information Systems, INS, Central Office, 425 I Street, NW., Washington, DC 20536.

Notification procedure:

Inquiries should be addressed to the system manager. To enable INS to identify whether the system contains a record relating to an individual, the requester must provide the individual's full name, date of birth, and place of birth; and, if known, the alien registration number.

Record access procedures:

A person desiring access to a record shall submit his request in writing to the agency official designated under "Notification procedure" above. He must also identify the record by furnishing the information listed under that procedure. If a request to access a record is made by mail, the envelope and letter shall be clearly-marked "Privacy Act Request," and a return address must be provided for transmitting any information to him.

Contesting record procedures:

A person desiring to contest a record shall submit a request in writing to the agency official designated under "Notification procedure" above. The requestor must also identify the record by furnishing the information listed under that caption and clearly state which record(s) is being contested, the reason(s) for contesting, and the proposed amendment(s) to the record(s). If a request to contest a record is made by mail, the envelope and letter shall be clearly marked "Privacy Act Request," and a return address must be provided for transmitting any information.

Record source categories:

Information in the system is obtained from requests and petitions filed by the petitioners: public and private adoption agencies and social workers; and Federal, State local and foreign government agencies.

Systems exempted from certain provisions of the act:

This system is exempt from subsection (d) of the Privacy Act. This exemption applies to the extent that information in this system is subject to exemption pursuant to 5 U.S.C. 552a(k)(1). Regulations have been promulgated in accordance with the requirements of 5 U.S.C. 553 (b), (c) and (e) and have been published in the Federal Register.

JUSTICE/INS-007

System name:

Orphan Petitioner Index and Files.

System location:

District offices and suboffices of the Immigration and Naturalization Service (INS) in the United States and foreign countries, as detailed in JUSTICE/INS-999.

Categories of individuals covered by the system:

Individuals who are prospective petitioners or who have filed a petition to classify an alien orphan as an immediate relative under the Immigration and Nationality Act, as amended.

Categories of records in the system:

A. Index. The system contains Forms G-601, Adjudications Control Cards, to aid in the administrative control of the processing of cases within each office where a part of this system is located. B. Files. The system also contains Forms I-600. Petition to Classify Orphan As An Immediate Relative, filed for advance processing of orphan petitions by prospective adoptive parents; documentation of prospective adoptive parents' United States citizenship and marital status; agency responses indicating whether prospective adoptive parents have any arrest records; and home studies which include statements of financial ability and other elements that relate to the ability of the prospective parents to provide proper care to beneficiary orphans.

Authority for maintenance of the system:

Section 101, 103, and 204 of the Immigration and Nationality Act, as amended (8 U.S.C 1101, 1103, and 1154).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Information in the system will be used by employees of the Immigration and Naturalization Service to determine the status of pending requests or petitions, to locate related files and other records promptly, and to determine the suitability of prospective petitioners as adoptive parents. Information regarding the status and progress of cases and the suitability of prospective petitioners as adoptive parents may be disseminated to other components of the Department of Justice, Members of Congress, and the President.

Relevant information from this system may be referred to the Department of State in the processing of petitions or issuance of visas for benefits under the Immigration and Nationality Act, as amended.

Information from this system may be referred to officials of other Federal, state, and local government agencies and adoption agencies and social workers to elicit information required for making a final determination of the petitioner's ability to care for a beneficiary orphan.

Release of information to the news media: Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available from systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Release of information to Members of Congress: Information contained in systems of records maintained by the Department of Justice, not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and at the request of the individual who is the subject of the records.

Release of information to the National Archives and Records Administration (NARA) and the General Services Administration (GSA): A record from a system of records may be disclosed as a routine use to NARA and GSA in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are maintained on Forms G-601, Adjudications Control Cards, and as paper records in file folders.

Retrievability:

Records are retrieved by the name of the petitioner.

Safeguards:

This system of records is safeguarded and protected in accordance with Department of Justice and INS rules and procedures. The records are maintained in file cabinets in areas restricted to access by INS employees, and access to the premises is by official identification.

Retention and disposal:

When an orphan petition is filed, records from the advance processing file folders are merged into the case file relating to the beneficiary orphan. See JUSTICE/INS-001, the Immigration and Naturalization Service Index System. Subsystem E, centralized index and records (Master Index).

If no petition is filed within one year of completion of all advance processing, the records are returned to the petitioner or the responsible state or licensed agency. Materials not returned to the petitioner or responsible state or licensed agency will be destroyed.

The Forms G—601, Adjudications Control Cards, may be retained for three years following the year in which they were created.

System manager(s) and address:

Associate Commissioner, Examinations, Immigration and Naturalization Service, 425 I Street, NW., Washington, D.C. 20536; and District Director or Officer in Charge of each INS office where a part of this system is located.

Notification procedure:

Inquiries should be addressed to the District Director or Officer in Charge of the INS office where the file is located. If the file location is not known, inquiries may be addressed to the Associate Commissioner, Examinations, Immigration and Naturalization Service, 425 I Street, NW., Washington, D.C. 20536. To enable INS to identify whether the system contains a record relating to an individual, the requester must provide the individual's full name, date of birth, place of birth, and a description of the subject matter.

Record access procedures:

A person desiring access to a record shall submit a request in writing to the agency official designated under "Notification procedure" above. The requester must also identify the record by furnishing the information listed under that caption. If a request to access a record is made by mail, the envelope and letter shall be clearly marked "Privacy Act Request," and a return address must be provided for transmitting any information.

Contesting record procedures:

A person desiring to contest a record shall submit a request in writing to the agency official designated under "Notification procedure" above. The requester must also identify the record by furnishing the information listed under that caption and clearly state which record(s) is being contested, the reason(s) for contesting, and the proposed amendment(s) to the record(s). If a request to contest a record is made by mail, the envelope and letter shall be clearly marked "Privacy Act Request," and a return address must be provided for transmitting any information.

Record source categories:

Information in the system is obtained from requests and petitions filed by the petitioners; public and private adoption agencies and social workers; and Federal, State, local and foreign government agencies.

Systems exempted from certain provisions of the act:

This system is exempt from subsection (d) of the Privacy Act. This exemption applies to the extent that information in this system is subject to exemption pursuant to 5 U.S.C. 552a(k)(1). Regulations have been promulgated in accordance with the requirements of 5 U.S.C. 553 (b), (c) and (e) and have been published in the Federal Register.

JUSTICE/INS-008

System name:

Bond Accounting and Control System (BACS).

System location:

Immigration and Naturalization Service regional offices: (1) Burlington, Vermont; (2) Fort Snelling, Twin Cities, Minnesota; (3) Dallas, Texas; and (4) San Pedro, California. Addresses of offices are listed in JUSTICE/INS-999 as published in the FEDERAL REGISTER, or in the telephone directories of the respective cities listed above under the heading "United States Government, Immigration and Naturalization Service."

Categories of individuals covered by the system:

Individuals who have posted a bond with INS and the beneficiaries of posted bonds.

Categories of records in the system:

Information which allows identification of active bonds posted with INS such as: bond number, obligor's name and address, alien beneficiary's name and alien file number, type of bond, location and date bond was posted, and other data related to bonds.

Authority for maintenance of the system:

Section 103 (8 U.S.C. 1103) in implementing the authorities set forth in Section 213 (8 U.S.C. 1183) and Section 293 (8 U.S.C. 1363) of the Immigration and Nationality Act.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Information in this system will be used by employees of INS to control and account for collateral received to support an immigration bond. The system will allow prompt location of related files and other records and will enable INS to make timely responses to inquiries about these records.

The information in the system can be used to generate various documents (such as voucher disbursements) required for normal accounting procedures and to generate statistical and historical reports pertaining to immigration bonds posted, cancelled or breached.

Release of information may be made to other Federal, state, or local law enforcement agencies for investigative purposes or collection of breached bonds.

Release of information to Members of Congress: Information contained in a system of records maintained by the Department of Justice required to be released pursuant to 5 U.S.C. 552, may be made available to a member of Congress or staff upon the member's behalf when the member or staff acting requests the information on behalf of and at the request of the individual who is the subject of the record.

Release of information to the National Archives and Records Administration (NARA) and the General Services Administration (GSA): A record from a system of records may be disclosed as a routine use to the NARA and GSA in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Information is stored on magnetic disks.

Retrievability:

Records may be retrieved by any of the following: Alien's name, alien's file number, obligor's name, bond-receipt control number, breach control number, or location and date bond was posted.

Safeguards:

Records are safeguarded in accordance with Department of Justice rules and procedures. INS offices are located in buildings under security guard, and access to premises is by official identification. All records are stored in spaces which are locked outside of normal office hours. Access to this automated system is obtained through remote terminals which are located in secured areas and require the use of restricted passwords.

Retention and disposal:

Records are deleted from magnetic disks one year (or earlier) after the bond is disbursed and the file closed.

System manager(s) and address:

The Associate Regional Commissioner, management, at the regional office having jurisdiction over the area in which the beneficiary alien resides. See the caption "System locations."

Notification procedure:

Inquiries should be addressed to the system manager.

Record access procedures:

In all cases, requests for access to a record shall be in writing. Written requests may be submitted by mail or in person at an INS office. If a request for access is made by mail, the envelope and letter shall be clearly marked "Privacy Access Request." To identify a record relating to an individual, a requester should provide: The individual's full name, alien file number, and location and date bond was posted. The requester shall provide a return address for transmitting the information.

Contesting record procedures:

Any individual desiring to contest or amend information maintained in the system should direct his request to the regional INS office in which he believes the record concerning him may exist. The request should state clearly what information is being contested, the reasons for contesting it, and the proposed amendment to the information.

Record source categories:

Information contained in this system or records is supplied on INS forms by individuals who have posted a bond with the INS and by the beneficiaries of posted bonds.

Systems exempted from certain provisions of the act:

None.

JUSTICE/INS-009

System name:

Alien Status Verification Index.

System location:

Central, Regional, Distict, and other files control offices of the Immigration and Naturalization Service (INS) in the United States as detailed in JUSTICE/INS-999. Remote access terminals will also be located in state employment security offices (SESA's) and other Federal, State, and local agencies nationwide.

Categories of individuals covered by the system:

Individuals covered by provisions of the immigration and nationality laws of the United States.

Categories of records in the system:

The system consists of an index of aliens and other persons on whom INS has a record as an applicant, petitioner, beneficiary, or possible violator of the Immigration and Nationality Act. Records are limited to index and file locator data including name, alien registration number (or "A-file" number), date and place of birth, social security account number, date and port of entry, coded status transaction data, immigration status classification, and office location of related records files.

Authority for maintenance of the system:

Section 290, of the Immigration and Nationality Act, as amended (8 U.S.C. 1360).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

This system of records is used to verify an alien's status or to locate the INS file control office for the alien file of a particular individual.

A. A record from this system of records may be disclosed, as a routine use, to a Federal, State, or local government agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter.

B. A record from this system may be disclosed to other Federal, State, or local government agencies for the purpose of verifying information in conjunction with the conduct of a national intelligence and security investigation, or for criminal or civil law enforcement purposes.

Release of information to the news media:

Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available for systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Release of information to Members of Congress:

Information contained in systems of records maintained by the Department of Justice, not otherwise required to be released pursuant to 5 U.S.C. 552 may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member of staff request the information on behalf of and at the request of the individual who is the subject of the record.

Release of information to the National Archives and Records Administration (NARA) and the General Services Administration (GSA):

A record from this system of records may be disclosed as a routine use to NARA and GSA in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are stored on magnetic disk and tape.

Retrievability:

Records are indexed and retrievable by name and date and place of birth, or by name and social security account number, by name and A-file number.

Safeguards:

Records are safeguarded in accordance with Department of Justice rules and procedures. Access is controlled by restricted password for use of remote terminals in secured areas.

Retention and disposal:

Centralized index records stored on magnetic disk and tape are updated periodically and maintained for the life of the related record.

System manager(s) and address:

The Associate Commissioner, Information Systems, Immigration and Naturalization Service, Central Office, 425 I Street NW., Washington, D.C., is the sole manager of the system.

Notification procedure:

Inquiries should be addressed to the system manager listed above.

Record access procedures:

In all cases, requests for access to a record from this system shall be in writing, if a request for access is made by mail, the envelope and letter shall be clearly marked "Privacy Access Request." The requester shall include the name, date and place of birth of the person whose record is sought and, if known, the alien file number. The requester shall also provide a return address for transmitting the information.

Contesting record procedures:

Any individual desiring to contest or amend information maintained in the system should direct his request to the System Manager or to the INS office that maintains the file. The request should state clearly what information is being contested, the reasons for contesting it, and the proposed amendment to the information.

Record source categories:

Basic information contained in this system is taken from Department of State and INS applications and reports on the individual.

Systems exempted from certain provisions of the act:

None.

JUSTICE/INS-010

System name:

Freedom of Information Act/Privacy Act (FOIA/PA) Case Tracking and Reporting System.

System location:

Central, Regional, District, and other Files Control Offices of the Immigration and Naturalization Service (INS) in the United States as detailed in JUSTICE/INS-999.

Categories of individuals covered by the system:

Individuals making requests, individuals designated to receive responses, and individuals whose records are requested by others under the provisions of the Freedom of Information Act and/or Privacy Act.

Categories of records in the system:

Information extracted from FOIA/PA requests and the documentation provided by INS personnel of actions taken on the requests. The data base consists of data such as the names of requesters, record subjects, or persons designated to receive responses to requests; mailing addresses to send responses; date of receipt of requests; assigned request control numbers; date responses are due; interim and final action(s) taken on requests and the date(s) of final and/or interim actions; the persons or offices assigned action on requests; the types of requests; fee data; alien file numbers; specific exemptions applied to denial actions; offices where requests are transferred for referral or consultations; and the names/titles of officials responsible for denials.

Authority for maintenance of the system:

This system is maintained pursuant to 44 U.S.C. 3101 and 8 U.S.C. 1103 to implement the provisions of 5 U.S.C. 552 and 5 U.S.C. 552a.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

This system of records is used to record, control, and determine the status of FOIA/PA requests, and produce statistical reports required by both Acts. Information from the system may be provided to the record subject, the requester or other persons designated by the requester, and to other Federal agencies and Department of Justice components receiving INS referrals or with whom consultations are required in order to complete the processing of requests. All other uses are internal within INS.

Release of information to Members of Congress: Information in this system may be disclosed as is necessary to appropriately respond to congressional inquiries on behalf of constituents.

Release of information to the National Archives and Records Administration (NARA) and the General Services Administration (GSA): A record from this system of records may be dislcosed as a routine use to the NARA and GSA in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records may be stored on magnetic disks and tapes.

Retention and disposal:

Records are indexed and retrieved by control number or by name of requester or subject.

Safeguards:

Records are safeguarded in accordance with Department of Justice Security regulations governing Privacy Act systems of records. Access to the automated system is controlled by restricted password from remote terminals in secured areas.

Retention and disposal:

Records are maintained for five years after date of last action and then destroyed.

System manager(s) and address:

The Associated Commissioner, Information Systems, Immigration and Naturalization Service, Central Office, 425 I Street, NW., Washington, D.C. is the sole manager of the system.

Notification procedure:

Inquiries should be addressed to the system manager listed above.

Record access procedures:

In all cases, requests for access to a record from this system shall be in writing. If a request for access is made by mail, the envelope and letter shall be clearly marked "FOIA/PA Request." Requests should be submitted to the INS office where the request which is the subject of the inquiry was sent, or to the Immigration and Naturalization Service, Attention: FOIA/PA Section, 425 I Street, NW., Washington, D.C. 20536. The requester shall include the control number or name of the requester and/or name of the record subject, and the date and place of submission of the request. The requester shall also provide a return address for response to the inquiry.

Contesting record procedures:

Any individual desiring to contest or amend information maintained in the system should direct his request to the system manager or to the INS office where the request which is the subject of the inquiry was submitted. The request should state clearly what information is being contested, the reason(s) for contesting it, and the proposed amendment to the information.

Record source categories:

Indivdiuals requesting information under FOIA/PA and INS officials and employees engaged in processing or making determinations on FOIA/PA requests.

Systems exempted from certain provisions of the act:

None.

JUSTICE/INS-011

System name:

Password Issuance and Control System (PICS).

System location:

Central, Regional, and District offices of the Immigration and Naturalization Service (INS) as detailed in JUSTICE/INS-999.

Categories of individuals covered by the system:

Those INS employees, INS contractor employees, and other Federal, State or local government employees for whom authorization to access and use INS automated data processing (ADP) systems has been requested.

Categories of records in the system:

This system of records consists of paper records (INS Form G-872, Request for ADP Password) and an automated data base. INS Form G-872 contains personal identification data such as name, social security number, office location code, organization code, ADP security clearance information, office telephone number, company name of contractor employees, and a statement by the supervisor certifying the official need for access. Upon approval of the request, the user ID code and password issued will be included on the Form. The automated data base may include information extracted from INS Form G-872 and from the Secrutiy Clearance Information System (SCIS), JUSTICE/JMD-008. The SCIS data is necessary to determine the suitability and trustworthiness to access the information.

Authority for maintenance of the system:

Section 103 of the Immigration and Nationality Act (8 U.S.C. 1103) as amended by Section 274A of the Immigration Reform and Control Act of 1986 (8 U.S.C. 1324) and Department of Justice Order 2640.2A which delegates ADP security authority to INS for maintaining and operating its systems.

Purpose(s):

The purpose of the system is to expedite determinations of eligibility to access INS automated systems and to improve control by ADP Security Officers of ADP password and user ID distribution.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Relevant information contained in this system of records may be disclosed as follows:

A. Where there is an indication of violation or potential violation of law (whether civil, criminal or regulatory in nature), to the appropriate agency (whether Federal, State, local or foreign) charged with the responsibility of investigating or prosecuting such violations, or charged with enforcing or implementing the statute, rule, regulation or order issued pursuant thereto.

B. To the General Services Administration and the National Archives and Records Administration in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Those records which can be accessed electronically are stored in a database on magnetic disc. Forms G-872, Request for ADP Password, are maintained in file folders at Central, Regional and District ADP Security Offices.

Retrievability:

These records are retrieved by social security number.

Safeguards:

INS offices are located in buildings under security guard, and access to premises is by official identification. Paper records are stored in locked files during non-duty hours. Access to automated data is obtained through terminals which require the use of restricted passwords and user IDs. Only designated Security Officers have access to PICS for creating and updating records of users within their jurisdiction.

Retention and disposal:

Inactive automated records are retained 10 years after date of last action and then deleted from the system. INS Forms G-872, Request for ADP Password, are retained 3 years after final action and then destroyed by shredding.

System manager(s) and address:

The Servicewide system manager is the Director, Technical Services Branch, Data Systems Division, Immigration and Naturalization Service, 425 I Street NW., Washington, DC 20536.

Notification procedure:

Address inquiries to the system manager identified above.

Record access procedures:

Make all requests for access in writing to the Freedom of Information Act/Privacy Act (FOIA/PA) Officer at the address identified above. Clearly mark the envelope and letter "Privacy Act Request." Provide the full name, social security number, user ID, and notarized signature of the individual who is the subject of the record, and a return address.

Contesting record procedures:

Direct all requests to contest or amend information to the FOIA/PA Officer at the address identified above. State clearly and concisely the information being contested, the reason for contesting it, and the proposed amendment thereof. Clearly mark the envelope "Privacy Act Request." The record must be identified in the same manner as described for making a request for access.

Record source categories:

INS Form 872, Request for ADP Password, completed by the supervisor or program manager, and security clearance information extracted from SCIS, JUSTICE/JMD-008.

Systems exempted from certain provisions of the act:

None.

JUSTICE/INS-012

System name:

Deportable Alien Control System (DACS).

System location:

Central, Regional, District, and other offices of the Immigration and Naturalization Service (INS) in the United States as detailed in JUSTICE/INS-999.

Categories of individuals covered by the system:

Aliens alleged to be deportable by INS.

Categories of records in the system:

The system is a computer data base that contains biographic information about deportable aliens such as name, date and country of birth; United States and foreign addresses; file number, charge, amount of bond, hearing date, case assignment, scheduling date, section(s) of law under which deportability/excludability is alleged; data collected to support the INS position on deportability/excludability, including information on any criminal or subversive activities; date, place, and type of last entry into the United States; attorney/

representative's identification number; family data, and other case-related information.

Authority for maintenance of the system:

8 U.S.C. 1103, 1251, and 1252.

Purpose(s):

The system provides INS with an automated data base which assists in the arrest, deportation, or detention of aliens in accordance with immigration and nationality laws. It also serves as a docket and control system by providing management with information concerning the status and/or disposition of deportable aliens.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Relevant information contained in this system of records may be disclosed as follows:

A. To clerks and judges of Federal courts exercising jurisdiction over the deportable aliens in determining grounds for deportation.

B. To other Federal, State, and local government law enforcement and regulatory agencies and foreign governments, including the Department of Defense and all components thereof, the Department of State, the Department of Treasury, the Central Intelligence Agency, the Selective Service System, the United States Coast Guard, the United Nations, and INTERPOL, and individuals and organizations during the course of investigation in the processing of a matter or during a proceeding within the purview of the immigration and nationality laws to elicit information required by INS to carry out its functions and statutory nandates.

C. Where there is an indication of a violation or potential violation of law (whether civil, criminal or regulatory in nature), to the appropriate agency (whether Federal, State, local or foreign), charged with the responsibility of investigating or prosecuting such violations, or charged with enforcing or implementing the statute, rule, regulation or order issued pursuant thereto.

D. Where there is an indication of a violation or potential violation of the immigration and nationality laws, or of a general statute within INS jurisdiction, or of a regulation, rule, or order issued pursuant thereto, to a court, magistrate, or administrative tribunal in the course of presenting evidence, and to opposing counsel during discovery.

E. Where there is an indication of a violation or potential violation of the law of another nation (whether civil or criminal), to the appropriate foreign government agency charged with enforcing or implementing such laws and to international organizations engaged in the collection and dissemination of intelligence concerning criminal activity.

F. To other Federal agencies for the purpose of conducting national intelligence and security investigations.

G. To an applicant, petitioner or respondent or to his or her attorney or representative as defined in 8 CFR 1.1(j) in connection with any proceeding before INS.

H. To the news nedia and the public pursuant to 28 CFR 50.2 unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

I. To a Member of Congress or staff acting on the Member's behalf when the Member or staff requests the information on behalf of and at the request of the individual who is the subject of the record.

J. To the General Services Administration and the National Archives and Records Administration in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

These records are stored in a data base on magnetic disks.

Retrievability:

These records are retrieved by name and/or date of birth, A-file number, or by alien's Bureau of Prisons number, when applicable.

Safeguards:

INS offices are located in buildings under security guard, and access to premises is by official identification. Access to terminals is limited to INS employees with user identification numbers. Access to records in this system is by restricted password and is further protected by secondary passwords.

Retention and disposal:

Deportable alien case control and detention records are deleted at the time of case closure. A retention and disposition schedule for the case summary and detention history records is currently being negotiated and will be submitted to the Archivist of the United States for approval.

System manager(s) and address:

Assistant Commissioner, Detention and Deportation, Immigration and Naturalization Service, 425 I Street, NW, Washington, DC 20536.

Notification procedure:

Address inquiries to the system manager identified above.

Record access procedures:

Make all requests for access in writing to the Freedom of Information Act/Privacy Act (FOIA/PA) Officer at the nearest INS Office, or the INS office maintaining the desired records (if known) by using the list of Principal Offices of the Immigration and Naturalization Service Appendix, JUSTICE/INS-999, published in the Federal Register. Clearly mark the envelope and letter "Privacy Act Request." Provide the A-file number and/or the full name and date of birth, with a notarized signature of the individual who is the subject of the record, and a return address.

Contesting record procedures:

Direct all requests to contest or amend information in the record to the FOIA/PA Officer at one of the addresses identified above. State clearly and concisely the information being contested, the reason for contesting it, and the proposed amendment thereof. Clearly mark the envelope "Privacy Act Request." The record must be identified in the same manner as described for making a request for access.

Record source categories:

Basic information is obtained from "The Immigration and Naturalization Service (INS) Alien File (A File) and Central Index System, (CIS), JUSTICE/INS-001A." Information may also come from the alien, the alien's attorney/representative, INS officials, other Federal, State, local, and foreign agencies and the courts.

Systems exempted from certain provisions of the act:

None.

JUSTICE/INS-013

System name:

Fees and Application Receipt and Entry System (FARES).

System location:

Immigration and Naturalization Service (INS) Central Office, Regional Service Centers, District Offices and sub-offices as detailed in Justice/INS-999.

Categories of individuals covered by the system:

Individuals who have filed applications or petitions for benefits under the Immigration and Nationality Act, as amended, and/or who have submitted fee payments with such applications or petitions; individuals who have paid fees for access to records under the Freedom of Information/Privacy Acts (FOIA/PA); individuals who have posted a bond and related fees with INS; and individuals who have refunded money to INS.

Categories of records in the system:

Information which identifies individuals named above, e.g., name and address, date of birth, and alien registration number. Records in the system may also include such information as date documents were filed or received in INS, status, location of record, FOIA/PA or other control number where applicable, fee receipt data, and posted bond data.

Authority for maintenance of the system:

8 U.S.C.1103; 8 U.S.C. 1363; and 31 U.S.C. 3512.

Purpose(s):

This system will enable INS to determine the status of pending applications and petitions for benefits; to account for and control the receipt and disposition of any fees or refunds collected, including those which accompany applications, petitions, posted bonds, and FOIA/PA requests; and to locate related files and respond to inquiries about these records.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

No external disclosure will be made from this system. The system will be used by employees as indicated under "Purpose of the System."

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Information is stored on magnetic disks and tape.

Retrievability:

Records may be retrieved by name of the individuals covered by the system; and by fee receipt number.

Safeguards:

Records are safeguarded in accordance with Department of Justice rules and procedures. INS offices are located in buildings under security guard, and access to premises is by official identification. Offices are locked during non-duty hours. Access to this system is obtained through remote terminals which require the use of restricted passwords and a user ID.

Retention and disposal:

Records are archived off-line for an indefinite period one year after the final action. A disposition schedule for archived records is pending.

System manager(s) and address:

Assistant Commissioner, Records Systems Division, Immigration and Naturalization Service, 425 I Street NW., Washington, DC 20536.

Notification procedure:

Inquiries should be addressed to the system manager.

Record access procedures:

Make all requests for access in writing to the FOIA/PA Officer at any INS office. Clearly mark the envelope and letter "Privacy Act Request." Depending on the type of record, provide the name and date of birth of the applicant, name of petitioner or FOIA/PA requester, alien registration number of beneficiary and receipt number to assist in locating and/or verifying the identity of the record. For your convenience, INS Form G-639, Freedom of Information Act Privacy Act Request, may be obtained from the nearest INS office and used to submit a request.

Contesting record procedures:

Direct all requests to contest or amend information to the FOIA/PA Officer at any INS office. State clearly and concisely the information being contested, the reason for contesting it, and the proposed amendment thereof. Clearly mark the envelope "Privacy Act Amendment Request." The record must be identified in the same manner as described for making a request for access.

Record source categories:

Information contained in this system of records is obtained from the individuals covered by the system.

Systems exempted from certain provisions of the act:

None.

JUSTICE/INS-999

System name:

INS Appendix: List of principal offices of the Immigration and Naturalization Service.

Central Office: Immigration and Naturalization Service, 425 "I" Street NW, Washington, DC 20536.

Regional Offices: Eastern Regional Office, Federal Building, 11 Elwood Avenue, Burlington, VT 05401.

Northern Regional Office, Bishop Henry Whipple Federal Building, Twin Cities, St. Paul, MN 55111.

Southern Regional Office, Skyling Center Building, 311 North Stemmons Freeway, Dallas, TX. 75207.

Western Regional Office, Terminal Island, San Pedro, CA 90731.

District Offices in the United States:

Anchorage District Office, Federal Building, U.S. Courthouse, 701 "C" Street, Room D-229, Anchorage, AK 99513.

Atlanta District Office, Richard B. Russell Federal Building, Room 1408, 75 Spring Street SW, Atlanta, GA 30303.

Baltimore District Office, E.A. Garmatz Federal Building, 101 W. Lombard Street, Baltimore, MD 21201.

Boston District Office, John Fitzgerald Kennedy Federal Building, Government Center, Boston, MA 02203.

Buffalo District Office, 68 Court Street, Buffalo, NY 14202.

Chicago District Office, Dirksen Federal Office Building, 219 South Dearborn Street, Chicago, IL 60604.

Cleveland District Office, Anthony J. Celebrezze Federal Building, Room 1917, 1240 East Ninth Street, Cleveland, OH 44199.

Dallas District Office, Federal Building, Room 6A21, 1100 Commerce Street, Dallas, TX 75242.

Denver District Office, Federal Building, 1961 Stout Street, Room 1787, Denver, CO 80202.

Detroit District Office, Federal Building, 333 Mt. Elliott Street, Detroit, MI 48207.

El Paso District Office, U.S. Courthouse, Room 343, El Paso, TX 79984.

Harlingen District Office, 2102 Teege Road, Harlingen, TX 76550.

Helena District Office, Federal Building, Room 512, 301 South Park, Drawer 10036, Helena, MT 59626.

Honolulu District Office, 595 Ala Moana Boulevard, Honolulu, HI 96809.

Houston District Office, 2627 Caroline Street, Houston, TX 7704.

Kansas City District Office 9747 North Conant Avenue, Kansas City, MO 64106.

Los Angeles District Office, 300 North Los Angeles Street, Los Angeles, CA 90012.

Miami District Office, 7880 Biscayne Boulevard, Miami FL 33138.

Newark District Office, Federal Building, 970 Broad Street, Newark, NJ 07102.

New Orleans District Office, Postal Services Building, 701 Loyola Avenue, Room T-8005, New Orleans, LA 70113.

New York Distict Office, 26 Federal Plaza, New York, NY 10007.

Omaha District Office, Federal Building, 106 South 15th Street, Room 1008 Omaha, NE 68102.

Philadelphia District Office, Independence Mall West, U.S. Courthouse, Room 1321, 601 Market Street, Philadelphia, PA 19106.

Phoenix District Office, Federal Building, 230 North First Avenue, Phoenix AZ 85025.

Portland Maine District Office, 76 Pearl Street, Porland, ME 04112.

Portland Oregon District Office, Federal Office Building, 511 NW Broadway, Portland, OR 97209.

St. Paul District Office, Main Post Office Building, Room 927 180 East Kellogg Boulevard, St. Paul MN 55101.

San Antonio District Office, U.S. Federal Building, Suite A301, 727 East Durango, San Antonio, TX 78206.

San Diego District Office, 800 Front Street, San Diego, CA 92188.

San Francisco District Office, Appraisers Building, 630 Sansome Street, San Francisco, CA 94111.

San Juan District Office, GPO Box 5068, San Juan, PR 00936.

Seattle District Office, 815 Airport Way, South, Seattle, WA 98134.

Washington District Office, 4420 North Fairfax Drive, Arlington, VA 22203.

Suboffices (Files Control Offices) in the United States:

Agana Office, 801 Pacific News Building, 238 O'Hara Street, Agana, GU 96910.

Albany Office, U.S. Post Office and Courthouse, 445 Broadway, Room 220, Albany, NY 12207.

Charlotte Office, 1111 Hawthorne Lane, Charlotte, NC 28205.

Charlotte Amalie, St. Thomas Virgin Islands, New Federal Building Room 117, Charlotte, Amalie, St. Thomas, VI 00801.

Cincinnati Office, U.S. Post Office and Courthouse, 100 E. 5th Street, P.O. Box 537, Cincinnati, OH 45201.

El Paso Intelligence Center (EPIC), 2211 East Missouri Street, El Paso, TX 79903.

Hartford District Office, Ribicoff Federal Building, 450 Main Street Harford, CT 06103.

Indianapolis Office, U.S. Courthouse, 46 East Ohio Street, Room 148, Indianapolis, IN 46202.

Las Vegas Office, Federal Building, U.S. Courthouse, 300 Las Vegas Boulevard, South, Las Vegas, NV 89101.

Memphis Office, Federal Building, Room 814, 167 North Main Street, Memphis, TN 38103.

Milwaukee Office, Federal Building, Room 186, 517 East Wisconsin Avenue, Milwaukee, WI 53202.

Norfolk Office, Norfolk Federal Building, Room 439, 200 Granby Mall, Norfolk, VA 23510.

Pittsburgh Office, Federal Building, Room 2130, 1000 Liberty Avenue, Pittsburgh, PA 15222.

Providence Office, Federal Building, U.S. Post Office, Exchange Terrance, Providence, RI 02903.

Reno Office 350 South Center Street, Suite 150, Reno, NV 89502.

St. Albans District Office, Federal Building, St. Albans. VT 97209.

St. Louis Office, 210 North Tucker Boulevard, Room 100, St. Louis, MO 63101.

Salt Lake City Office, 230 West 400 South Street, Salt Lake City, UT 84101.

Spokane Office, U.S. Courthouse Building, Room 691, Spokane, WA 99201.

Border Patrol Sector Headquarters:

Blaine Sector Headquarters, 1590 "H" Street, P.O. Drawer V, Blaine, WA 98230.

Buffalo Sector Headquarters, 231 Grant Island Boulevard, Tonawanda, NY 14150.

Chula Vista Sector Headquarters, 3752 Beyer Boulevard, San Ysidro, CA 92073.

Del Rio Sector Headquarters, Hudson Drive, P.O. Box 2020, Del Rio, TX 78840.

Detroit Sector Headquarters, P.O. Box 32639, Detroit, MI 48232.

El Centro Sector Headquarters, 1111 North Imperial Avenue, P.O. Box 60. El Centro, CA 92243.

El Paso Sector Headquarters, 8901 Montana Avenue, P.O. Box 9578, El Paso, TX 89986.

Grand Forks Sector Headquarters, 2320 South Washington Street, Grand Forks, ND 58201.

Havre Sector Headquarters, Beaver Creek Road, Havre, MT 59501.

Houlton Sector Headquarters, Route 1, P.O. Box 706, Houlton, ME 04730.

Laredo Sector Headquarters, 297 W. Del Mar Boulevard, Laredo, TX 78041.

Livermore Sector Headquarters, Building 312, Camp Parks, Pleasanton, CA 94566.

Marfa Sector Headquarters, Madrid Street, Marfa, TX 79643.

McAllen Sector Headquarters, 2301 South Street, McAllen, TX 78301.

Miami Sector Headquarters, 161 NE 183rd Street, Miami, FL 33169.

New Orleans Sector Headquarters, 3819 Patterson Drive, P.O. Box 6218, New Orleans, LA 70174.

Spokane Sector Headquarters, 10710 Newport Highway No. 6, P.O. Box 18930 Spokane, WA 99206.

Swanton Sector Headquarters, Grand Avenue, Swanton, VT 05488.

Tucson Sector Headquarters, 1970 West Ajo Way, Tucson, AZ 85726.

Yuma Sector Headquarters, 350 First Street, Yuma, AZ 85364.

Border Patrol Academy: Officer Development and Training Facility, c/o Federal Law Enforcement Training Center (FLETC), Glynco, GA 31520.

District Offices in Foreign Countries:

Bangkok District Office, U.S. Immigration and Naturalization Service, c/o American Embassy, APO San Franciso, CA 96346.

Mexico District Office, U.S. Immigration and Naturalization Service, c/o American Embassy, Room 118, P.O. Box 3087, Lardo, TX 78044.

Rome District Office, Immigration and Naturalization Service, c/o American Embassy, APO New York, NY 09794.

Suboffices (Files Control Offices) in Foreign Countries:

Athens Office, U.S. Immigration and Naturalization Service, c/o American Embassy, APO New York 09253.

Frankfurt Office, U.S. Immigration and Naturalization Service, c/o American Consulate General, Frankfurt, Germany Box 12, APO New York, New York 09213.

Guadalajara Office, U.S. Immigration and Naturalization Service, Box 3088, Guadalajara, Laredo, TX. 78044.

Hong Kong Office, U.S. Immigration and Naturalization Service, c/o American Consulate General, Box 30, FPO San Francisco, CA 96659.

Manila Office, U.S. Immigration and Naturalization Service, c/o American Embassy, APO San Francisco, CA 96526.

Monterrey Office, U.S. Immigration and Naturalization Service, c/o American Consulate General, Monterrey, P.O. Box 3098, Lardo, TX 78041.

Naples Office, U.S. Immigration and Naturalization Service, c/o American Consulate General, Box 18, FPO New York 09521.

Panama Office, U.S. Immigration and Naturalization Service c/o American Embassy, Panama, APO Miami, FL 34002.

Seoul, Korea, Office, U.S. Immigration and Naturalization Service, c/o American Embassy, APO San Franciso, CA 96301.

Singapore, Office, U.S. Immigration and Naturalization Service, c/o American Embasasy, Singapore, FPO San Francisco, CA 96699.

Vienna Office, U.S. Immigration and Naturalization Service, c/o American Embassy, 1010 Vienna, Austria.

INTERPOL–UNITED STATES NATIONAL CENTRAL BUREAU

JUSTICE/INTERPOL–001

System name:

The INTERPOL-United States National Central Bureau (INTERPOL–USNCB) (Department of Justice) INTERPOL–USNCB Records System.

System location:

INTERPOL-U.S. National Central Bureau, Department of Justice, Room 800, Shoreham Bldg., Washington, DC 20530.

Categories of individuals covered by the system:

Individuals who have been convicted or are subjects of a criminal investigation with international aspects; specific deceased persons in connection with death notices; individuals who may be associated with certain weapons, motor vehicles, artifacts, etc., stolen and/or involved in a crime; victims of criminal violations in the United States or abroad; and INTERPOL–USNCB personnel involved in litigation.

Categories of records in the system:

The program records of the INTERPOL–USNCB consists of criminal and non-criminal case files. The files contain fingerprint records, photographs, criminal investigative reports, radio messages (international), teletype messages (internal U.S.), log sheets, computer printouts, letters, memoranda, and statements of witnesses and parties to litigation.

These records relate to fugitives, wanted persons, lookouts (temporary and permanent), specific missing persons, deceased persons in connection with death notices. Information about individuals includes names, alias, date of birth, address, physical description, various identification numbers, reason for the record or lookout, and details and circumstances surrounding the actual or suspected violation.

Authority for maintenance of the system:

22 U.S.C. 263a.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

In the event a record(s) in this system of records indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute, or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records may be referred, as a routine use to the appropriate law enforcement and criminal justice agencies whether federal, state, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulations or order issued pursuant thereto. A record may be disclosed to federal, state or local agencies maintaining civil, criminal or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license grant or other benefit; to federal agencies in response to their request in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency to the extent that the information is relevant and necessary to the requesting agency's decision on the matter. A record may be disclosed to appropriate parties engaged in litigation or in preparation of possible litigation, e.g., to potential witnesses for the purpose of securing their testimony when necessary before courts, magistrates or administrative tribunals; to parties and their attorneys for the purpose of proceeding with litigation or settlement of disputes; to individuals seeking information by using established discovery procedures, whether in connection with civil, criminal, or regulatory proceedings; to foreign governments in accordance with formal or informal international agreements; to local, state, federal and foreign agents; to the Treasury Enforcement Communications System [TECS] (Treasury/CS 00.244); to the International Criminal Police Organization (INTERPOL) General Secretariat and National Central Bureaus in member countries; to the INTERPOL Supervisory Board, an international board comprised of three judges having oversight responsibilities regarding the purpose and scope of personal information maintained in the international archives of INTERPOL; to employees and officials of financial and commercial business firms and private individuals where such release is considered reasonably necessary to obtain information to further investigative efforts or to apprehend criminal offenders; to other third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation; and to translators of foreign languages as necessary. In addition, records are accessed by INTERPOL–USNCB employees and by volunteer students and students working under a college work-study program who have a need for the records in the performance of their duties.

Release of Information to the News Media:

Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available from systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Release of Information to Members of Congress:

Information contained in systems of records maintained by the Department of Justice, not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information in behalf of and at the request of the individual who is the subject of the record.

Release of information to the National Archives and Records Administration (NARA) and to the General Services Administration (GSA):

A record from a system of records may be disclosed as a routine use to NARA and GSA in records management inspections conducted under the authority of 44 U.S.C 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Information is stored in file folders and on microfilm in the INTERPOL-United States National Central Bureau. Magnetic disks in the INTERPOL Case Tracking System (CTS) are stored at the Justice Data Center, U.S. Department of Justice, and certain limited data, e.g., that which concerns fugitives and wanted persons, is stored in the Treasury Enforcement Communications System (TECS) TREASURY/CS 00.244, a system published by the U.S. Department of the Treasury.

Retrievability:

Information is retrieved primarily by name, file name, system identification number, personal identification number, and by weapon or motor vehicle number or by other identifying data. Prior to 1975, case files were arranged by name of subject. Between 1975 and 1979 case files were sequentially numbered. Since October 1979, files have been arranged by year, month and sequential number.

Safeguards:

Information maintained on magnetic disks is safeguarded and protected in accordance with Department rules and procedures governing the handling of computerized information. Only those individuals specifically authorized and assigned an identification code by the system manager will have access to the computer. Identification codes will be assigned only to those INTERPOL-USNCB employees who require access to the information to perform their official duties. In addition, access to the information must be accompanied through a terminal which is located in the INTERPOL-USNCB office that is occupied twenty-four hours a day. Information in file folders and in microfilm records is stored in file cabinets in the same secured area.

Retention and disposal:

Case files opened after April 5, 1982 have been stored on microfilm (41 CFR 101–11.506). In addition, records that were closed prior to April 5, 1982 but are recalled from the Federal Archives and Records Center (FARC) are also microfilmed.

Case files that were closed prior to April 5, 1982 are transferred to the FARC two years from the date the case is closed and are destroyed twenty years thereafer, if there has been no recall from the FARC and no case activity.

Case files closed as of April 5, 1982 and thereafter are disposed of as follows: The hard copy (paper record) of the case file may be destroyed when the microfilm records have been verified for clearness, completeness and accuracy. The microfilm record of the case file is destroyed ten years after closing of the case, if there has been no case activity.

System manager(s) and address:

Chief, INTERPOL-United States National Cental Bureau, Department of Justice, Room 800, Shoreham Building, Washington, DC 20530.

Notification procedure:

Inquiries regarding whether the system contains a record pertaining to an individual may be addressed to the Chief, INTERPOL-United States National Central Bureau, Department of Justice, Washington, DC 20530. To enable INTERPOL-USNCB personnel to determine whether the system contains a record relating to him or her, the requester must submit a written request identifying the record system, identifying the category and type of records sought, and providing the individual's full name and at least two items of secondary information (date of birth, social security number, employee identification number, or similar identifying information).

Record access procedures:

Although the Attorney General has exempted the system from the access, contest, and amendment provisions of the Privacy Act, some records may be available under the Freedom of Information Act. Inquiries should be addressed to the official designated under "Notification procedure" above. The letter should be clearly marked "Freedom of Information Request" and a return address provided for transmitting any information to the requester.

Contesting record procedures:

See "Access procedures" above.

Record source categories:

Sources of information contained in this system include investigating reports of federal, state, local, and foreign law enforcement agencies (including investigating reports from a system of records published by Department of Treasury Enforcement Communications System (TECS) TREASURY/CS 00.244): Other non-Department of Justice investigative agencies: Client agencies of the Department of Justice; statements of witnesses and parties; and the work product of the staff of the United States National Central Bureau working on particular cases. Although the organization uses the name INTERPOL-USNCB for purposes of public recognition, the INTERPOL-USNCB is not synonymous with the International Criminal Police Organization (ICPO-INTERPOL), which is a private, intergovernmental organization headquarted in St. Cloud, France. The Department of Justice INTERPOL-USNCB serves as the United States liaison with the INTERPOL General Secretariat and works in cooperation with the National Central Bureaus of other member countries, but is not an agent, legal representative, nor organization subunit of the International Criminal Police Organization. The records maintained by the INTERPOL-USNCB are separate and distinct from records maintained by the international Criminal Police Organization, and INTERPOL-USNCB does not have custody of, access to, nor control over the records of the International Criminal Police Organization.

Systems exempted from certain provisions of the act:

The Attorney General has exempted this system from subsections (c)(3) and (4), (d), (e), (1), (2), and (3), (e)(4)(G) and (H), (e)(5) and (8), (f), and (g) if the Privacy Act pursuant to 5 U.S.C. 552a (j)(2), and (k)(2) and (k)(5). Rules have been promulgated in accordance with the requirements of 5 U.S.C. 553(b), (c) and (e) and have been published in the Federal Register.

JUSTICE MANAGEMENT DIVISION

JUSTICE/JMD–001

System name:

Background Investigation Check-off Card.

System location:

U.S. Department of Justice, 633 Indiana Avenue, NW., Suite 402, Washington, DC 20530.

Categories of individuals covered by the system:

All employees of the Offices, Boards, and Divisions except employees in the U.S. Attorneys Offices, and the Executive Office for U.S. Attorneys, for whom the U.S. Office of Personnel Management conducts background investigations.

Categories of records in the system:

The system contains an index card for each employee of the Offices, Boards, and Divisions, except those excluded in Categories of Individuals above, on whom a name and fingerprint or background investigation has been initiated.

Authority for maintenance of the system:

The system is established and maintained in order to fulfill the requirements of Executive Order 10450.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The index cards are used to annotate and monitor the progress of the name and fingerprint checks and the full field character investigations of the employes. The completed cards are used to develop a variety of workload and timeframe data concerning the initiation and completion of these investigations to ensure that the requirements of Executive Order 10450 and Department of Justice Order 2610.2 are being effectively and efficiently met.

Release of Information to the News Media:

Information permitted to be released to the news media and the public pursuant to 28 CFR part 502 may be made available from systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Release of Information to Members of Congress:

Information contained in systems of records maintained by the Department of Justice, not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and at the request of the individual who is subject to the record.

Release of Information to the National Archives and Records Administration (NARA) and to the General Services Administration (GSA):

A record from a system of records may be disclosed as a routine use to NARA and GSA in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Information maintained in the system is manually stored in the boxes.

Retrievability:

Information is retrieved manually by reference to the name of the employee on whom the investigation is being conducted.

Safeguards:

Information contained in the system is unclassified. It is safeguarded and protected in accordance with Personnel Service policies and procedures.

Retention and disposal:

When a full-field background investigation or National Agency Check is initiated, the background investigation check-off card is forwarded to the Justice Management Division Security Staff where it is ultimately merged in system Justice/JMD-008, Security Clearance Information System.

System manager(s) and address:

Assistant Director, Personnel Service, Justice Management Division, U.S. Department of Justice, Suite 402, IND Building, Washington, D.C.

Notification procedure:

Same as the System Manager.

Record access procedures:

Same as the System Manager.

Contesting record procedures:

Same as the System Manager.

Record source categories:

The sources of information contained in this system are those Personnel Service employees authorized to annotate these cards. Information reported is extracted from personnel documents initiating the various investigations and the resulting reports of completion.

Systems exempted from certain provisions of the act:

None.

JUSTICE/JMD-002

System name: Controlled Substances Act Nonpublic Records.

System location: U.S. Department of Justice, 10th and Constitution Avenue NW., Washington, D.C. 20530.

Categories of individuals covered by the system: Persons who have been convicted for the first time of violating Section 404(a) of the Controlled Substances Act (Pub. L. 91-513), i.e. persons who have knowingly or intentionally possessed a controlled substance except as authorized by the act.

Categories of records in the system: Arrest records of law enforcement agencies, which include personal data, photographs, fingerprints, copies of court orders, DOJ-330 Request for Non-Public Records and/or DOJ-329 Certificate of Expungement.

Authority for maintenance of the system: This system is established and maintained in accordance with the Controlled Substances Act, Pub. L. 91-513 Sec. 404, 21 U.S.C. 844.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: These records are retained by the Department of Justice and are available only to a Federal court upon a Federal court order issued to the Attorney General demanding such records for use by said court in determining whether or not a person qualified under Pub. L. 91-513 Sec. 404(b), 21 U.S.C. 844(b).

Release of information to the news media: Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available from systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Release of information to Members of Congress: Information contained in systems of records maintained by the Department of Justice, not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and at the request of the individual who is the subject of the record.

Release of information to the National Archives and Records Administration: A record from a system of records may be disclosed as a routine use to the National Archives and Records Administration (NARA) in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: These records are stored in locked file cabinets.

Retrievability: These records are indexed by the name of the offender.

Safeguards: Access to these records is restricted to the Chief, Records Maintenance and Disposition Section and the assistant to the Chief.

Retention and disposal: Although these records will ultimately be destroyed by shredding, the establishment of a disposal schedule is still pending.

System manager(s) and address: Director, Records and Publications Staff, Office of Personnel and Administration, Justice Management Division, U.S. Department of Justice, 10th & Constitution Avenue NW., Washington, D.C. 20530.

Notification procedure: Same as the System Manager.

Record access procedures: Same as the System Manager.

Contesting record procedures: Same as the System Manager.

Record source categories: Law enforcement agencies and courts.

Systems exempted from certain provisions of the act: The Attorney General has exempted the system from subsection (d) of the Privacy Act pursuant to 5 U.S.C. 552a(j)(2). Rules have been promulgated in accordance with the requirements of 5 U.S.C. 553 (b), (c) and (e) and have been published in the Federal Register.

JUSTICE/JMD-003

System name:

Department of Justice Payroll System.

System location:

Categories of records within the Payroll System of Records are kept at the following locations: (1) Justice Employee Data Service: 601 D Street NW., Washington, DC 20530; (2) Justice Computer Service; 425 I Street, NW., Washington, DC 20530; (3) at various time and attendance recording and processing stations around the world; (4) at computerized record off-site backup facilities; and (5) at various Federal Records Centers.

Categories of individuals covered by the system:

(1) Current DOJ employees with the exception of those employed within the FBI and; (2) Many past DOJ employees with the exception of those that served within the FBI.

Categories of records in the system:

A. Payroll Master Employee Records: These are machine-readable and microfiche records containing information on current pay and leave status for individuals serviced by the automated payroll accounting system.

B. Bond, Allotment and Check Mailing Records: These are machine-readable and microfiche records containing information on Savings Bond deductions, savings account allotments, and net check mailing requested by the employee.

C. History of Earning Records: These are machine-readable and microfiche records containing information on earnings, leave and other pay related activities.

D. Automated Retirement Records: These are machine-readable records containing information relevant to the Civil Service Retirement System and the Federal Employees Retirement System. These records will be used to automatically generate "Individual Retirement Records" (SF-2806) or "Individual Retirement Records (Federal Employees Retirement)" (SF-3100) upon an employee's separation.

E. Revised Social Security Numbers Records: These are machine-readable records containing the new and old social security number for employees whose current social security number is different from that previously entered into the automated system.

F. Employee Pay Records: These are manila folders containing source documents, correspondence and other papers in support of an active employee's pay, leave and allowances.

G. Active Retirement Records: These are manual records maintained on active employees to facilitate timely compliance with the requirements of the Civil Service Retirement System or Federal Employees Retirement Service. Upon separation, the original SF-2806 or SF-3100 is forwarded to the Office of Personnel Management and a copy is filed in the Employee Pay Record (F above). This category of records will eventually be replaced by the automated retirement records (D above).

H. Former Employee Pay Records: These records are the Employee Pay Records (F above) for employees that have been separated, transferred or retired. In addition to information contained in the Employee Pay Records, these records include information related to the retirement, seperation or transfer. These records are destroyed two years after separation of employee.

I. Employee Death Records: These records are the Employee Pay Records (F above) for employees that died while on active duty with Department of Justice. In addition to information contained in the Employee Pay Records, these records include information related to the employee's death and the settlement of pending pay and allowances.

J. Returned Check Records: These records are a manual log for recording and controlling checks issued to employees that were returned to the Justice Employee Data Service because they were undelivered, erroneous or cancelled prior to conversion to cash.

K. Time and Attendance Report: These microfilm records of Form DOJ-296 contain information on an employee's attendance and use of leave in a particular pay period. They are also used to indicate leave adjustments and balances.

L. Indebtedness Records: These records include source documents, correspondence and other papers containing information regarding the Government's claims of debt against individuals covered by the system. These records are supplemented by hard copy, machine-readable or microfiche records necessary to establish the identity and address of the individuals, including in certain cases the taxpayer's mailing address provided by the Internal Revenue Service.

Authority for maintenance of the system:

The head of each executive agency is responsible for establishing and maintaining an adequate payroll system, covering pay, leave, and allowances, as a part of the system of accounting and internal control of the Budget and Accounting Procedures Act of 1950, as amended, 31 U.S.C. 66, 66a, and 200(a).

Purpose(s):

The purpose of each use of categories of records within the DOJ Payroll System of Records is to enable the administration of the payroll function and related financial matters in accordance with applicable laws and regulations and to comply with the requirements of the Comptroller General.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

A. Authorize, prepare and document payment to all Department employees covered by the DOJ Payroll System entitled to be paid, with consideration given to all authorized deductions from gross pay.

B. Specify and document proper disposition of all authorized deductions from gross pay.

C. Prepare adequate and reliable payroll reports needed for (1) management, (2) budget, (3) support of payments, (4) the conduct and accounting of payroll related employee services, (5) control and documentation of payroll system operation, and (6) to meet external reporting requirements.

D. Support effective communications and payroll matters between the Department of Justice and its present and former employees.

E. Support proper coordination of pay, leave and allowance operations with personnel functions and other related activities.

F. Support adequate control over all phases and segments of the payroll system including leave accounting.

G. Support appropriate integration of the payroll system with the Departmental accounting systems.

H. Provide to the State, City, or other local jurisdiction which is authorized to tax the employee's compensation a copy of an employee's record, including the employee's Department of the Treasury Form W-2 and Tax Statement. The record will be provided in accordance with a withholding agreement between the State, City, or other local jurisdiction and the Department of the Treasury pursuant to 5 U.S.C. 516, 5517, and 5520 or in the absence thereof, in response to a written request from an appropriate official of the taxing jurisdiction to the System Manager listed below. The request must include a copy of the applicable statute authorizing the taxation of compensation and should indicate whether the authority of the jurisdiction to tax the employee is based on place of residence, place of employment, or both. However, the social security numbers will only be provided to state or local taxing authorities which meet the criteria of the Privacy Act.

I. Provide permanent record of actions taken pertinent to the administration of pay leave and allowances.

J. Support legal investigations of suspected fraud.

K. Disseminate a record, or any facts derived therefrom, in a proceeding before a court or adjudicative body before which the Department of Justice is authorized to appear when i. the Department, or any subdivision thereof, or ii. any employee of the Department in his or her official capacity, or iii. any employee of the Department in his or her individual capacity where the Department of Justice has agreed to represent the employee, or iv. the United States where the Department determines that the litigation is likely to affect it or any of its subdivisions, is a party to litigation or has any interest in litigation and such reports are determined by the Department to be arguably relevant to the litigation.

L. Release of information to the Internal Revenue Service (IRS). Information contained in the system may be disclosed to the IRS to obtain taxpayer mailing addresses for the purpose of locating such taxpayer to collect or compromise a Federal claim against the taxpayer.

M. Release of information to consumer reporting agencies. Information directly related to the identify of debtors and the history of claims contained in the system or records may be disclosed to consumer reporting agencies for the purpose of encouraging repayment of overdue debts. Such disclosures will be made only when a claim is overdue and only after due process steps have been taken to notify the debtor and give him or her a chance to meet the terms of the debt. Addresses of taxpayers obtained from the IRS will be disclosed to consumer reporting agencies only for the purpose of allowing such agencies to prepare a commercial credit report on the taxpayer for use by the Department.

N. Release of information about debtors to the U.S. Treasury or other Federal employers in order to effect salary or administrative offsets. Information contained in the system of records may be disclosed to an employer in order to effect salary or administrative offsets to satisfy a debt owed the United States by that person. Such disclosures will be made only when all procedural steps established by the Debt Collection Act have been taken.

O. Release of information to debt collection agencies. Information contained in the system of records may be disclosed to a person or organization with whom the head of the agency has contracted for collection services to recover indebtedness owed to the United States. Addresses of taxpayers obtained from the IRS will also be disclosed, but only where necessary to locate such taxpayer to collect or compromise a Federal claim.

P. Release of information to United States Attorneys or the Civil Division. Information contained in the system of records may be disclosed to United States Attorneys or the Civil Division for advice, litigation or enforced collection.

CATEGORIES OF USERS:

Records are accessed by users on a need or right to know basis. A category of users may have potential access under more than one use above.

A. Present or former employees serviced by the DOJ Payroll System.

B. Justice Employees Data Service Staff.

C. Department of the Treasury disbursing offices.

D. Department of Justice budget and accounting offices.

E. Department of Justice personnel offices.

F. Employee supervisors.

G. Employee administrative offices.

H. Federal, state and local taxing authorities.

I. Federal Employees Health Benefits carriers.

J. Employee organization offices participating in dues allotment program.

K. Financial organizations participating in savings account allotment program.

L. Financial organizations participating in net pay to checking account program.

M. State human resource offices administering unemployment compensation programs.

N. General Accounting Office and internal audit staffs.

O. Federal, state or local law enforcement agencies (in support of legal investigations of suspected fraud).

P. Other Federal agencies requiring information as specified in applicable laws or regulations, e.g., Office of Personnel Management.

Q. Heirs, executors and legal representatives of beneficiaries.

R. State and local courts of competent jurisdiction for the enforcement of child support and/or alimony pursuant to 42 U.S.C. 659.

S. Consumer reporting agencies as defined by 15 U.S.C. subsection 1681a(f) or 31 U.S.C. subsection 3701(a)(3)(B).

T. Debt collection agents, for purposes of collecting Federal claims against taxpayers.

U. Department of Justice law enforcement or litigative organizations for advice or for purposes of litigation or enforced collection pertaining to Federal debt claims.

Release of Information to the News Media. Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available from systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Release of Information to Members of Congress. Information contained in systems of records maintained by the Department of Justice, not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and at the request of the individual who is the subject of the record.

Release of Information to the National Archives and Records Administration (NARA) and the General Services Administration (GSA). A record from a system of records may be disclosed as a routine use to NARA and GSA in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Various categories of records are stored on different mediums. Categories A, B, and E are on magnetic discs. Category C is on magnetic tape and microfiche. Category D is on magnetic tape. All other records are maintained in paper form.

Retrievability:

Categories of records on magnetic media are retrievable by employee social security number which is maintained to comply with Internal Revenue requirements. Records in paper form and microfiche are retrievable by employee name and social security number.

Safeguards:

The principal current safeguard for payroll records is guard force screening of individuals entering buildings within which records are kept. More stringent security practices and procedures are under development.

Retention and disposal:

Payroll records retention and disposal are in accordance with General Records Schedule 2 promulgated by the General Services Administration.

System manager(s) and address:

Director, Finance Staff, Justice Management Division, U.S. Department of Justice, 601 D Street, NW., Washington, DC 20530.

Notification procedure:

Address inquiries to the System Manager.

A request for notification of the existence of records upon an individual shall be made in writing with the envelope and the letter clearly marked 'Privacy Notification Request'. Include in the request the name of the system of records, the individual's full name and social security number while employed with the Department of Justice, the name of the organization within which the individual is either a current or former employee. The requestor shall include a return address for the notification response.

Record access procedures:

Address access requests to the System Manager.

A request for access to records from this system shall be made in writing with the envelope and the letter clearly marked 'Privacy Access Request'. Include in the request the name of the system of records, the legal name and social security number of the subject individual and the name of the organization within which the individual is either a current or former employee. The requestor shall also provide a return address for transmitting the information.

Contesting record procedures:

Individual desiring to contest or amend information should direct their request to the System Manager listed above, stating clearly and concisely what information is being contested, the reason for contesting it, and the proposed amendment to the information sought.

Record source categories:

Information contained within the DOJ Payroll System of Records is obtained from the following sources:

A. Subject Individual: Information collected from the subject individual generally consists of that necessary to administer allotments, deductions or other services requested by the individual.

B. Personnel Office: Information collected from the personnel office generally consists of employment status information which provides the legal basis upon which valid payments are computed.

C. Time and Attendance Clerk: Information collected from this clerk generally consists of an accounting of the individual's presence or absence from the duty station and the usage of leave.

D. Supervisor or Administrative Officer: Information collected from these officers generally consists of leave authorizations and information concerning the individual's duty station.

E. Financial Institutions or Employee Organizations: Information collected from institutions or organizations generally consists of that necessary to insure the timely and accurate forwarding to the institution or organization of monies allotted to an account at the institution or organization by the subject individual.

F. Previous Federal Employer: Information collected from the previous employer within the Federal government generally consists of leave status information at the time of separation.

G. Other Federal Agencies: Information collected from other Federal agencies generally consists of program information necessary to properly administer pay, leave, and allowance. Information collected from IRS may include taxpayer mailing addresses which are necessary to locate debtors.

H. Other Officials: Information collected from other officials consists of that necessary to administer the payroll function. This may include authorization for special payments, death certificate or other documents as necessary.

I. Consumer Reporting Agencies and Debt Collection Agencies: Information provided to assist in collecting debts.

Systems exempted from certain provisions of the act:

None.

JUSTICE/JMD-004

System name:

Bookstream (Justice/JMD-004).

System location:

Justice Manager Division (JMD), Main Library, Department of Justice, 10th and Constitution Avenue, NW., Washington, DC 20530.

Categories of individuals covered by the system:

All Office, Board, and Division (OBD) Metropolitan Washington Department of Justice employees, and other selected Department employees who request to borrow from the Library system.

Categories of records in the system:

The file contains the full name of Department of Justice employees; their organization building; room number; telephone number and last four digits of their social security number. In addition, a record of all library materials borrowed by or loaned to each employee is maintained.

Authority for maintenance of the system:

This file is maintained pursuant to requirements for maintenance of records of Federal agencies. (See 44 U.S.C. 3101 (1976).)

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The file is used by Main Library staff personnel to maintain more effective control over library materials, including the ability to recall materials and to clear Department of Justice employees leaving the agency. Records will not be disseminated, and there will be no release of information outside of the Library system other than to notify library patrons of the availability of materials or overdue status of borrowed materials. A list of items outstanding prior to clearance from the agency will be provided to the employee.

There will also be a release of oustanding loans to the Department of Justice Board of Survey when an employee leaving the Department cannot account for items charged out. The Board of Survey, consisting of Department of Justice personnel, was established by OBD Order 1300.4, February 18, 1981.

A record from the system of records may be disclosed to the National Archives and Records Administration for records management inspections conducted under the authority of 44 U.S.C. 2404 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Automated records are maintained by JMD Library staff on a Data General M600 minicomputer using DATALIB proprietary software.

Retrievability:

Information is retrieved by a variety of datafields including, but not limited to the name of the employee, call number, title key or patron indentification code.

Safeguards:

Information maintained in the system is safeguarded and protected in accordance with Department rules and procedures governing the handling of computerized information. Only those individuals specifically authorized and assigned an access code will have use of the circulation system. Access codes will be assigned only to those library employees who have the requisite need for the information to perform their official duties. In addition, access to the information must be accomplished through a single terminal which is only operational from 9:00 a.m. to 5:30 p.m., and access to such terminal will be limited.

Retention and disposal:

Records classified by the employee's name are retained for two weeks after the employee leaves the employment of the Justice Department. The records are then deleted from the system.

System manager(s) and address:

Circulation Librarian, Room 5400, Main Library, United States Department of Justice, Washington, D.C. 20530.

Notification procedure:

Inquiries regarding whether the system contains a record pertaining to an individual may be addressed to the Circulation Librarian, Room 5400, Main Library, United States Department of Justice, Washington, D.C. 20530. Before identifying whether the system contains a record relating to an individual employee, Department of Justice employment is first verified by checking information provided by the employee against an employee personnel listing extracted from the Justice Uniform Personnel System (Juniper). (See "Record source categories" below.) Bookstream is then searched for records relating to that employee. Therefore, to assist the Library in verifying employment and in identifying any record relating to an employee, the employee must provide his full name, social security number, date of employment and duty assignment station.

Record access procedures:

Persons desiring to access a record shall submit their request in writing, by mail, or in person to the agency official designated under "Notification procedure" above. If a request to access a record is made by mail, the envelope and letter shall be clearly marked "Privacy Act Request." In addition, the requester must furnish the information set forth under "Notification procedure" above.

Contesting record procedures:

See "Record access procedure" above.

Record source categories:

Sources are the Juniper system and bibliographic records either keyed at the time an item is borrowed or taken from the master record of Library holdings. The Juniper system is a system of records which is included under the umbrella of a government-wide system of records reported by the Office of Personnel Management. The system is entitled "General Personnel Records, OPM/GOVT-1."

Systems exempted from certain provisions of the act:

None.

JUSTICE/JMD-005

System name:

Grievance Records.

System location:

Records relating to grievances originating in an office, board or division (defined in 28 CFR 0.1) except for the Executive Office for United States Attorneys, are located in the Office of the Assistant Director for Personnel Service. Records relating to grievances originating in the Executive Office for United States Attorneys or in a United States Attorney's office are located in the office of the Personnel Officer, Executive Office for United States Attorneys. Records relating to grievances originating in a particular bureau (defined in 28 CFR 0.1) are located in the central personnel office of the bureau where the grievance originated, except for the Federal Bureau of Investigation (FBI) which is excluded from coverage of the Agency Administrative Grievance System by 5 CFR 771.206(a). (See caption "System managers and addresses.")

Categories of individuals covered by the system:

Current or former Department of Justice employees, except for employees of the FBI, who have submitted grievances in accordance with 5 CFR Part 771 (Office of Personnel Management (OPM) regulations) and the Department's grievance procedures, or in accordance with a negotiated grievance procedure.

Categories of records in the system:

The system contains records relating to grievances filed by the agency employees under 5 CFR Part 771 and the Department's grievance procedures, or under a negotiated grievance procedure. These case files contain all documents related to the grievance, including statements of witnesses, reports of interviews and hearings, examiner's findings and recommendations, or arbitration award, and a copy of any original and final decision and related correspondence and exhibits.

Authority for maintenance of the system:

5 U.S.C. 552a(f); 5 CFR Part 771; 5 U.S.C. 1032, 3301, 3302; E.O. 10577; 3 CFR 1954–1958 Comp., p. 218.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in these records may be used:

a. To disclose pertinent information to another appropriate Federal, State, or local agency, responsible for investigating, prosecuting, enforcing, or implementing a statute rule, regulation, or order, where the Department becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation.

b. To disclose information to any source from which additional information is requested in the course of processing a grievance to the extent necessary to identify the individual, inform the source of the purpose(s) of the request, and identify the type of information requested.

c. To disclose information to another Federal agency (in response to its request) for its use in the hiring or retention of an employee, the issuance of a security clearance, the conducting of a security and/or suitability investigation of an individual, the classifying of jobs, the letting of a contract, or the issuance of a license, grant, or other benefit to the extent that the information is relevant and necessary to its decision on the matter.

d. To provide information to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

e. To disclose information to another Federal agency or to a court when the Government is party to a judicial proceeding before the court.

f. By the National Archives and Records Administration and the General Services Administration in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2908.

g. By the Department or OPM in the production of summary descriptive statistics, if available, and analytical studies in support of the function for which the records are collected and maintained, or for related work force studies. While published statistics and studies do not contain individual identifiers, in some instances the selection of data elements included in the study may be structured in such a way as to make the data individually identifiable by inference.

h. To disclose information to officials of the Merit Systems Protection Board; the Special Counsel; the Federal Labor Relations Authority and its General Counsel; the Equal Employment Opportunity Commission; or, the OPM when requested to perform their authorized duties.

i. To disclose in response to a request for discovery or for appearance of a witness, information that is relevant to the subject matter involved in a pending judicial or administrative proceeding.

j. To provide information to labor organization officials recognized under the Civil Service Reform Act when relevant and necessary to their duties of exclusive representation concerning personnel policies, practices, and matters affecting work conditions.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

These records are maintained in file folders.

Retrievability:

These records are retrieved by the names of the individuals on whom they are maintained.

Safeguards:

These records are maintained in lockable metal filing cabinets to which only authorized personnel have access.

Retention and disposal:

These records are disposed of three years after closing of the case. Disposal is by shredding or burning.

System manager(s) and address:

a. Offices, Boards and Divisions. Assistant Director for Personnel Service, U.S. Department of Justice, 633 Indiana Avenue, NW., Washington, D.C. 20530.

b. Bureau of Prisons. Personnel Director, Bureau of Prisons, HOLC Building, 320 First Street, NW., Washington, D.C. 20534.

c. Drug Enforcement Administration. Deputy Assistant Administrator for Personnel, Drug Enforcement Administration, 1405 I Street, NW., Washington, D.C. 20537.

d. Immigration and Naturalization Service. Assistant Commissioner for Personnel and Training, Immigration and Naturalization Service, CAB Building, 425 I Street, NW., Washington, D.C. 20530.

e. Office of Justice Programs. Director, Office of Personnel, Office of Justice Programs, 633 Indiana Avenue, NW., Washington, D.C. 20530.

f. United States Marshals Service. Personnel Officer, U.S. Marshals Service, 600 Army-Navy Dr., Arlington, VA 22202.

g. Executive Officer for United States Attorneys. Personnel Officer, 601 D Street, NW., Patrick Henry Building, Washington, D.C. 20530.

Notification procedure:

Individuals who have filed grievances may contact the appropriate personnel office (named under the caption "System managers" and addresses" above) where the action was processed regarding the existence of such records on them. They must furnish the following information for the records to be located and identified:

a. Name.

b. Approximate date of closing of the case and the subject matter of the grievance.

c. Organization component involved.

Record access procedures:

Individuals who have filed grievances may request access to the official copy of the grievance file by contacting the appropriate personnel office (named under the caption "System managers and addresses" above) where the action was processed. Individuals must provide the information listed under the caption "Notification procedures" for their records to be located and identified. Individuals requesting access must also follow the Department's Privacy Act regulations (28 CFR 16.41) regarding access to records and verification of identity.

Contesting record procedures:

Review of requests from individuals seeking amendment of their records which have been the subject of a judicial or quasi-judicial action will be limited in scope. Review of amendment requests of these records will be restricted to determining if the record accurately documents the action of the agency ruling on the case and will not include a review of the merits of the action, determination, or finding.

Individuals wishing to request amendment to the records to correct factual errors should contact the personnel office (named under the caption "System managers and addresses" above) where the grievance was processed. Individuals must furnish the information listed under the caption "Notification procedures" for their records to be located and identified.

Individuals requesting amendment must also follow the office's Privacy Act regulations (28 CFR 16.41) regarding amendment to records and verifications of identity.

Record source categories:

Information in this system of records is provided:

a. By the individual on whom the record is maintained.

b. By testimony of witnesses.

c. By Department officials.

d. From related correspondence from organizations or persons.

Systems exempted from certain provisions of the act:

None.

JUSTICE/JMD-006

System name:

Debt Collection Management System, JUSTICE/JMD-006.

System location:

Department of Justice, Justice Management Division (JMD), Central Intake Facility (CIF), 1110 Bonifant Street, Suite 220, Silver Spring, Maryland.

Categories of individuals covered by the system:

Persons indebted to the United States who have allowed their debts to become delinquent and whose debts have been sent by client Federal agencies to the Department of Justice for settlement or enforced collection through litigation.

Categories of records in the system:

This system of records contains records relating to the negotiation, compromise, settlement, and litigation of indebtedness owed the United States. Records will consist of an automated support data base and temporary custody of case files. Case files are assigned promptly to a U.S. Attorney (USA) or contract private counsel to undertake enforced debt collection action. This system describes case files during the period which they are in the possession of the JMD, CIF. Upon assignment of a case file to the USA or contract private counsel, the case is covered by the Debt Collection Enforcement System, JUSTICE/USA-015.

The client agency case file includes such documents as the Claims Collection Litigation Report; Certificate of Indebtedness; any partial payment records, status reports, correspondence, and any other documentation developed during the negotiation of the indebtedness.

The automated data base contains data extracted from the case file and any data generated or developed to support the administrative operations of the debt collection program. Information may include personal data, e.g., name, social security number, date of birth, and locator information; claim information, e.g., type of claim such as benefit overpayment, loan default, bankruptcy, etc.; payment demand information, compromise offered, etc.; account information, e.g., debtor payments including principal, penalties, interests, and balances, etc.; information regarding debtor's employment, ability to pay, property liens, etc.; value of claim, name of source agency which provided the loan or benefit; information on the status and disposition of cases at various intervals of time; and any other information related to the negotiation, compromise, settlement, or litigation of indebtedness owed the United States, or to the administrative management of the debt collection program.

Authority for maintenance of the system:

The Federal Debt Recovery Act of 1986, 31 U.S.C. 3718(b).

Purpose(s):

The Federal Debt Recovery Act authorizes the Attorney General to contract with private counsel to assist the USA in the collection of consumer and commercial debts owed the United States on a pilot project basis. Accordingly, the Department is participating in a pilot program in ten judicial districts and has established this system of records to provide automated litigation support to and administrative management of a debt collection program which allows the assignment of client Federal agency case files to USAs and contract private counsel to pursue the collection of indebtedness owed the United States. A separate system of records entitled "Debt Collection Enforcement System, JUSTICE/USA-015" has been established to cover records maintained by the USAs and contract private counsel in support of debt collection activities.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

In the course of its collection and enforcement activities, the Department will release client Federal agency case files to the CIF to conduct the administrative operations of the debt collection program. Through the administrative operations of the CIF, the Department will release the case files and any related records or information created by the CIF to the contract private counsel to negotiate, settle, and litigate indebtedness owed the United States.

The Department may also disclose records or information from this system as follows:

(a) To client agencies who have referred debt collection cases to the Department for settlement or litigation and enforced collection to notify such agencies of the status of the case or of any decision or determination that has been made, or to make such other inquiries and reports as are necessary during the processing of the case.

(b) To a Federal agency in response to its request and in connection with hiring or retention of an employee, the issuance of the required security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information relates to the requesting agency's decision on the matter.

(c) In a proceeding before a court or adjudicative body before which the Department or contract private counsel who are authorized to appear when any of the following is a party to litigation or has an interest in litigation and such records are determined by the Department or contract private counsel to be arguably relevant to the litigation: (1) The Department, or any subdivision thereof, or contract private counsel, or (2) any employee of the Department or contract private counsel in his or her official capacity or (3) any employee of the Department or contract private counsel in his or her individual capacity where the Department of Justice has agreed to represent the employee, or (4) the United States, where the Department or contract private counsel determines that the litigation is likely to affect the Department or any of its subdivisions.

(d) To volunteer student workers and students working under a college work-study program as is necessary to enable them to perform their function;

(e) To employees or to contract personnel to access the records for Privacy Act training purposes.

(f) To (1) a Federal agency which employs the individual to enable the employing agency to offset the individual's salary; (2) a Federal, State, local or foreign agency, an organization, including a consumer reporting agency, or individual to elicit information to assist the Department in the settlement or effective litigation and enforced collection of the overdue debt; and (3) the Internal Revenue Service (IRS) to enable that agency to offset the individual's tax refund. Records provided to the IRS may be used in a computer matching program to identify individuals who are entitled to refunds against which such offset for overdue debts would be appropriate.

(g) To the news media and the public pursuant to 28 CFR 50.2 unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

(h) To a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and at the request of the individual who is the subject of the record.

(i) To the National Archives and Records Administration and to the General Services Administration in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Case files are stored in locked rooms; automated data is stored on magnetic tape.

Retrievability:

Data is retrieved by name of debtor.

Safeguards:

Access to records is restricted to those personnel who must have access to perform their duties and is limited to those cases assigned. Case files are maintained separately in locked rooms during non-duty hours. Access to automated data requires the use of the proper password and user identification code.

Retention and disposal:

Paper records in this system will be returned to client Federal agencies for disposition; automated information will be erased ten years after the related case files reported in the Debt Collection Enforcement System, JUSTICE/USA-015 have been closed. (Pending approval of the National Archives and Records Administration.)

System manager(s) and address:

Deputy Assistant Attorney General, Debt Collection Management, Justice Management Division, Department of Justice, Washington, D.C. 20530.

Notification procedure:

Address inquiries to Deputy Assistant Attorney General, Debt Collection Management, Justice Management Division, Department of Justice, Washington, D.C. 20530.

Record access procedures:

Address requests for access to Deputy Assistant Attorney General, Debt Collection Management, Justice Management Division, Department of Justice, Washington, D.C. 20530. Clearly mark the envelope "Privacy Access Request." Include in the request the debtor's name, date of birth, address, and any other identifying information which may be of assistance in locating the record, e.g., name of the case or Federal agency to whom the debtor is indebted. In addition, include notarized signature of the debtor as well as the name and address of the individual to receive the information if other than the debtor.

Contesting record procedures:

Address requests to Deputy Assistant Attorney General, Debt Collection Management, Justice Management Division, Department of Justice, Washington, D.C. 20530. State clearly and concisely the information being contested, the reasons for contesting it, and the proposed amendment to the information.

Record source categories:

The individuals covered by the system; client agencies of the Department to whom the individual is indebted; an attorney or other representative for the debtor and/or payor; any Federal, State, local, foreign, private organization or individual who may have information relating to the debt, the debtor's ability to pay or any other information relevant and necessary to assist in the settlement or effective litigation and enforced collection of the debt.

Systems exempted from certain provisions of the act:

None.

JUSTICE/JMD-007

System name:

Accounting System for the Offices, Boards and Divisions and the United States Marshals Service.

System location:

United States Department of Justice, 10th and Constitution Avenue, NW., Washington, D.C. 20530.

Categories of individuals covered by the system:

All individuals on whom vouchers are submitted requesting payment for goods or services rendered (except payroll vouchers for Department of Justice employees,) including vendors, contractors, experts, witnesses, court reporters, travelers, and employees.

Categories of records in the system:

All vouchers processed, i.e., all documents required to reserve, obligate, process and effect collection or payment of funds. (Excluded from the system are payroll vouchers.)

Authority for maintenance of the system:

The system is established and maintained in accordance with 31 U.S.C. 3512.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

After processing the vouchers, the records are used to maintain individual financial accountability; to furnish statistical data (not identified by personal identifiers) to meet both internal and external audit and reporting requirements; and to provide Administrative Officers from the Officers, Boards and Divisions and the United States Marshals Service with information on vouchers by name and social security number.

Release of information to the news media. Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available from system of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Release of information to Members of Congress. Information contained in systems of records maintained by the Department of Justice not otherwise required to be released pursuant to 5 U.S.C. 552 may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and at request of the individual who is the subject of the record.

Release of information to the National Archives and Records Administration (NARA) and to the General Services Administration (GSA): A record from a system of records may be disclosed as a routine use to NARA and GSA in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Release of taxpayer mailing address information. Information contained in the system or records may be disclosed to the Internal Revenue Service (IRS) to obtain taxpayer mailing addresses for the purpose of locating such taxpayer to collect or compromise a Federal claim against the taxpayer.

Release of information to consumer reporting agencies. Information directly related to the identity of debtors and the history of claims contained in the system or records may be disclosed to consumer reporting agencies for the purpose of encouraging repayment of overdue debts. Such disclosures will be made only when a claim is overdue and only after due process steps have been taken to notify the debtor and give him or her a chance to meet the terms of the debt. Addresses of taxpayers obtained from the Department of the Treasury will be disclosed to consumer reporting agencies only for the purpose of allowing such agencies to prepare a commercial credit report on the taxpayer for use by the Department.

Release of information about debtors. Information contained in the system of records may be disclosed in order to effect salary or administrative offsets to satisfy a debt owed the United States by that person. Such disclosures will be made only when all procedural steps established by the Debt Collection act have been taken.

Release of information to debt collection agencies. Information contained in the system of records may be disclosed to a person or organization with whom the head of the agency has contracted for collection services to recover indebtedness owed to the United States. Addresses of taxpayers obtained from the Department of the Treasury will also be disclosed, but only where necessary to locate such taxpayer to collect or compromise a Federal claim.

Release of information to United States Attorneys. Information contained in the system of records may be disclosed to United States Attorneys' offices for litigation and enforced collection.

Release of information in a proceeding before a court or adjudicative body. Records within this system or any facts derived therefrom, may be disseminated before a court or adjudicative body before which the Justice Management Division is authorized to appear when i. the Justice Management Division, or any subdivision thereof, or ii. any employee of the Justice Management Division in his or her official capacity, or iii. any employee of the Justice Management Division in his or her individual capacity where the Department of Justice has agreed to represent the employee, or iv. the United States, where the Justice Management Division determines that the litigation is likely to affect it or any of its subdivisions, is a party to litigation or has an interest in litigation and such records are determined by the Justice Management Division to be arguably relevant to the litigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Magnetic disks, magnetic tapes, microfilm, and file folders.

Retrievability:

Records on magnetic tapes and disks are primarily retrieved by social security number or digital identifiers. Records covering all fiscal years prior to Fiscal Year 1983 are maintained in paper form; as of Fiscal Year 1983 paper records have been converted to microfilm. Records in paper form and on microfilm are retrieved by batch and controlled by schedule on which paid.

Safeguards:

Information contained in the system is unclassified. Operational access to information maintained on magnetic disks is controlled by the convention of the operating system utilized. This is normally by password key. These passwords are issued only to employees who have a need to know in order to perform job functions relating to financial management and accountability. Records are also safeguarded in accordance with organizational rules and procedures. Access is limited to personnel of the Department of Justice who have a need for the records in the performance of their official duties.

Retention and disposal:

Magnetic disks, magnetic tapes, microfilm, and paper documents are retained for a period of six years and three months and subsequently destroyed in accordance with regulations prescribed by the General Accounting Office and promulgated by the General Services Administration.

System manager(s) and address:

Directors, Finance Staff; Office of the Comptroller, Justice Management Division, U.S. Department of Justice, 10th & Constitution Avenue, NW, Washington, D.C. 20530.

Notification procedure:

Same as the System Manager.

Record access procedures:

Same as the System Manager.

Contesting record procedures:

Same as the System Manager.

Record source categories:

Submitted by operating accounting personnel or individual of record.

Systems exempted from certain provisions of the act:

None.

JUSTICE/JMD-008

System name:

Security Clearance Information System (SCIS).

System location:

U.S. Department of Justice, 10th and Constitution Avenue, NW., Washington, D.C. 20530.

Categories of individuals covered by the system:

Individuals who have been investigated and cleared for employment and/or for access to data classified for national security reasons, i.e.,

A. Current employees, excluding the Federal Bureau of Investigation (FBI), and the Drug Enforcement Administration (DEA),

B. Former employees, excluding the FBI and DEA (maintained for a maximum of one year from date of termination),

C. Contractors with whom contracts (or other agreements) are, have been, or are offered to be entered into by the Department of Justice, including the FBI and DEA, and

D. Persons associated with and/or acting for the defense or for the courts in a criminal proceeding which involves classified information.

Categories of records in the system:

The system contains two subsystems: (a) a Clearance Index Reference Record which is an automated system for identifying the individuals in Categories of Individuals above listing the status and types of investigations, the dates of clearances and level of clearances and (b) a Character File including one or more of the following: (1) Standard form 86 (Office of Personnel Management), Security Investigation Data for Sensitive Position; (2) Copies of investigative reports from the Office of Personnel Management, the FBI, and/or other Federal investigative agencies; (3) Correspondence related to the request for the investigations, results of the investigation, and clearance approvals for access to classified national security information and waivers; and (4) Other information relating to the trustworthiness of the employee.

Authority for maintenance of the system:

The system is established and maintained in accordance with Presidential Executive Orders 10450 (Clearance for Federal Employment) and 12356 (Access to Data Classified for National Security Reasons), and the Classified Information Procedures Act of 1980.

Purpose(s):

Records in this system are used to determine the suitability, eligibility and/or qualifications of employees for initial or continued employment in the Department of Justice (excluding the FBI and DEA), and for employment in sensitive positions involving access to classified information. The records are also used to make similar suitability determinations regarding the employment of contractors to perform a service for the Department (including the FBI and DEA), and to establish the trustworthiness for access to classified information of persons associated with an/or acting for the court or the defense during criminal proceedings.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records or information in these records may be disclosed to:

(a) Designated officers and employees of agencies, offices, and other establishments in the executive, legislative, and judicial branches of the Federal Government and the District of Columbia Government, when it has been determined by the Department of Justice, or by such agency, office, or establishment, that such agency, office or establishment having an interest in either the initial or continued employment of an individual, needs such records or information from this system in order to evaluate qualifications, suitability and loyalty to the United States Government, or trustworthiness to access classified information or restricted areas, and/or for the purpose of either granting, renewing, suspending, or revoking a security clearance.

(b) Designated officers and employees of agencies, offices, and other establishments in the executive, legislative, and judicial branches of the Federal Government, and the District of Columbia Government, when it has been determined by the Department of Justice, or by such agency, office, or establishment, that such agency, office or establishment needs records or information from this system either because it has conducted or is conducting an investigation of the individual in order to evaluate qualifications, suitability, or loyalty to the United States Government, or trustworthiness to access classified information or restricted areas, and/or for the purpose of either granting, renewing, suspending, or revoking a security clearance.

(c) Designated officers and employees of agencies, offices, and other establishments in the executive, legislative, and judicial branches of the Federal Government, and the District of Columbia Government, when it has been determined by the Department of Justice, or by such agency, office, or establishment, that such agency, office or establishment having an interest in either the initial or continued employment of a contractor, needs such records or information from this system in order to evaluate qualifications, suitability, and loyalty to the United States Government, or trustworthiness to access classified information or restricted areas, and/or the purpose of either granting, renewing, suspending, or revoking a security clearance.

(d) Designated officers and employees of agencies, offices, and other establishments in the executive, legislative, and judicial branches of the Federal Government, and the District of Columbia government, when it has been determined by the Department of Justice, or by such agency, office or establishment, that such agency, office or establishment needs records or information from this system either because it has conducted or is conducting an investigation of the contractor in order to evaluate qualifications, suitability, or loyalty to the United States Government, or trustworthiness to access classified information or restricted areas, and/or for the purposes of either granting, renewing, suspending or revoking a security clearance.

(e) Security officials and investigators of other U.S. Government Agencies or Departments for liaison purposes involving access to classified material during meetings, conferences or training courses.

(f) The news media and the public pursuant to 28 CFR 50.2 unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

(g) A Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and at the request of the individual who is the subject of the record.

(h) The National Archives and Records Administration and the General Services Administration in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

(i) A court or adjudicative body before the Department of Justice is authorized to appear, when the Department of Justice or any subdivision thereof, or any employee of the Department of Justice in his or her official capacity, or any employee of the Department of Justice in his or her individual capacity where the Department of Justice has agreed to represent the employee, or the United States where the Department of Justice determines that the litigation is likely to affect it or any of its subdivisions, is a party to litigation or has an interest in litigation and such records are determined by the Department of Justice to be arguably relevant to the litigation, or to the protection of such records which have been classified in the interest of national security.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Automated data is stored on a main frame computer in the Department of Justice Uniform Personnel System. Paper files are maintained in a secure file room.

Retrievability:

All data is retrieved by searching under the employee's name and social security account number.

Safeguards:

Information contained in the system includes some classified National Security Information. It is safeguarded and protected in accordance with Departmental rules and procedures governing the protection of this material.

Safeguards include the assignment to authorized users of passwords to access the automated data, and of combination formulas to access manual records in locked safes.

Retention and disposal:

Records are retained and disposed of in accordance with items 23.a, 23.b, and 24 of the General Records Schedule as approved by the Archivist of the United States.

System manager(s) and address:

Director, Security and Emergency Planning Staff, Justice Management Division, U.S. Department of Justice, 10th and Constitution Avenue, NW., Washington, DC 20530.

Notification procedure:

Same as the System Manager.

Record access procedures:

A request for access to a record from this system shall be made in writing to the System Manager with the envelope and the letter clearly marked "Privacy Access Request." Include in the request the name, title and organization of the employee, a notarized signature, and the general subject matter of the inquiry. The requestor will also provide a return address for transmitting a reply. Requests for copies of investigative reports must be directed to the Office of Personnel Management, the Federal Bureau of Investigation, or other Federal investigative agencies, as appropriate.

Contesting record procedures:

Individuals desiring to contest or amend information maintained in the system should direct their request to the System Manager listed above, stating clearly and concisely what information is being contested, the reasons for contesting it, and the proposed amendment to the information sought.

Record source categories:

Sources of information contained in this system are (a) individuals covered by the system and (b) those individuals (informants) contacted by the Federal investigators who furnished information in the background investigation.

Systems exempted from certain provisions of the act:

The Attorney General has exempted this system from subsection (d) of the Privacy Act pursuant to 5 U.S.C. 552a(k)(5). Rules have been promulgated in accordance with the requirements of 5 U.S.C. 533 (b), (c) and (e) and have been published in the Federal Register.

JUSTICE/JMD–010

System name:

Document Information System (DIS).

System location:

U.S. Department of Justice; 10th and Constitution Avenue NW., Washington, DC 20530.

Categories of individuals covered by the system:

Employees of the Department of Justice who have been designated by the Attorney General as authorized to classify documents. Employees of the Department of Justice who have been delegated classifying authority by designation of the Attorney General. Individuals (mostly aliens) about whom documents exist which have been classified in the interest of national security.

Categories of records in the system:

The system contains records of all documents classified by Department of Justice employees. The system also contains a record on all Department of Justice employees (from January 1, 1973 to present) who have or have had the authority to classify documents.

Authority for maintenance of the system:

The system was established and is maintained pursuant to Executive Order 11652.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The system is routinely used by the Interagency Classification Review Committee, the Department of Justice Security Staff, and the Department of Justice Review Committee.

Release of information to the news media: Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available from systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Release of information to Members of Congress: Information contained in systems of records maintained by the Department of Justice, not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and at the request of the individual who is the subject of the record.

Release of information to the National Archives and Records Administration (NARA) and to the General Services Administration (GSA): A record from a system of records may be disclosed as a routine use to NARA and GSA in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Information is stored in machine readable form on magnetic tape. A copy of the data capture form is maintained in the originating office for two weeks, then destroyed. The original data capture form is maintained at the Department until data contained therein has been successfully processed, then the form is destroyed.

Retrievability:

Information is retrieved in any form for all routine uses. Information may be retrieved for non-routine uses with the approval of the Director, Central Management Services Staff, and in accordance with the provisions of the Privacy Act.

Safeguards:

Access to information contained in the system is controlled by the Director, Systems Operations Staff, Justice Management Division. Access is normally limited to routine users and members of the Systems Operations Staff, on a "need-to-know" basis.

Retention and disposal:

Records contained in the system are retained indefinitely. The system of records is never purged and no disposal schedule is required.

System manager(s) and address:

Director, Security Staff, Justice Management Division, U.S. Department of Justice, 10th and Constitution Avenue NW., Washington, DC 20530.

Notification procedure:

Address inquiries to the System Manager.

Record access procedures:

Same as the System Manager.

Contesting record procedures:

Same as the System Manager.

Record source categories:

Employees of the Department who have been designated by the Attorney General as classifying officials and employees who have been delegated classifying authority.

Systems exempted from certain provisions of the act:

None.

JUSTICE/JMD-013

System name:

Employee Locator File.

System location:

U.S. Department of Justice, 10th and Constitution Avenue NW., Washington, DC 20530.5

Categories of individuals covered by the system:

All employees of the U.S. Department of Justice, with the exception of individuals employed by the Federal Bureau of Investigation.

Categories of records in the system:

The system contains information relating to each employee's home and business address, home and business telephone number, information as to next of kin, and personal physician preferred in case of medical emergency.

Authority for maintenance of the system:

The system is maintained pursuant to 5 U.S.C. 301, 5 U.S.C. 7901, 26 U.S.C. 6011, 26 U.S.C. 6109, 5 U.S.C. 5516, 5 U.S.C. 5517 and 5 U.S.C. 5520.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The locator system is used to provide address data to federal, state and local tax authorities in accordance with the reporting requirements of their income tax withholding programs. The locator system is also used to contact employees of the Department at their official place of business or their residence regarding matters of an official nature relating to their employment with the Department of Justice. It is also used in medical emergencies to contact an employee's personal physician if he or she has an indicated preference, and to notify next of kin. Use of the file for these purposes is limited to supervisors of the employees concerned or individuals having the permission of a supervisor of the employee concerned.

RELEASE OF INFORMATION TO THE NEWS MEDIA:

Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available from systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

RELEASE OF INFORMATION TO MEMBERS OF CONGRESS:

Information contained in systems of records maintained by the Department of Justice, not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and at the request of the individual who is the subject of the record.

RELEASE OF INFORMATION TO THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION (NARA) and the General Services Administration (GSA):

A record from a system of records may be disclosed as a routine use to NARA and GSA in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are stored on magnetic tape and magnetic disc.

Retrievability:

Records are retrieved by name or any other date item by means of cathode-ray tubes.

Safeguards:

Access to terminals is limited to persons with terminal identification numbers. These numbers are issued only to employees who have a need to know in order to perform job functions relating to income tax reporting or personnel matters.

Retention and disposal:

Records are retained for the duration of an individual's employment with the Department. They are destroyed upon his or her separation.

System manager(s) and address:

Director, Finance Staff, Office of the Comptroller, Justice Management Division, U.S. Department of Justice, 10th and Constitution Avenue NW., Washington, DC 20530.

Notification procedure:

Same as System Manager.

Record access procedures:

Same as Notification.

Contesting record procedures:

Same as Notification.

Record source categories:

Information is supplied by the individual to whom the record pertains.

Systems exempted from certain provisions of the act:

None.

JUSTICE/JMD-014

System name: Department of Justice Relocation Management Services Information System.

System location:

Office of Personnel and Administration, Justice Management Division (JMD), 10th and Constitution Avenue NW., Washington, DC 20530.

Categories of individuals covered by the system:

Department of Justice (DOJ) employees who have been authorized by their employing organizations to transfer to an alternate location for the benefit of the Government and who have chosen to utilize the relocation services offered by a firm under contract to DOJ.

Categories of records in the system:

Manual and automated records will contain abbreviated data, e.g., relocation number, name, social security number, employing organization, address, telephone number, descriptive housing data, and billing information.

Authority for maintenance of the system:

28 U.S.C. 509 and 510; 5 U.S.C. 301; 44 U.S.C. 3101; and 28 CFR 0.75.

Purpose(s):

The purpose of this system is to maintain information on home sale transactions for those individuals employed by DOJ who are authorized to use home sale services when being transferred for the benefit of the Government. To enable DOJ to administer its relocation management program and provide home sale services for transferring employees, it is necessary for a system of records to be maintained. This system will be maintained for DOJ by a contractor offering relocation services designed specifically for DOJ. The system will allow tracking of employee home sale transactions from initial employee notification of eligibility, through appraisal, offer, acquisition, and final contractor billing and payment. Such information is essential to the conduct and monitoring of relocation services. In accordance with subsection (m) of the Privacy Act, DOJ shall cause the requirements of the Privacy Act to apply to this system.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Primary users of this system will be DOJ and contractor employees working directly for DOJ. The system will be used to manage relocation services within DOJ and to monitor the status of home sale transactions for employees using the relocation management program.

Release of Information to a Court or Adjudicative Body:

Records or information may be disclosed as a routine in use a proceeding before a court or adjudicative body before which DOJ is authorized to appear when any of the following is a party to litigation or has an interest in litigation and such records are determined by DOJ to be arguably relevant to the litigation: the DOJ or any of its subdivisions; and DOJ employee in his or her official capacity or in his or her individual capacity were DOJ agrees to represent the employee; or the United States where the DOJ determines that the litigation is likely to affect it or any of its subdivisions.

Release of Information to the News Media:

Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available from the system of records maintained by DOJ unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Release of Information to Members of Congress:

Information contained in the system of records maintained by DOJ may be disclosed as is necessary to respond appropriately to congressional inquiries on behalf of constituents.

Release of Information to the National Archives and Records Administration (NARA) and the General Services Administration (GSA):

A record from a system of record may be disclosed as a routine use to NARA and to GSA in records management inspections conducted under the authority of Title 44 of the United States Code.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records will be stored on magnetic discs and in file folders.

Retrievability:

Records will be indexed and retrieved by name, relocation number and type of transaction.

Safeguards:

Access to computerized records will be restricted to DOJ and contractor relocation management personnel through the use of assigned codes. Paper records will be secured in locked file cabinets.

Retention and disposal:

A detailed records retention plan and disposal schedule is being developed by NARA and DOJ.

System manager(s) and address:

Director, Finance Staff, Office of the Comptroller, Justice Management Division, U.S. Department of Justice, Room 1111, 10th and Constitution Avenue NW., Washington, DC 20530.

Notification procedure:

Direct all inquiries to the system manager identified above. Clearly mark the letter and envelope "Freedom of Information/Privacy Act Request."

Record access procedures: Make all requests for access in writing and clearly mark letter and envelope "Freedom of Information/Privacy Act Request." Clearly indicate name of the requestor, nature of the record sought, approximate date of the record, and provide the required verification of identity (28 CFR 16.41 (d)). Direct all requests to the system manager identified above, and provide a return address for transmitting the information.

Contesting record procedures:

Direct all requests to contest or amend information to the system manager identified above. State clearly and concisely the information being contested, the reason for contesting it, and the proposed amendment to the information sought. Clearly mark the letter and envelop "Freedom of Information/Privacy Act Request."

Record source categories:

The relocating employee will be either the primary source of records in this system or will be actively and directly involved with any information provided by other sources i.e., personnel files, office records, contractor files.

Systems exempted from certain provisions of the act:

None.

JUSTICE/JMD-017

System name:

Department of Justice Controlled Parking Records.

System location:

U.S. Department of Justice, 10th Street and Constitution Avenue NW., Washington, DC 20530.

Categories of individuals covered by the system:

Department of Justice employees who have applied for vehicle parking space which is assigned and controlled by the Department of Justice, per Department of Justice Order 2540.2D, Dec. 20, 1977.

Categories of records in the system:

This system contains copies of Form DOJ-362, Department of Justice Parking Space Application (DOJ Space), and DOJ OT-90, Department of Justice Parking Space Application (DOJ Carpool Space), which have been completed and submitted by Department of Justice employees.

Authority for maintenance of the system:

This system is established and maintained in accordance with 5 U.S.C. 301 and Federal Property Management Regulation 41 CFR 101-20.1. Operating procedures contained in Department of Justice Order 2540.2D, Dec. 20, 1977.

Purpose(s):

Justice Management Division personnel use these records to assign, identify, and control the use of vehicle parking space for which the Department of Justice is responsible.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Release of information to Members of Congress: Information contained in system of records maintained by the Department of Justice, not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and at the request of the individual who is the subject of the record.

Release of information to the National Archives and Records Administration: (NARA) and the General Services Administration (GSA): A record from a system of records may be disclosed as a routine use to NARA and GSA in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

These records are stored in a locked file cabinet, on hard disk, and on floppy disk.

Retrievability:

These records are indexed alphabetically by the last name of the applicant, within the organizational element.

Safeguards:

Records are in a room protected by a cipher lock during non-duty hours. In addition, paper records are kept in a locked filing cabinet; and the computer is key-locked and has password protection. Information is disseminated on a need-to-know basis.

Retention and disposal:

Although these records are currently retained as long as applicants remain as employees of the Department of Justice, inactive records are disposed of in accordance with the General Records Schedule, 41 CFR Part 101-11.

System manager(s) and address:

Assistant Director, Mail, Fleet and Records Management Services, General Services Staff, Office of Personnel and Administration, Justice Management Division, U.S. Department of Justice, 10th Street and Constitution Avenue NW., Washington, DC 20530.

Notification procedure:

Same as System Manager.

Record access procedures:

Same as System Manager.

Contesting record procedures:

Same as System Manager.

Record source categories:

Applications from employees.

Systems exempted from certain provisions of the act:

None.

JUSTICE/JMD-018

System name:

Delegations of Procurement Authority, Justice/JMD-018.

System location:

Office of the Procurement Executive, Department of Justice, Indiana Building, Room 542, 633 Indiana Avenue, NW., Washington, DC 20530.

Categories of individuals covered by the system:

All Department of Justice procurement personnel in the GS/GM 1102 and other series who are actively engaged in the acquisition process and who are or will be designated as contracting officers, or are authorized to obligate the Government contractually.

Categories of records in the system:

Individual delegations of procurement authority files will contain information on the employees grade/series, job title, employing bureau location, education, procurement experience and procurement training, type of delegation, level of signatory authority, effective date of entry into the program and experience code.

Authority for maintenance of the system:

28 U.S.C. 507, 509 and 510; 41 U.S.C. 257; 5 U.S.C. 301; 28 CFR 0.75(d) and 0.75(j); and Executive Order 12352.

Purpose(s):

Individual delegations of procurement authority files will be used to support a newly established Contracting Officer Standards Program which will serve as a basis to establish Department-wide training and experience standards for issuing contracting officer delegations and to ensure the standards are met. In addition, the files will be used by the Procurement Executive to manage and enhance career development of the Department's procurement work force.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

(1) Records or information may be disclosed as a routine use in a proceeding before a court or adjudicative body before which the Department is authorized to appear when any of the following is a party to litigation or has an interest in litigation and such records are determined by the Department to be arguably relevant to the litigation: The Department, or any of the Department's components or its subdivisions; any Department employee in his or her official capacity, or in his or her individual capacity where the Department of Justice agrees to represent the employee; or the United States where the Department determines that the litigation is likely to affect it or any of the Department's components or its subdivisions.

(2) Records or information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

(3) Records or information may be disclosed as is necessary to respond to congressional inquiries on behalf of constituents.

(4) Records may be disclosed to the National Archives and Records Administration and to the General Services Administration in records management inspections conducted under the authority of Title 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Originals of paper records are kept in standard file cabinets. Duplicates of original paper records will be stored electronically in the Department's main frame computer.

Retrievability:

Records are retrieved by name of employee.

Safeguards:

Paper records are stored in metal filing cabinets and electronic records are stored on the Department's main frame computer. Access to the Indiana Building is protected by 24-hour guard service and is restricted to employees with official identification. Access to records is restricted to authorized personnel with official and electronic identification.

Retention and disposal:

Files are maintained until the employee leaves the Department at which time paper records are destroyed and electronic records erased.

System manager(s) and address:

The system manager is the Procurement Executive, Justice Management Division, Department of Justice, Indiana Building, Room 542, 633 Indiana Avenue, NW., Washington, D.C. 20530.

Notification procedure:

Direct inquiries to the system manager identified above, Attention: FOI/PA Officer. Clearly mark the letter and envelope "Freedom of Information/Privacy Act Request."

Record access procedures:

Make all requests for access in writing and clearly mark the letter and envelope "Freedom of Information/Privacy Act Request." Clearly indicate the name of the requester, nature of the record sought, approximate date(s) of the record(s); and, provide the required verification of identity (28 CFR 16.41(d)). Direct all requests to the system manager identified above, attention FOI/PA Officer; and, provide a return address for transmitting the information.

Contesting record procedures:

Direct all requests to contest or amend information to the system manager listed above. State clearly and concisely the information being contested, the reasons for contesting it, and the proposed amendment to the information sought. Clearly mark the letter and envelope "Freedom of Information/Privacy Act Request."

Record source categories:

Information contained in the system is collected from the individual, training personnel, and general personnel records.

Systems exempted from certain provisions of the act:

None.

JUSTICE/JMD-019

System name:

Freedom of Information Act-Privacy Act (FOIA-PA) Records System.

System location:

U.S. Department of Justice, Justice Management Division, 10th and Constitution Avenue NW., Washington, DC 20530.

Categories of individuals covered by the system:

Persons who have made a request to access any Justice Management Division (JMD) record relating to JMD functional responsibilities and activities; individuals who have made a request to access or correct records pertaining to themselves which they believed to be in JMD systems of records; and persons who, on behalf of another individual, have made a request to access or correct that individual's records which they believed to be in JMD systems of records. Such requests were made pursuant to the Freedom of Information Act, the Privacy Act, or both.

Categories of records in the system:

Manual records contain Freedom of Information Act and Privacy Act requests for JMD records, responses thereto, and where applicable, a copy of the records requested and any other correspondance or internal memoranda related to the processing of these requests. Automated records (stored on disks) contain summary data such as the date of request, name of requester, addressee, subject of request, date request was received, JMD staff to which request were assigned, date request was assigned, date response was due, control number, and date of response.

Authority for maintenance of the system:

This system is established and maintained pursuant to 44 U.S.C. 3101 and is maintained to implement the provision of 5 U.S.C. 552 and 552a and the provision of 28 CFR 16.1 et. seq, and 28 CFR 16.40 et seq.

Purpose(s):

To assist the Justice Management Division in carrying out its responsibilities under the Freedom of Information Act and the Privacy Act.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

A record maintained in the system may be disseminated as a a routine use of such record as follows: (1) A record may be disseminated to a Federal agency which furnished the record for the purpose of permitting a decision as to access or correction to be made by that agency, or for the purpose of consulting with that agency as to the propriety of access or correction; (2) a record may be disseminated to any appropriate federal, state, local, or foreign agency for the purpose of verifying the accuracy of information submitted by an individual who has requested amendment or correction of records, contained in a system of records maintained by the Justice Management Division.

Release of information to the news media:

Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available from systems or records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Release of information to members of congress:

Information contained in systems of records maintained by the Department of Justice, nor otherwise required to be released pursuant to 5 U.S.C. 552, may be made availalbe to a Member of Congress or staff acting upon the Members' behalf when the Member or staff requests the information on behalf of and at the request of the indivdual who is the subject of the record.

Release of information to the National Archives and Records Administration (NARA) and the General Service Administration (GSA):

A record from a system of records may be disclosed as a routine use to NARA and GSA in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Manual requests records are stored in locked safes. Automated requests records are stored on disks.

Retrievability:

Requests records are filed and retrieved under the names of those persons and individuals identified under the caption "Categories of individuals covered by the system. These records are retrieved by Department personnel to perform their duties, e.g., when subsequent requests are made by the public for copies of their previous requests and responses thereto, or when the requester submits a supplemental request to information clarifying a previous request.

Safeguards:

Access to requests records is limited to Department of Justice personnel who have need for the records to perform their duties. Request files (manual records) are stored in locked safes. All records are stored in an office which is occupied during the day and locked at night.

Retention and disposal:

Records are disposed of in accordance with items 16 through 18 and 25 through 28 of General Records Schedule 14.

System manager(s) and address:

Assistant Attorney General for Administration, U.S. Department of Justice, 10th and Constitution Avenue, NW., Washington, DC. 20530.

Notification procedure:

Same as the System Manager.

Record access procedures:

A request to access a record in this system shall be made in writing to the system manager named above with the envelope and letter clearly marked "Freedom of Information Act request" or "Privacy Act request." The requester shall include the full name of the person who made a request, date of that request, name of official to whom the request was addressed, and subject of the request. Where applicable (Title 28 of the Code of Federal Regulations section 16.41(b) (2) and (3)), the requester shall also include the current address, date and place of birth, and notarized signature of the individual requesting a copy of his/her previous request and response thereto. Where applicable (Title 5 of the United States Code, section 552a(b)), the requester shall also include a written statement authorizing the Department to release these records to a third party. In addition, the requester shall provide his return address.

Contesting record procedures:

Individuals desiring to contest or amend information maintained in the system should direct their request to the system manager listed above, stating clearly and concisely what information is being contested, the reasons for contesting it, and the proposed amendment to the information sought.

Record source categories:

The sources of information contained in this system are the individuals and persons making requests, the systems of records searched in the process of responding to requests, and other agencies referring requests for access to or correction of records originating in the Justice Management Division.

Systems exempted from certain provisions of the act:

The Attorney General has exempted certain categories of records in this system from subsections (c)(3) and (d) of the Privacy Act pursuant to 5 U.S.C. 552a(k)(2). That is, the exemptions apply only to the extent that other correspondence or internal memoranda retained with the request file contain investigatory material for law enforcement purposes. Rules have been promulgated in accordance with the requirements of 5 U.S.C. 553 (b), (c) and (e) and have been published in the FEDERAL REGISTER.

JUSTICE/JMD-020

System name:

Freedom of Information Act/Privacy Act (FOIA/PA) Request Letters.

System location:

FOIA/PA referral unit, Mail, Fleet and Records Management Services, General Services Staff, Justice Management Division, Department of Justice (DOJ), Washington, D.C. 20530

Categories of individuals covered by the system:

Persons making FOIA/PA requests to the Department. (The names of persons making requests directly to the Board of Immigration Appeals (BIA), individual United States Attorneys' Offices, or a Department bureau, i.e., the Bureau of Prisons, the Drug Enforcement Administration, the Federal Bureau of Investigation, the Office of Justice Assistance, Research and Statistics, and the Immigration and Naturalization Service, will not usually be in this system, except in those rare instances where these organizations may forward a request to the Department for appropriate referral.)

Categories of records in the system:

Paper documents consist of written FOIA/PA requests for Department records not addressed to a specific DOJ component and therefore forwarded to the unit for assignment and referral; forms indicating the DOJ components to which requests have been referred; acknowledgement/referral advisory letters to requesters; and other related correspondence, e.g., letters to requesters seeking additional information and the responses thereto. (This system contains no replies which grant or deny access to records, nor any other records relating to the individual other than as stated here.)

Authority for maintenance of the system:

44 U.S.C. 3101; 5 U.S.C. 552 and 552a; 28 CFR 16.1-.10; and 28 CFR 16.40-.57.

Purpose(s):

To assist the Department in carrying out its responsibilities under the Freedom of Information Act and the Privacy Act.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records are not disseminated outside the Department except as indicated below. They are accessed only by Department personnel with a need to know, i.e., requests are referred by the FOIA/PA referral unit to the appropriate Department component(s) to respond, or to the Civil Division and/or United States Attorney to prepare the Department's defense in FOIA/PA litigation.

Release of information to the news media:

Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Release of Information to Members of Congress:

Information in this system may be disclosed as is necessary to appropriately respond to Congressional inquiries on behalf of constitutents.

Release of Information to the National Archives and Records Administration (NARA) and the General Services Administration (GSA):

A record may be disclosed as a routine use to NARA and GSA in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are stored in paper folders in filing cabinets.

Retrievability:

A record is retrieved by name of the individual making the request.

Safeguards:

Records are stored in file cabinets in an office which is occupied during the day and locked at night.

Retention and disposal:

Records are retained in the FOIA/PA mail referral section for approximately one year. Records are then transferred to the Federal Records Center for storage in accordance with the General Services Administration's General Records Schedule 14, item 18(a) which provides for a disposal date of five years from the date of the most recent request being stored.

System manager(s) and address:

Assistant Director, Mail, Fleet and Records Management Services, General Services Staff, Justice Management Division, Washington, D.C. 20530.

Notification procedure:

Inquiries as to whether the system contains a record of a request from an individual should be addressed to the Assistant Director, Mail, Fleet and Records Management Services, General Services Staff (GSS), Justice Management Division, Department of Justice, Room 7317, 10th and Constitution Avenue, NW., Washington, D.C. 20530. To enable the GSS to identify whether the system contains a request from the individual, the individual must provide the name of the person who made the request, the date of the request, and, if appropriate, the date of the Assistant Director's letter to the requester acknowledging receipt and referral of the request.

Record access procedures:

Persons desiring to access a record shall submit a request in writing to the Assistant Director at the address indicated under "Notification Procedure" above.

Contesting record procedures:

Same as above.

Record source categories:

Request from individuals for DOJ records under the Freedom of Information and Privacy Acts.

Systems exempted from certain provisions of the act:

None.

LAND AND NATURAL RESOURCES DIVISION

JUSTICE/LDN - 001

System name: Appraisers File.

System location: U.S. Department of Justice; 10th and Constitution Avenue, NW; Washington, D.C. 20530.

Categories of individuals covered by the system: Appraisers who have indicated their availability for appraisal of real property proposed to be acquired by the United States.

Categories of records in the system: Alphabetized list, alphabetized index cards, and associated papers including application and information relating to qualifications.

Authority for maintenance of the system: The system is established and maintained as an incident of such of the statutory authority of the Attorney General relating to the conduct of litigation as he has delegated to the Land and Natural Resources Division (28 U.S.C. 509 and 510, and 28 CFR Subpart M), particularly the authority to conduct proceedings for condemnation of property (see 40 U.S.C. 257 et seq.).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The records are utilized in compiling a list of individual appraisers, with their qualifications, who have indicated their availability for appraisal of real property proposed to be acquired by the United States, for use by Federal agencies and the Department of Justice for acquisitions involving or which may finally involve exercise of the power of eminent domain.

Release of information to the news media: Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available from systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Release of information to Members of Congress. Information contained in systems of records maintained by the Department of Justice, not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and at the request of the individual who is the subject of the record.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Release of information to the National Archives and Records Administration: A record from a system of records may be disclosed as a routine use to the National Archives and Records Administration (NARA) in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Information is maintained in form received.

Retrievability: Information is retrieved by alphabetized name of the subject.

Safeguards: Information contained in the system is unclassified. It is safeguarded in accordance with Departmental rules and procedures governing Justice records.

Retention and disposal: Records are retained during their useful life and are subject to destruction 15 years after the pertinent subject has ceased to be in an active status.

System manager(s) and address: Chief, Administrative Section; Land and Natural Resources Division; U.S. Department of Justice; 10th and Constitution Avenue, NW; Washington, D.C. 20530.

Notification procedure: Address inquiries to the: Assistant Attorney General; Land and Natural Resources Division; U.S. Department of Justice; 10th and Constitution Avenue, NW; Washington, D. C. 20530.

Record access procedures: A request for access to a record from this system shall be made in writing, with the envelope and the letter clearly marked 'Privacy Access Request', and the system and record sufficiently described in the letter for identification.

Contesting record procedures: Individuals desiring to contest or amend information maintained in the system should direct their request to the System Manager listed above, stating clearly and concisely what information is being contested, the reasons for contesting it, and the proposed amendment to the information sought.

Record source categories: Sources of information contained in this system are principally the applicant and his references, which sources may be supplemented by others having knowledge of the applicant's professional qualifications.

Systems exempted from certain provisions of the act: None.

JUSTICE/LDN - 002

System name: Congressional Correspondence File.

System location: U.S. Department of Justice; 10th and Constitution Avenue, NW; Washington, D. C. 20530.

Categories of individuals covered by the system: Senators and Congressmen

Categories of records in the system: This file contains the correspondence had by the Land and Natural Resources Division with Members of the Congress.

Authority for maintenance of the system: This file is maintained pursuant to requirements for maintenance of records by Federal agencies (see 44 U.S.C. 3101 et seq.).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: This file is routinely consulted by personnel of the Land and Natural Resources Division to determine past actions on specific matters and to expedite any additional action as to which there is correspondence with a Member of the Senate or House of Representatives.

Release of information to the news media: Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available from systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Release of information to Members of Congress. Information contained in systems of records maintained by the Department of Justice, not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and at the request of the individual who is the subject of the record.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Release of information to the National Archives and Records Administration: A record from a system of records may be disclosed as a routine use to the National Archives and Records Administration (NARA) in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Information is maintained in form received.

Retrievability: Information is retrieved by alphabetized name of the subject.

Safeguards: Information contained in the system is unclassified. It is safeguarded in accordance with Departmental rules and procedures governing Justice records.

Retention and disposal: Records are retained during their useful life and are subject to destruction 15 years after the pertinent subject has ceased to be in an active status.

System manager(s) and address: Chief, Administrative Section; Land and Natural Resources Division; U. S. Department of Justice; 10th and Constitution Avenue, NW; Washington, D. C. 20530.

Notification procedure: Address inquiries to the: Assistant Attorney General; Land and Natural Resources Division; U. S. Department of Justice; 10th and Constitution Avenue, NW; Washington, D. C. 20530.

Record access procedures: A request for access to a record from this system shall be made in writing, with the envelope and the letter clearly marked 'Privacy Access Request', and the system and record sufficiently described in the letter for identification.

Contesting record procedures: Individuals desiring to contest or amend information maintained in the system should direct their request to the System Manager listed above, stating clearly and concisely what information is being contested, the reasons for contesting it, and the proposed amendment to the information sought.

Record source categories: The sole sources of the information in this system are the Senators or Congressmen with whom the correspondence is conducted.

Systems exempted from certain provisions of the act: None.

JUSTICE/LDN-003

System name:

Lands Docket Tracking System.

System location:

U.S. Department of Justice, 10th and Constitution Avenue, NW., Washington, D.C. 20530.

Categories of individuals covered by the system:

The individuals on whom records are maintained in the Lands Docket Tracking System are as follows:

1 Those individuals who have been charged with civil or criminal violations or whose names may appear in the case name or subject name of a matter coming to the attention of the Land and Natural Resources Division for possible litigation including those individuals or corporations which have sued the United States;

2. Those individuals who are currently under investigation for civil or criminal violations; and

3. Those individuals who are a direct party to a case or matter.

Categories of records in the system:

The data in the Lands Docket and Tracking System fall into the following major categories:

1. Information about the Department of Justice (DOJ) case. Administrative information dealing with the case or matter including the DOJ file number, client agency, court of origin, opposing party, title, section, and associated data.

2. Information about the calendar. Includes key dates in tracking the docket of the case or matter.

3. Information about events concerning the case or matter. Tracks all activities related to the DOJ number including correspondence and court events.

4. Information about party. Includes the name of the individual, the type of party this individual is in relation to the case or matter, and the state of the party.

5. Information by tract. Only included with cases dealing with Land Acquisition. This record includes tract finances, participants, owners, events, court, estate type, and payees.

6. Information about the court. Includes the criminal/civil action number, court, and the judicial officer.

7. Information on status. Includes actions, dates, and reasons which affect the status of a case or matter.

8. Information on appellate action. Includes items relating to appellate actions taken relative to the case.

Authority for maintenance of the system:

The system is established and maintained as an incident of such of the statutory authority of the Attorney General relating to the conduct of litigation as he has delegated to the Land and Natural Resources Division. (5 U.S.C. 301)

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records are used by personnel of the Division as an aid in determining the existence in the Division of a matter relating to the named case or subject, and to facilitate appraisal of the status of the pertinent matter for the purpose of taking timely appropriate action relating thereto.

Reports are continually produced to monitor the progress of the caseload and the utilization of Division resources.

RELEASE OF INFORMATION TO THE NEWS MEDIA:

Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available from systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

RELEASE OF INFORMATION TO MEMBERS OF CONGRESS:

Information contained in systems of records maintained by the Department of Justice, not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and at the request of the individual who is the subject of the record.

Release of Information to the National Archives and Records Administration (NARA) and the General Services Administration (GSA):

A record from a system of records may be disclosed as a routine use to the NARA and GSA in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

These records are stored on magnetic tapes and discs at the Justice Management Division Data Center. Printouts from the terminals and from the Data Center which include status and statistical reports are stored in locked files and offices of Division management.

Retrievability:

Information is retrieved on data display terminals which are located in various work stations throughout the Division. Identifiers used in retrieval operations include party name, court, date, status, section, case type, and assigned attorney.

Safeguards:

The magnetic tapes and discs are located in the Justice Data Center which maintains controlled access to the building and additional controlled access to the computer installation. The data display terminals are located within secured DOJ work areas, and operators can only access information through the utilization of passwords and special identification numbers.

Retention and disposal:

The records are retained within the system during their useful life after which they will be off-loaded onto magnetic tape, stored in a secured vault, leaving a skeletal trail in the on-line data base.

System manager(s) and address:

Chief, Systems Group; Land and Natural Resources Division, U.S. Department of Justice, 10th and Constitution Avenue NW., Washington, DC 20530.

Notification procedure:

Address inquiries to the Assistant Attorney General, Land and Natural Resources Division, U.S. Department of Justice, 10th and Constitution Avenue NW., Washington, DC 20530.

Record access procedures:

A request for access to a record from this system shall be made in writing, with the envelope and the letter clearly marked 'Privacy Access Request', and the system and record sufficiently described in the letter for identification.

Contesting record procedures:

Individuals desiring to contest or amend information maintained in the system should direct their request to the System Manager listed above, stating clearly and concisely what information is being contested, the reasons for contesting it, and the proposed amendment to the information sought.

Record source categories:

Sources of information contained in this system are the correspondence, pleadings, and other indices of developments regarding the pertinent case or subject, from wheresoever received.

Systems exempted from certain provisions of the act:

best copy available

The Attorney General has exempted this system from subsections (c)(3) and (d) of the Privacy Act pursuant to 5 U.S.C. 552a(k)(2). Rules have been promulgated in accordance with the requirements of 5 U.S.C. 553 (b), (c) and (e) and have been published in the FEDERAL REGISTER.

JUSTICE/LDN - 004

System name: Title Abstractors, Attorneys and Insurance Corporations File.

System location: U.S. Department of Justice; 10th and Constitution Avenue, NW; Washington, D. C. 20530.

Categories of individuals covered by the system: Abstractors, Attorneys and Insurance Corporations requesting approval for preparation of title evidence in land acquisitions by the United States.

Categories of records in the system: Alphabetized list, alphabetized index cards, and associated papers including application and information relating to qualifications.

Authority for maintenance of the system: The system is established and maintained, as an incident to carrying out the statutory requirement (R.S. 355; 40 U.S.C. 255) that the Attorney General pass on title to land acquired by the United States or delegate such responsibility in accordance with regulations promulgated by him (see 28 CFR 0.66).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: These records are utilized in compiling a list of those abstractors, attorneys and insurance corporations which are approved, for advising agencies of the United States as to the fact of such approval and consequent eligibility for preparation of title evidence.

Release of information to the news media: Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available from systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Release of information to Members of Congress. Information contained in systems of records maintained by the Department of Justice, not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and at the request of the individual who is the subject of the record.

A record from a system of records may be disclosed as a routine use to the National Archives and Records Administration (NARA) in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Information is maintained in form received.

Retrievability: Information is retrieved by alphabetized name of the subject.

Safeguards: Information contained in the system is unclassified. It is safeguarded in accordance with Departmental rules and procedures governing Justice records.

Retention and disposal: Records are retained during their useful life and are subject to destruction 15 years after the pertinent subject has ceased to be in an active status.

System manager(s) and address: Chief, Administrative Section; Land and Natural Resources Division; U.S. Department of Justice; 10th and Constitution Avenue, NW; Washington, D. C. 20530.

Notification procedure: Address inquiries to the: Assistant Attorney General; Land and Natural Resources Division; U. S. Department of Justice; 10th and Constitution Avenue, NW; Washington, D. C. 20530.

Record access procedures: A request for access to a record from this system shall be made in writing, with the envelope and the letter clearly marked 'Privacy Access Request', and the system and record sufficiently described in the letter for identification.

Contesting record procedures: Individuals desiring to contest or amend information maintained in the system should direct their request to the System Manager listed above, stating clearly and concisely what information is being contested, the reasons for contesting it, and the proposed amendment to the information sought.

Record source categories: Sources of information contained in this system are the Abstractors, Attorneys and Insurance Corporations involved and the United States Attorneys for the districts in which they principally do business, with the latter supplementing his personal knowledge with information from local banks, clients and other sources having knowledge reflecting on the professional qualifications of the subject involved.

Systems exempted from certain provisions of the act: None.

JUSTICE/LDN–005

System name:

Freedom of Information Act and Privacy Act Records System.

System location:

U.S. Department of Justice; 10th and Constitution Avenue, NW; Washington, D.C. 20530.

Categories of individuals covered by the system:

All persons who request, under the Freedom of Information and Privacy Acts, access to or copies of records maintained by the Land and Natural Resources Division.

Categories of records in the system:

This system contains, in alphabetical order, requests, under the Freedom of Information and Privacy Acts, for access to Division records, responses thereto and related materials.

Authority for maintenance of the system:

5 U.S.C. 552.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The system is used: (a) To maintain records concerning the processing and determination of requests for information made pursuant to the Freedom of Information Act and the Privacy Act; (b) to provide documentation of receipt and processing of requests for information made pursuant to the Freedom of Information Act and the Privacy Act if needed for processing contested denials of release of data; (c) to furnish information to employees of the Department of Justice who have a need for information from the system in performance of their duties; (d) to maintain a count of requests and method of compliance as required by the Freedom of Information Act and the Privacy Act.

Release of information to the news media:

Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available from systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Release of information to Members of Congress:

Information contained in systems of records maintained by the Department of Justice, not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and at the request of the individual who is the subject of the record.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Release of information to the National Archives and Records Administration: A record from a system of records may be disclosed as a routine use to the National Archives and Records Administration (NARA) in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Information is maintained in form received.

Retrievability:

Information is retrieved by alphabetized name of the subject.

Safeguards:

Information contained in the system is unclassified. It is safeguarded in accordance with Departmental rule, and procedures governing Justice records.

Retention and disposal:

Records are retained during their useful life and are subject to destruction 15 years after the pertinent subject has ceased to be in an active status.

System manager(s) and address:

Division Control Officer; Land and Natural Resources Division; U.S. Department of Justice; 10th and Constitution Avenue, NW; Washington, D.C. 20530.

Notification procedure:

Address inquiries to the: Assistant Attorney General; Land and Natural Resources Division; U.S. Department of Justice; 10th and Constitution Avenue, NW; Washington, D.C. 20530.

Record access procedures:

A request for access to a record from this system shall be made in writing, with the envelope and the letter clearly marked "Privacy Access Request" and the system and record sufficiently described in the letter for identification.

Contesting record procedures:

Individuals desiring to contest or amend information maintained in the system should direct their request to the System Manager listed above, stating clearly and concisely what information is being contested, the reasons for contesting it, and the proposed amendment to the information sought.

Record source categories:

Source of information contained in this system is the applicant for information.

Systems exempted from certain provisions of the act:

Records secured from other Land and Natural Resources Division systems of records have been exempted from the provisions of the Privacy Act to the same extent as the systems of records from which they were obtained. The Attorney General has also exempted certain categories of records in this system from subsection (c) (3) and (d) of the Privacy Act pursuant to 5 U.S.C. 552a(k)(2). Rules have been promulgated in accordance with the requirements of 5 U.S.C. 553(b), (c) and (e) and have been published in the FEDERAL REGISTER.

JUSTICE/LDN-006

System name: Citizens' Mail File.

System location: U.S. Department of Justice; 10th and Constitution Avenue, NW; Washington, D.C. 20530.

Categories of individuals covered by the system: All private persons whose correspondence is directly or indirectly routed to the Land and Natural Resources Division for action or response.

Categories of records in the system: Alphabetized file, by last name of correspondent, containing his/her correspondence and any reply thereto; annual docket which identifies all mail received and disposition thereof.

Authority for maintenance of the system: This file is maintained pursuant to requirements for maintenance of records by Federal agencies (see 44 U.S.C. 3101 et seq.).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: This file is routinely consulted by personnel of the Land and Natural Resources Division to determine past action on specific matters and to expedite action on additional correspondence received from the individual file subject.

Release of information to the news media: Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available from systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Release of information to Members of Congress: Information contained in systems of records maintained by the Department of Justice, not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and at the request of the individual who is the subject of the record.

Release of information to the National Archives and Records Administration: A record from a system of records may be disclosed as a routine use of the National Archives and Records Administration (NARA) in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Information is stored in file folders in form received, or in photostatic copies if additional referral for response has become necessary.

Retrievability: Information is retrieved by alphabetized name of the subject.

Safeguards: Information contained in the system is unclassified. It is safeguarded in accordance with Departmental rules and procedures governing Justice records.

Retention and disposal: Records are retained in the alphabetical file for a year. At the end of that time, they are transferred to the File Unit, Land and Natural Resources Division, where they are segregated and refiled according to Department of Justice file number and date. Records are subject to destruction 15 years after the pertinent subject has ceased to be in an active status.

System manager(s) and address: Division Control Officer; Land and Natural Resources Division; U.S. Department of Justice; P.O. Box 7415; Washington, D.C. 20044.

Notification procedure: Address inquiries to the Assistant Attorney General; Land and Natural Resources Division; U.S. Department of Justice; P.O. Box 7415; Washington, D.C. 20044.

Record access procedures: A request for access to a record from this system shall be made in writing to the system manager with the envelope and the letter clearly marked "Privacy Access Request." The request shall identify the system and sufficiently describe the record sought.

Contesting record procedures: Individuals desiring to contest or amend information maintained in the system should direct their request to the System Manager listed above, stating clearly and concisely what information is being contested, the reasons for contesting it, and the proposed amendment to the information sought.

Record source categories: Sources of information contained in this system are the individual subjects with whom correspondence is conducted, and in appropriate cases, those agencies furnishing information to assist in responding to the subjects.

Systems exempted from certain provisions of the act: None.

OFFICE OF THE ATTORNEY GENERAL

JUSTICE/OAG-001

System name:

General Files System of the Office of the Attorney General.

System location:

Office of the Attorney General, United States Department of Justice, 10th and Constitution Avenue NW, Washington, DC 20530.

Categories of individuals covered by the system:

The system encompasses individuals who relate to official Federal investigations, policy decisions, and administrative matters of such significance that the Attorney General maintains information indexed to the name of that individual including, but not limited to, subjects of litigation, targets of investigations, Members and staff members of Congress, upper-echleon government officials, and individuals of national prominence or notoriety.

Categories of records in the system:

Records may include case files, litigation materials, exhibits, internal memoranda or reports, or other records on a given subject or individual. Records vary in number and kind according to the breadth of the Attorney General's responsibilities (28 CFR 0.5) and are limited to those which are of such significance that the Attorney General has investigative, policy, law enforcement, or administrative interest. An index to these records is described under the caption "Retrievability."

Authority for maintenance of the system:

These records are maintained pursuant to 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records may be disclosed to the news media and the public pursuant to 28 CFR 50.2 unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of privacy.

These records may be disclosed to a Member of Congress or staff acting on the Member's behalf when the Member or staff requests the information for investigative or policy decisionmaking purposes or to provide constituent assistance.

These records may be disclosed to members of the judicial branch of the Federal Government in response to a specific request where disclosure appears relevant to the authorized function of the recipient judicial office or court system.

These records may be disclosed to any civil or criminal law enforcement authorities, whether Federal, State, local or foreign, which require information relevant to a civil or criminal investigation.

These records may be disclosed to the National Archives and Records Administration (NARA) in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

These records may be disclosed to officials and employees of the White House or any Federal agency which requires information relevant to an agency decision concerning the hiring, appointment, or retention of an employee, the issuance of a security clearance, the conducting of a security or suitability investigation, the classifying of a job, or the issuance of a grant or benefit.

These records may be disclosed to Federal, State, and local licensing agencies or associations which require information concerning the eligibility or suitability of an individual for a license or permit.

These records may be disclosed in a proceeding before a court or adjudicative body before which the Office of the Attorney General is authorized to appear when (a) the Office of the Attorney General, or any subdivision thereof, or (b) any employee of the Office of the Attorney General in his or her official capacity, or (c) any employee of the Office of the Attorney General in his or her individual capacity where the Department of Justice has agreed to represent the employee, or (d) the United States, where the Office of the Attorney General determines that the litigation is likely to affect it or any of its subdivisions, is a party to litigation or has an interest in litigation and such records are determined by the Office of the Attorney General to be arguably relevant to the litigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are stored in paper folders and on index cards. As of May 1982, the index record is also stored on magnetic disks.

Retrievability:

Records created before 1975 are indexed and retrieved manually by subject title. Records created since 1975 are indexed and retrieved manually by subject title, individual's name, the Department component which created the record, and by name of the Attorney General under whose administration the records were created. As of May 1982 records may also be retrieved through a computerized indexing system.

Safeguards:

Records are maintained in locked cabinets stored in a locked room or, in the case of those records that are classified, in safes or vaults stored in a locked room. The computer is also maintained in a locked room. The computer has a key lock and may be accessed only by persons with a Top Secret clearance by use of a code.

Retention and disposal:

Records are kept indefinitely.

System manager(s) and address:

Special Assistant to the Attorney General, Office of the Attorney General, United States Department of Justice, 10th and Constitution Avenue NW, Washington, D.C. 20530.

Notification procedure:

Address all inquiries to the system manager. These records will be exempted from subsections (c) (3) and (4); (d); (e) (1), (2) and (3), (e)(4) (G) and (H), (e)(5); and (g) of the Privacy Act pursuant to 5 U.S.C. 552a(j)(2), (k)(1), (k)(2), and (k)(5).

Record access procedures:

Make all requests for access to records from this system in writing to the system manager and clearly mark both the letter and the envelope "Privacy Act Request."

Contesting record procedures:

Make all requests to contest or amend information maintained in the system in writing to the system manager. State clearly and concisely what information is being contested, the reasons for contesting it, and the proposed amendment(s) to the information.

Record source categories:

Sources of information contained in this system include individuals, State, local and foreign government agencies as appropriate, the executive and legislative branches of the Federal Government, and interested third parties.

Systems exempted from certain provisions of the act:

The Attorney General has exempted this system from subsections (c) (3) and (4); (d); (e) (1), (2), and (3), (e)(4) (G) and (H), (e)(5); and (g) of the Privacy Act pursuant to 5 U.S.C. 552a(j)(2), (k)(1), (k)(2), and (k)(5). Rules have been promulgated in accordance with the requirements of 5 U.S.C. 553(b), (c) and (e) and have been published in the FEDERAL REGISTER. These exemptions apply only to the extent that information in a record pertaining to a particular individual relates to official Federal investigations and law enforcement matters. Those files indexed under an individual's name which concern policy formulation or administrative matters are not being exempted pursuant to 5 U.S.C. 552a(j)(2), (k)(1), (k)(2) or (k)(5).

OFFICE OF THE ASSOCIATE ATTORNEY GENERAL

JUSTICE/AAG-001

System name:

General Files System of the Office of the Associate Attorney General.

System location:

Office of the Associate Attorney General, United States Department of Justice, 10th and Constitution Avenue, NW, Washington, D.C. 20530.

Categories of individuals covered by the system:

The system encompasses individuals who relate to official federal investigations, policy decisions and administrative matters of such significance that the Associate Attorney General maintains information indexed to the name of that individual including, but not limited to, subjects of litigation, targets of investigations, Members and staff members of Congress, upper-echelon government officials, and individuals of national prominence or notoriety.

Categories of records in the system:

Records may include case files, litigation materials, exhibits, internal memoranda and reports, or other records on a given subject or individual. Records vary in number and kind according to the breadth of the Associate Attorney General's responsibilities (28 CFR 0.10) and are limited to those which are of such significance that the Associate Attorney General has investigative, policy, law enforcement, or administrative interest. An index record containing the subject title and/or individual's name is also maintained in the form of a paper logging system.

Authority for maintenance of the system:

These records are maintained pursuant to 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records may be disclosed to the news media and the public pursuant to 28 CFR 50.2 unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of privacy.

These records may be disclosed to a Member of Congress or staff acting on the Member's behalf when the Member or staff requests the informaton for investigative or policymaking purposes or to provide constituent assistance.

These records may be disclosed to members of the judicial branch of the Federal Government in response to a specific request where disclosure appears relevant to the authorized function of the recipient judicial office or court system.

These records may be disclosed to any civil or criminal law enforcement authorities, whether Federal, State, local, or foreign, which requires information relevant to a civil or criminal investigation.

These records may be disclosed to the National Archives and Records Administration (NARA) in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

These records may be disclosed to officials and employees of the White House or any Federal agency which requires information relevant to an agency decision concerning the hiring, appointment, or retention of an employee, the issuance of a security clearance, the conducting of a security or suitability investigation, the classifying of a job, or the issuance of a grant or benefit.

These records may be disclosed to Federal, State, and local licensing agencies or associations which require information concerning the eligibility or suitability of an individual for a license or permit.

These records may be disclosed in a proceeding before a court or adjudicative body before which the Office of the Associate Attorney General, is authorized to appear when (a) the Office of the Associate Attorney General, or any subdivision thereof, or (b) any employee of the Office of the Associate Attorney General in his or her official capacity, or (c) any employee of the Office of the Associate Attorney General in his or her individual capacity where the Department of Justice has agreed to represent the employee, or (d) the United States, where the Office of the Associate Attorney General determines that litigation is likely to affect it or any of its subdivisions, is a party to litigation or has an interest in litigation and such records are determined by the Office of the Associate Attorney General to be arguably relevant to the litigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are stored in paper folders. An index record containing the subject title and/or individual's name is also maintained in the form of a paper logging system.

Retrievability:

By subject title or individual's name.

Safeguards:

Records are maintained in locked cabinets stored in a locked room or, in the case of those records that are classified, in safes or vaults stored in a locked room.

Retention and disposal:

Records are kept indefinitely.

System manager(s) and address:

Deputy Associate Attorney General, Office of the Associate Attorney General, United States Department of Justice, 10th and Constitution Avenue, NW, Washington, D.C. 20530.

Notification procedure:

Address all inquiries to the system manager. These records will be exempted from subsections (c)(3) and (4); (d); (e)(1), (2) and (3), (e)(4)(G) and (H), (e)(5); and (g) of the Privacy Act pursuant to 5 U.S.C. 552a(j)(2), (k)(1), (k)(2), and (k)(5).

Record access procedures:

Make requests for access to records from this system in writing to the system manager, and clearly mark both the letter and envelope "Privacy Act Request."

Contesting record procedures:

Make all requests to contest or amend information maintained in the system in writing to the system manager. State clearly and concisely what information is being contested, the reasons for contesting it, and the proposed amendment(s) to the information.

Record source categories:

Source of information contained in this system include individuals, State, local and foreign government agencies as appropriate, the executive and legislative branches of the Federal Government, and interested third parties.

Systems exempted from certain provisions of the act:

The Attorney General has exempted this system from subsections (c)(3) and (4); (d); (e)(1), (2) and (3), (e)(4)(G) and (H), (e)(5); and (g) of the Privacy Act pursuant to 5 U.S.C. 522a(j)(2), (k)(1), (k)(2), and (k)(5). Rules have been promulgated in accordance with the requirements of 5 U.S.C. 553(b), (c) and (e) and have been published in the Federal Register. These exemptions apply only to the extent that information in a record pertaining to a particular individual relates to official Federal investigations and law enforcement matters. Those files indexed under an individual's name which concern policy formulation or administrative matters are not being exempted pursuant to 5 U.S.C. 522a(j)(2), (k)(1), (k)(2), or (k)(5).

JUSTICE/AAG-002

System name:

Drug Enforcement Task Force Evaluation and Reporting System of the Office of the Associate Attorney General.

System location:

Office of the Associate Attorney General, United States Department of Justice, 10th and Constitution Avenue, NW, Washington, D.C. 20530.

Categories of individuals covered by the system:

The system encompasses individuals who are the subjects of official Federal investigations of the drug task force.

Categories of records in the system:

Records consist of case initiation and indictment records, and monthly reporting and sentencing forms regarding potential or actual targets of investigation of the drug task force.

Authority for maintenance of the system:

These records are maintained pursuant to 5 U.S.C. 301 and 21 U.S.C. 841.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records may be disclosed to the news media and the public pursuant to 28 CFR 50.2 unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of privacy.

These records may be disclosed to a Member of Congress or staff acting on the Member's behalf when the Member or staff requests the information for investigative or policymaking purposes or to provide constituent assistance.

These records may be disclosed to members of the judicial branch of the Federal Government in response to a specific request where disclosure appears relevant to the authorized function of the recipient judicial office or court system.

These records may be disclosed to any civil or criminal law enforcement authorities, whether Federal, State, local, or foreign, which require information relevant to a civil or criminal investigation.

These records may be disclosed to the National Archives and Records Administration (NARA) in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

These records may be disclosed to Federal, State, and local licensing agencies or associations which require information concerning the eligibility or suitability of an individual for a license or permit.

These records may be disclosed in a proceeding before a court or adjudicative body before which the Office of the Associate Attorney General is authorized to appear when (a) the Office of the Associate Attorney General, or any subdivision thereof, or (b) any employee of the Office of the Associate Attorney General in his or her official capacity, or (c) any employee of the Office of the Associate Attorney General in his or her individual capacity where the Department of Justice has agreed to represent the employee, or (d) the United States, where the Office of the Associate Attorney General determines that litigation is likely to affect it or any of its subdivisions, is a party to litigation or has an interest in litigation and such records are determined by the Office of the Associate Attorney General to be arguably relevant to the litigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

All records are stored in paper folders. All records, with the exception of indictment forms, are stored also on magnetic disks.

Retrievability:

Records are generally retrieved by case number. Records may be retrieved by individual name or name of criminal organization.

Safeguards:

Paper folders are stored in a combination safe which is inside a locked room. This room is part of a locked suite of offices. The magnetic disks and computer are located in the same room; the computer has a key lock. Only those persons with a Top Secret clearance may actually access the computer by using a code.

Retention and disposal:

Records are kept indefinitely.

System manager(s) and address:

Staff Director, Drug Enforcement Task Force, Office of the Associate Attorney General, 10th and Constitution Avenue, NW, Washington, DC 20530.

Notification procedure:

Address all inquiries to the system manager. These records will be exempted form subsections (c) (3) and (4); (d); (e) (1), (2) and (3), (e)(4) (G) and (H), (e)(5); and (g) of the Privacy Act pursuant to 5 U.S.C. 552a(j)(2) and (k)(2).

Record access procedures:

None.

Contesting record procedures:

None.

Record source categories:

Sources of information contained in this system include Federal, State, and local government agencies as appropriate, informants, and interested third parties.

Systems exempted from certain provisions of the act:

The Attorney General has exempted this system from subsections (c) (3) and (4); (d); (e) (1), (2) and (3), (e)(4) (G) and (H), (e)(5); and (g) of the Privacy Act pursuant to 5 U.S.C. 552a (j)(2) and (k)(2). Rules have been promulgated in accordance with the requirements of 5 U.S.C. 553 (b), (c) and (e) and have been published in the FEDERAL REGISTER.

OFFICE OF THE DEPUTY ATTORNEY GENERAL

JUSTICE/DAG-002

System name:

Appointed Assistant United States Attorneys Personnel System.

System location:

Office of the Deputy Attorney General; United States Department of Justice; 10th and Constitution Avenue NW, Washington D.C. 20530.

Categories of individuals covered by the system:

The system encompasses all Assistant United States Attorneys.

Categories of records in the system:

This system of records consists of records folders which may contain up to a total of five sections. The personnel section contains personnel records such as completed Civil Service forms, letters of recommendation, law school grade transcripts, appointment letters, appointment affidavits, bar affidavits, locator forms and personnel action forms. The character section contains completed or portions of ongoing background investigations and matters related thereto. The Congressional section contains Congressional and other political type recommendations regarding appointment. The protest section contains correspondence, if any exists, protesting the appointment of applicants. The complaint section contains correspondence from individuals or groups complaining about office holders. Rarely does a personnel folder contain more than the personnel and character sections.

Authority for maintenance of the system:

These records are maintained pursuant to 5 U.S.C 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records are used only by Department of Justice personnel. Information contained in a folder may be used as the basis for answering future inquires from other government agencies about a former assistant's qualifications. The personnel section may be made available to other federal agencies, at their request, upon the transfer of the assistant to such an agency.

Release of information to the news media: Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available from systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute and unwarranted invasion of personal privacy.

Release of information to Members of Congress: Information contained in systems of records maintained by the Department of Justice, not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to Member of Congress of staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and at the request of the individual who is the subject of the record.

Release of information to the National Archives and Records Administration: A record from a system of records may be disclosed as a routine use to the National Archives and Records Administration (NARA) in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Release of information to civil or criminal law enforcement agencies: Information may be disclosed to any civil or criminal law enforcement agency, whether Federal, State, local, or foreign, which requires information relevant to a civil or criminal investigation.

Release of information to agencies regarding the hiring or retention of employees: Information may be disclosed to officials and employees of the White House or any Federal agency which requires information relevant to an agency decision concerning the hiring, appointment, or retention of an employee; the issuance of a security clearance; the execution of a security or suitability investigation; the classification of a job; or the issuance of a grant or benefit.

Release of information to Federal, State, and local licensing agencies: Information may be disclosed to Federal, State, and local licensing agencies or associations which require information concerning the suitability or eligibility of an individual for a license or permit.

Release of information before a court or adjudicative body: Information may be disclosed in a proceeding before a court or adjudicative body before which the Office of the Deputy Attorney General (ODAG) is authorized to appear when (a) ODAG, or any subdivision thereof, or (b) any employee of ODAG in his or her official capacity, or (c) any employee of ODAG in his or her individual capacity where the Department of Justice has agreed to represent the employee, or (d) the United States, where ODAG determines that the litigation is likely to affect it or any of its subdivisions, is a party to litigation or has an interest in litigation and such records are determined by ODAG to be arguably relevant to the litigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

These records are stored in paper folders.

Retrievability:

Information is retrieved by use of the assistant's name, as the folders are filed alphabetically by name.

Safeguards:

These records are maintained in cabinets stored in a locked room.

Retention and disposal:

These records are retained until the subjects of the files resign or otherwise leave their offices for non-federal government employment. In that instance, the personnel section is sent to the St. Louis Records Center for an indefinite period. If the assistant transfers to another agency of the federal government, the personnel section is sent to the gaining agency. All other sections of the folder are destroyed six months after the assistant leaves office.

System manager(s) and address:

Associate Deputy Attorney General, Office of the Deputy Attorney General, United States Department of Justice, 10th and Constitution Avenue, NW, Washington, D.C. 20530.

Notification procedure:

Address all inquiries to the System Manager. These records will be exempted from subsections (d)(1) and (e)(1) of section 552a, Title 5, United States Code, by the Attorney General under the authority of 5 U.S.C. 552a(k)(5) to the extent therein permitted.

Record access procedures:

A request for access to non-exempt portions of records from this system should be directed orally or in writing to the System Manager. When requests are in writing, the envelope and letter should clearly be marked 'Privacy Access Request.'

Contesting record procedures:

Individuals desiring to contest or amend information maintained in the system should direct their request to the System Manager, stating clearly and concisely what information is being contested, the reasons for contesting it, and the proposed amendment(s) to the information.

Record source categories:

Sources of information contained in this system include the individuals, government agencies as appropriate, and interested third parties.

Systems exempted from certain provisions of the act:

The Attorney General has exempted this system from subsections (d)(1) and (e)(1) of the Privacy Act pursuant to 5 U.S.C. 552a(k)(5). Rules have been promulgated in accordance with the requirements of 5 U.S.C. 553(b), (c) and (e) and have been published in the FEDERAL REGISTER.

JUSTICE/DAG-003

System name:

Assistant United States Attorney Applicant Records System.

System location:

Office of the Deputy Attorney General, United States Department of Justice, 10th and Constitution Avenue, NW, Washington, D.C. 20530.

Categories of individuals covered by the system:

The system encompasses all applicants for Assistant United States Attorney positions.

Categories of records in the system:

This system of records consists of records folders which may contain up to a total of four sections. The personnel section contains records such as resumes, letters of recommendation, law school grade transcripts, completed Civil Service forms, and related personnel matters. The character section contains completed or portions of ongoing background investigations and matters related thereto. The Congressional section contains Congressional and other political type recommendations regarding appointment. The protest section contains correspondence, if any exists, protesting the appointment of applicants. Rarely does a personnel folder contain more than the personnel and character sections.

Authority for maintenance of the system:

These records are maintained pursuant to 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records are used only by Department of Justice personnel for recruitment purposes. However, the fact that the applicant was being considered would be made known to the references supplied by the applicant and others contacted. Information about the applicant, as then known, might be supplied to contacted individuals as necessary to verify already obtained information or to seek elaboration of that information.

Release of information to the news media: Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available from systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Release of information to Members of Congress: Information contained in systems of records maintained by the Department of Justice, not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and at the request of the individual who is the subject of the record.

Release of information to the National Archives and Records Administration: A record from a system of records may be disclosed as a routine use to the National Archives and Records Administration (NARA) in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Release of information to civil or criminal law enforcement agencies: Information may be disclosed to any civil or criminal law enforcement agency, whether Federal, State, local, or foreign, which requires information relevant to a civil or criminal investigation.

Release of information to agencies regarding the hiring or retention of employees; Information may be disclosed to officials and employees of the White House or any Federal agency which requires information relevant to an agency decision concerning the hiring, appointment, or retention of an employee: the issuance of a security clearance; the execution of a security or suitability investigation; the classification of a job; or the issuance of a grant or benefit.

Release of information to Federal, State, and local licensing agencies: Information may be disclosed to Federal, State, and local licensing agencies or association which require information concerning the suitability or eligibility of an individual for a license or permit.

Release of information before a court or adjudicative body: Information may be disclosed in a proceeding before a court or adjudicative body before which the Office of the Deputy Attorney General (ODAG) is authorized to appear when (a) ODAG, or any subdivision thereof or (b) any employee of ODAG in his or her official capacity, or (c) any employee of ODAG in his or her individual capacity where the Department of Justice has agreed to represent the employee, or (d) the United States, where ODAG determines that the litigation is likely to affect it or any of its subdivisions, is a party to litigation or has an interest in litigation and such records are determined by ODAG to be arguably relevant to the litigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

These records are stored in paper folders.

Retrievability:

Information is retrieved by use of the applicant's name, as the folders are filed alphabetically by name.

Safeguards:

These records are maintained in cabinets stored in a locked room.

Retention and disposal:

These records are retained, in the case of applicants who are not offered positions, for two years and then destroyed. If the applicant is offered a position and accepts it, his folder is transferred to the Appointed Assistant United States Attorney Personnel System and retained as specified therein.

System manager(s) and address:

Associate Deputy Attorney General, Office of the Deputy Attorney General, United States Department of Justice, 10th and Constitution Avenue, NW, Washington, D.C. 20530.

Notification procedure:

Address all inquiries to the System Manager. These records will be exempted from subsections (d)(1) and (e)(1) of section 552a, Title 5, United States Code, by the Attorney General under the authority of 5 U.S.C. 552a(k)(5) to the extent therein permitted.

Record access procedures:

A request for access to non-exempt portions of records from this system should clearly be directed orally or in writing to the Associate Deputy Attorney General. When requests are in writing, the envelope and letter should be marked "Privacy Access Request."

Contesting record procedures:

Individuals desiring to contest or amend information maintained in the system should direct their request to the Associate Deputy Attorney General, stating clearly and concisely what information is being contested, the reasons for contesting it, and the proposed amendment(s) to the information.

Record source categories:

Non-exempt sources of information contained in this system include the individual, government agencies as appropriate, and interested third parties.

Systems exempted from certain provisions of the act:

The Attorney General has exempted this system from subsections (d)(1) and (e)(1) of the Privacy Act pursuant to 5 U.S.C. 552a(k)(5). Rules have been promulgated in accordance with the requirements of 5 U.S.C. 553 (b), (c) and (e) and have been published in the FEDERAL REGISTER.

JUSTICE/DAG-004

System name:

Honor Program Applicant System.

System location:

Office of the Deputy Attorney General, United States Department of Justice, 10th and Constitution Avenue, NW, Washington, D.C. 20530.

Categories of individuals covered by the system:

The system encompasses third year law students who will be honor graduates of law schools and law clerks of federal judges who file applications for attorney positions in the Department.

Categories of records in the system:

These records consist of items supplied by the applicant, such as resumes, completed Civil Service forms, applications forms, and transcripts of grades, items supplied by third parties such as letters of recommendation, and items supplied by the Department such as acceptance or rejection letters and interview evaluation sheets.

Authority for maintenance of the system:

This system is established and maintained pursuant to 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records are made available within the Department for recruitment purposes and may be made available to other federal agencies, at their request, for recruitment purposes.

Release of information to the news media: Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available from systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Release of information to Members of Congress. Information contained in systems of records maintained by the Department of Justice, not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and at the request of the individual who is the subject of the record.

Release of information to the National Archives and Records Administration: A record from a system of records may be disclosed as a routine use to the National Archives and Records Administration (NARA) in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Release of information to civil or criminal law enforcement agencies: Information may be disclosed to any civil or criminal law enforcement agency, whether Federal, State, local, or foreign, which requires information relevant to a civil or criminal investigation.

Release of information to agencies regarding the hiring or retention of employees: Information may be disclosed to official and employees of the White House or any Federal agency which requires information relevant to an agency decision concerning the hiring, appointment, or retention of an employee; the issuance of a security clearance; the execution of a security of suitability investigation; the classification of a job; or the issuance of a grant or benefit.

Release of information to Federal, State, and local licensing agencies: Information may be disclosed to Federal, State, and local licensing agencies or associations which require information concerning the suitability or eligibility of an individual for a license or permit.

Release of information before a court or adjudicative body: Information may be disclosed in a proceeding before a court or adjudicative body before which the Office of the Deputy Attorney General (ODAG) is authorized to appear when (a) ODAG, or any subdivision thereof, or (b) any employee of ODAG in his or her official capacity, or (c) any employee of ODAG in his or her individual capacity where the Department of Justice has agreed to represent the employee, or (d) the United States, where ODAG determines that the litigation is likely to affect it or any of its subdivisions, is a party to litigation or has an interest in litigation and such records are determined by ODAG to be arguably relevant to the litigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

These records are stored in paper folders.

Retrievability:

Information is retrieved in various ways, depending upon the age of the record. Initially, the records are indexed by the name of the applicant's law school, then by the names of the applicants according to their ranking by interviewers. Therefore, to locate an individual's file, it is necessary to known both the name of the individual and his or her law school. After the Department's annual attorney hiring is completed, these files are transferred to the control of the Associate Deputy Attorney General. His staff then places the files in alphabetical order by name and stores them.

Safeguards:

These records are maintained in cabinets stored in a locked room.

Retention and disposal:

These records are maintained and stored for two years and then destroyed if the applicant is not offered a position with the Department or rejects an offered position. If a position is accepted by the applicant, his folder is transferred to another system.

System manager(s) and address:

Honor Program Director, Office of the Deputy Attorney General, United States Department of Justice, 10th and Constitution Avenue, NW, Washington, D.C. 20530.

Notification procedure:

Same as the System Manager.

Record access procedures:

A request for access to a record from this system may be made in person or in writing to the System Manager. Any written request should clearly be marked 'Privacy Access Request' on both the letter and envelope.

Contesting record procedures:

Individual desiring to contest or amend information maintained in the system should direct their request to the System Manager and clearly and concisely state what information is being contested, the reasons for contesting it, and the proposed amendment(s) to the information.

Record source categories:

Sources of information contained in this system are as noted in Categories of Records.

Systems exempted from certain provisions of the act:

None.

JUSTICE/DAG-005

System name:

Master Index File of Name.

System location:

Office of the Deputy Attorney General, United States Department of Justice, 10th and Constitution Avenue, NW, Washington, D.C. 20530.

Categories of individuals covered by the system:

This system encompasses all individuals having file folders contained in the following systems of records; Appointed Assistant U.S. Attorneys Personnel System, Assistant U.S. Attorney Applicant Records, Presidential Appointee Candidate Records System, Presidential Appointee Records System, Special Candidates for Presidential Appointments Records System, and U.S. Judges Records System, dating from 1932 until the present.

Categories of records in the system:

This system consists of file cards containing an individual's date of birth, date of entry on duty in Federal Service, date of termination of Federal Service, notes as to the disposition of his records folder, and title.

Authority for maintenance of the system:

These records are maintained pursuant to 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These cards contain information used solely for Department internal purposes.

Release of information to the news media: Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available from system of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Release of information to Members of Congress. Information contained in systems of records maintained by the Department of Justice, not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and at the request of the individual who is the subject of the record.

Release of information to the National Archives and Records Administration: A record from a system of records may be disclosed as a routine use to the National Archives and Records Administration (NARA) is records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Release of information to civil or criminal law enforcement agencies: Information may be disclosed to any civil or criminal law enforcement agency, whether Federal, State, local, or foreign, which requires information relevant to a civil or criminal investigation.

Release of information to agencies regarding the hiring or retention of employees: Information may be disclosed to officials and employees of the White House or any Federal agency which requires information relevant to an agency decision concerning the hiring, appointment, or retention of an employee; the issuance of a security clearance; the execution of a security or suitability investigation; the classification of a job; or the issuance of a grant or benefit.

Release of information to Federal, State, and local licensing agencies: Information may be disclosed to Federal, State, and local licensing agencies or associations which require information concerning the suitability or eligibility of an individual for a license or permit.

Release of information before a court or adjudicative body: Information may be disclosed in a proceeding before a court or adjudicative body before which the Office of the Deputy Attorney General (ODAG) is authorized to appear when (a) ODAG, or any subdivision thereof, or (b) any employee of ODAG in his or her official capacity, or (c) any employee of ODAG in his or her individual capacity where the Department of Justice has agreed to represent the employee, or (d) the United States, where ODAG determines that the litigation is likely to affect it or any of its subdivisions, is a party to litigation or has an interest in litigation and such records are determined by ODAG to be arguably relevant to the litigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

These records are maintained on file cards.

Retrievability:

Information is retrieved by using the name of the individual, as these cards are filed alphabetically.

Safeguards:

These cards are kept in file drawers stored in a locked room.

Retention and disposal:

These cards are retained indefinitely, except in the instance of cards relating to applicants for attorney positions within the Department. If the applicant is rejected, his card is destroyed after two years.

System manager(s) and address:

Associate Deputy Attorney General, Office of the Deputy Attorney General, United States Department of Justice, 10th and Constitution Avenue, NW, Washington, D.C. 20530.

Notification procedure:

Address all inquiries to the System Manager.

Record access procedures:

A request for access to these records should be directed orally or in writing to the System Manager. When requests are in writing, the envelope and letter should clearly be marked "Privacy Access Request."

Contesting record procedures:

Individuals desiring to contest or amend information maintained in the system should direct their request to the System Manager, stating clearly and concisely what information is being contested, the reasons for contesting it, and the proposed amendment(s) to the information.

Record source categories:

Information contained in this system is obtained from the individual's records folder.

Systems exempted from certain provisions of the act:

None.

JUSTICE/DAG-006

System name:

Presidential Appointee Candidate Records System.

System location:

Office of the Deputy Attorney General, United States Department of Justice, 10th and Constitution Avenue, NW, Washington, D.C. 20530.

Categories of individuals covered by the system:

This system encompasses all individuals who are brought to the attention of the Department of Justice as potential candidates for appointment as United States Judges, United States Attorneys, or United States Marshals.

Categories of records in the system:

As to any particular individual, the number and kind of records may vary according to the qualifications of the individual. Thus, these records, in some instances, contain merely single letters from the individual himself or some other person recommending his consideration for one of the positions mentioned in the Categories of individuals. The records may also contain biographical sketches of the individual supplied either by the individual himself or the person recommending him. If the individual is under serious consideration for nomination for appointment, a confidential evaluation of his qualifications for the position will be in his folder. Also present may be completed background investigations on the individual. Letters, if any are received, protesting the individual's potential appointment may also be in the folder. Also present would be any information supplied by the individual or any other letters of recommendation.

Authority for maintenance of the system:

These records are maintained pursuant to 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The routine uses of these records vary with the amount of consideration given to nominating the individual for appointment. In some instances, the records are stored, reviewed by Department personnel, and destroyed as outlined under Retention and Disposal. The candidate's entire record folder would be sent to the President upon his request. After a candidate is nominated and his nomination is pending Senate confirmation, the background investigation is routinely provided to Chairman of the Senate Judiciary Committee. The fact that the candidate was being considered for appointment would be made known to the references supplied by the candidate and others contacted. Information about the candidate, as then known, might be supplied to contacted individuals as necessary to verify already obtained information or to seek elaboration of that information.

Release of information to the news media: Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available from systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Release of information to Members of Congress: Information contained in systems of records maintained by the Department of Justice, not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and at the request of the individual who is the subject of the record.

Release of information to the National Archives and Records Administration. A record from a system of records may be disclosed as a routine use to the National Archives and Records Administration (NARA) in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Release of information to civil or criminal law enforcement agencies: Information may be disclosed to any civil or criminal law enforcement agency, whether Federal, State, local, or foreign, which requires information relevant to a civil or criminal investigation.

Release of information to agencies regarding the hiring or retention of employees: Information may be disclosed to officials and employees of the White House or any Federal agency which requires information relevant to an agency decision concerning the hiring, appointment, or retention of an employee; the issuance of a security clearance; the execution of a security or suitability investigation; the classification of a job; or the issuance of a grant or benefit.

Release of information to Federal, State, and local licensing agencies: Information may be disclosed to Federal, State, and local licensing agencies or associations which require information concerning the suitability or eligibility of an individual for a license or permit.

Release of information before a court or adjudicative body: Information may be disclosed in a proceeding before a court or adjudicative body before which the Office of the Deputy Attorney General (ODAG) is authorized to appear when (a) ODAG, or any subdivision thereof, or (b) any employee of ODAG in his or her official capacity, or (c) any employee of ODAG in his or her individual capacity where the Department of Justice has agreed to represent the employee, or (d) the United States, where ODAG determines that the litigation is likely to affect it or any of its subdivisions, is a party to litigation or has an interest in litigation and such records are determined by ODAG to be arguably relevant to the litigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

These records are maintained in paper folders.

Retrievability:

Information is retrieved from this system by reference first to the office, indexed geographically or by the circuit or district, for which the individual is being considered, and then alphabetically by name of the candidate.

Safeguards:

These records are stored in cabinets which are kept in a locked room.

Retention and disposal:

These records are kept for five years and then destroyed, unless the individual receives the appointment. In that event, his individual record is transferred to another records system.

System manager(s) and address:

Associate Deputy Attorney General, Office of the Deputy Attorney General, United States Department of Justice, 10th and Constitution Avenue NW, Washington, D.C. 20530.

Notification procedure:

Address all inquiries to the System Manager. These records will be exempted from subsections (d)(1) and (e)(1) of section 552a, Title, United States Code, by the Attorney General under the authority of 5 U.S.C. 552a(k)(5) to the extent therein permitted.

Record access procedures:

A request for access to non-exempt portions of records from this system should be directed orally or in writing to the Associate Deputy Attorney General. When requests are in writing, the envelope and letter should clearly be marked "Privacy Access Request."

Contesting record procedures:

Individuals desiring to contest or amend information maintained in the system should direct their request to the Associate Deputy Attorney General stating clearly and concisely what information is being contested, the reasons for contesting it, and the proposed amendment(s) to the information.

Record source categories:

Non-exempt sources of information in this system include the general public, the candidates themselves, government agencies where appropriate, and any other interested party.

Systems exempted from certain provisions of the act:

The Attorney General has exempted this system from subsections (d)(1) and (e)(1) of the Privacy Act pursuant to 5 U.S.C. 552a(k)(5). Rules have been promulgated in accordance with the requirements of 5 U.S.C. 553 (b), (c) and (e) and have been published in the FEDERAL REGISTER.

JUSTICE/DAG–007

System name:

Presidential Appointee Records System.

System location:

Office of the Deputy Attorney General, United States Department of Justice, 10th and Constitution Avenue NW, Washington, D.C. 20530.

Categories of individuals covered by the system:

The system encompasses the following: Department of Justice Presidential appointees and retired, resigned, or deceased appointees.

Categories of records in the system:

This system of records consists of records folders which may contain up to five sections. The personnel section includes such items as biographical sketches, qualification statements, completed Civil Service forms if applicable, letters recommending appointment, notifications of appointment, and other personnel-related matters. The character section contains completed or portions of ongoing background investigations and matters related thereto. The Congressional section contains Congressional and other political type recommendations regarding appointment. The protest section contains correspondence, if any exists, protesting the appointment of candidates. The complaint section contains correspondence from individuals or groups complaining about office holders.

Authority for maintenance of the system:

These records are maintained pursuant to 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Generally, these records are used only for internal Department of Justice purposes. Prior to appointment, routine uses would include those specified for the Presidential Appointee Candidate Records System. If an appointee leaves the Department, information contained in his personnel folder might be used as the basis for answering inquiries from prospective employers about his qualifications and performance. The personnel section of his folder would be made available to other federal agencies, at their request, upon the transfer of the appointee to such an agency.

Release of information to the news media: Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available from systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Release of information to Members of Congress: Information contained in systems of records maintained by the Department of Justice, not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and at the request of the individual who is the subject of the record.

Release of information to the National Archives and Records Administration: A record from a system of records may be disclosed as a routine use to the National Archives and Records Administration (NARA) in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Release of information to civil or criminal law enforcement agencies: Information may be disclosed to any civil or criminal law enforcement agency, whether Federal, State, local, or foreign, which requires information relevant to a civil or criminal investigation.

Release of information to agencies regarding the hiring or retention of employees: Information may be disclosed to officials and employees of the White House or any Federal agency which requires information relevant to an agency decision concerning the hiring, appointment, or retention of an employee; the issuance of a security clearance; the execution of a security or suitability investigation; the classification of a job; or the issuance of a grant or benefit.

Release of information to Federal, State, and local licensing agencies: Information may be disclosed to Federal, State, and local licensing agencies or associations which require information concerning the suitability or eligibility of an individual for a license or permit.

Release of information before a court or adjudicative body: Information may be disclosed in a proceeding before a court or adjudicative body before which the Office of the Deputy Attorney General (ODAG) is authorized to appear when (a) ODAG, or any subdivision thereof, or (b) any employee of ODAG in his or her official capacity, or (c) any employee of ODAG in his or her individual capacity where the Department of Justice has agreed to represent the employee, or (d) the United States, where ODAG determines that the litigation is likely to affect it or any of its subdivisions, is a party to litigation or has an interest in litigation and such records are determined by ODAG to be arguably releveant to the litigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

These records are stored in paper folders.

Retrievability:

Information is retrieved by using the name of the individual who is the subject of the folder.

Safeguards:

These records are stored in cabinets which are kept in a locked room.

Retention and disposal:

The personnel section of these records is retained indefinitely at the Office of the Deputy Attorney General, except in the instance of an appointee who resigns or dies, in which case that section is sent to the St. Louis Records Center for indefinite storage. All other sections of the folders, in the instance where an appointee dies or resigns, are sent to the Suitland, Maryland Records Center for storage for five years and then destroyed.

System manager(s) and address:

Associate Deputy Attorney General, Office of the Deputy Attorney General, United States Department of Justice, 10th and Constitution Avenue, NW, Washington, D.C. 20530.

Notification procedure:

Address all inquiries to the System Manager. These records will be exempted from subsections(d)(1) and (e)(1) of section 552a, Title 5, United States Code, by the Attorney General under authority of 5 U.S.C. 552a(k)(5) to the extent therein permitted.

Record access procedures:

A request for access to non-exempt portions of records from this system should be directed orally or in writing to the System Manager. When requests are in writing, the envelope and letter should clearly be marked "Privacy Access Request."

Contesting record procedures:

Individuals desiring to contest or amend information maintained in the system should direct their request to the System Manager, stating clearly and concisely what information is being contested the reasons for contesting it, and the proposed amendment(s) to the information.

Record source categories:

Non-exempt sources of information contained in this system include the general public, the subjects of the records themselves, government agencies when appropriate, and any other interested party.

Systems exempted from certain provisions of the act:

The Attorney General has exempted this system from subsections (b)(1) and (e)(1) of the Privacy Act pursuant to 5 U.S.C. 552a(k)(5). Rules have been promulgated in accordance with the requirements of 5 U.S.C. 553(b), (c), and (e) and have been published in the FEDERAL REGISTER.

JUSTICE/DAG–008

System name:

Special Candidates for Presidential Appointments Records System.

System location:

Office of the Deputy Attorney General, United States Department of Justice, 10th and Constitution Avenue, NW, Washington, D.C. 20530.

Categories of individuals covered by the system:

The system encompasses all individuals under consideration for presidential appointments as heads of divisions or sections of the Department of Justice.

Categories of records in the system:

The system of records consists of records folders which may contain up to a total of four sections. The personnel section contains records such as resumes, letters of recommendations, and related personnel matters. The character section contains completed and portions of ongoing background investigations and matters related thereto. The Congressional section contains Congressional and other political type recommendations regarding appointment. The protest section contains correspondence, if any exists, protesting the appointment of candidates. The majority of these personnel folders contain only the personnel section.

Authority for maintenance of the system:

These records are maintained pursuant to 5 U.S.C. 301 to assist the President in obtaining information necessary for determining the qualifications and availability of individuals for appointed offices.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The routine uses of these records vary with the amount of consideration given to nominating the candidate for appointment. In some instances, the records are stored, reviewed by Department personnel, and destroyed as outlined under Retention and Disposal. The candidate's entire records folder would be sent to the President upon his request. After a candidate is nominated and his nomination is pending Senate confirmation, the background investigation in routinely provided to the Chairman of the Senate Judiciary Committee. The fact that the candidate was being considered for appointment would be made known to the references supplied by the candidate and others contacted. Information about the candidate, as then known, might be supplied to contacted individuals as necessary to verify already obtained information or to seek elaboration of that information.

Release of information to the news media: Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available from systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Release of information to Members of Congress. Information contained in systems of records maintained by the Department of Justice, not otherwise required to be released pursuant to 5 U.S.C. 522, may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and at the request of the individual who is the subject of the record.

Release of information to the National Archives and Records Administration: A record from a system of records may be disclosed as a routine use to the National Archives and Records Administration (NARA) in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Release of information to civil or criminal law enforcement agencies: Information may be disclosed to any civil or criminal law enforcement agency, whether Federal, State, local, or foreign, which requires information relevant to a civil or criminal investigation.

Release of information to agencies regarding the hiring or retention of employees: Information may be disclosed to officials and employees of the White House or any Federal agency which requires information relevant to an agency decision concerning the hiring, appointment, or retention of an employee; the issuance of a security clearance; the execution of a security or suitability investigation; the classification of a job; or the issuance of a grant or benefit.

Release of information to Federal, State, and local licensing agencies: Information may be disclosed to Federal, State, and local licensing agencies or associations which require information concerning the suitability or eligibility of an individual for a license or permit.

Release of information before a court or adjudicative body: Information may be disclosed in a proceeding before a court or adjudicative body before which the Office of the Deputy Attorney General (ODAG) is authorized to appear when (a) ODAG or any subdivision thereof, or (b) any employee of ODAG in his or her official capacity, or (c) any employee of ODAG in his or her individual capacity where the Department of Justice has agreed to represent the employee, or (d) the United States, where ODAG determines that the litigation is likely to affect it or any of its subdivisions, is a party to litigation or has an interest in litigation and such record are determined by ODAG to be arguably relevant to the litigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

These records are stored in paper holders.

Retrievability:

Information is retrieved by the name of individuals seeking appointments as the files are arranged alphabetically by same.

Safeguards:

These records are in cabinets in a locked room.

Retention and disposal:

In the event a candidate is not nominated for appointment, his record is maintained for five years and then destroyed. If the candidate is appointed, his records are transferred to the Presidential Appointee Records System.

System manager(s) and address:

Associate Deputy Attorney General, Office of the Deputy Attorney General, United States Department of Justice, 10th and Constitution Avenue, NW, Washington, D.C. 20530.

Notification procedure:

Address all inquiries to the System Manager. These records will be exempted from subsections (d)(1) and (e)(1) of sections 552a, title 5, United States Code, by the Attorney General under the authority of 5 U.S.C. 552a(k)(5) to the extent therein permitted.

Record access procedures:

A request for access to non-exempt portions of records from this system should be directed orally or in writing to the System Manager. When requests are in writing, the envelope and letter should clearly be marked "Privacy Access Request.

Contesting record procedures:

Individuals desiring to contest or amend information maintained in the system should direct their request to the System Manager, stating clearly and concisely what information is being contested, the reasons for contesting it, and the proposed amendment(s) to the information.

Record source categories:

Non-exempt sources of information contained in this system include the general public, the subjects of the records themselves, government agencies when appropriate, and any other interested party.

Systems exempted from certain provisions of the act:

The Attorney General has exempted this system from subsections (d)(1) and (e)(1) of the Privacy Act pursuant to 5 U.S.C. 552a(k). Rules have been promulgated in accordance with the requirement of 5 U.S.C. 553(b), (c) and (e) and have been published in the FEDERAL REGISTER.

JUSTICE/DAG–009

System name:

Summer Intern Program Records System.

System location:

Office of the Deputy Attorney General, United States Department of Justice, 10th and Constitution Avenue, NW, Washington, D.C. 20530.

Categories of individuals covered by the system:

All individuals who submit applications for the Department's Summer Intern Program for Law Students.

Categories of records in the system:

The system of records consists of items such as completed Civil Service forms, law school grade transcripts, letters of recommendation, and completed Summer Law Intern Applications.

Authority for maintenance of the system:

These records are maintained pursuant to 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records are used by Department personnel for recruitment purposes. However, in the case of an applicant with regard to whom the Department has decided not to extend an offer of employment, his or her application and Civil Service forms might be referred to another agency, upon its request, for that agency's recruitment purposes.

Release of information to the news media: Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available from systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Release of infomation to Members of Congress. Information contained in systems of records maintained by the Department of Justice, not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the Department's behalf of and at the request of the individual who is the subject of the record.

Release of information to the National Archives and Records Administration: A record from a system of records may be disclosed as a routine use to the National Archives and Records Administration (NARA) in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Release of information to civil or criminal law enforcement agencies: Information may be disclosed to any civil or criminal law enforcement agency, whether Federal, State, local, or foreign, which requires information relevant to a civil or criminal investigation.

Release of information to agencies regarding the hiring or retention of employees: Information may be disclosed to officials and employees of the White House or any Federal agency which requires information relevant to an agency decision concerning the hiring, appointment, or retention of an employee; the issuance of a security clearance; the execution of a security or suitability investigation; the classification of a job; or the issuance of a grant or benefit.

Release of information to Federal, State, and local licensing agencies: Information may be disclosed to Federal, State, and local licensing agencies or associations which require information concerning the suitability or eligibility of an individual for a license or permit.

Release of information before a court or adjudicative body: Information may be disclosed in a proceeding before a court or adjudicative body before which the Office of the Deputy Attorney General (ODAG) is authorized to appear when (a) ODAG, or any subdivision thereof, or (b) any employee of ODAG in his or her official capacity, or (c) any employee of ODAG in his or her individual capacity where the Department of Justice has agreed to represent the employee, or (d) the United States, where ODAG determines that the litigation is likely to affect it or any of its subdivisions, is a party to litigation or has an interest in litigation and such records are determined by ODAG to be arguably relevant to the litigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

These records are stapled together.

Retrievability:

Information is retrieved by use of the applicant's name, as these records are filed by use of the first letter of the applicant's last name.

Safeguards:

These records are maintained in cabinets stored in a locked room.

Retention and disposal:

These records are retained, in the case of applicants who are not offered positions, for one year and then destroyed. In the case of accepted applicants, their records enter the Civil Service system.

System manager(s) and address:

Associate Deputy Attorney General, Office of the Deputy Attorney General, United States Department of Justice, 10th and Constitution Avenue, NW, Washington, D.C. 20530.

Notification procedure:

Same as the above.

Record access procedures:

A request for access to these records should be directed orally or in writing to the System Manager. When requests are in writing, the envelope and letter should clearly be marked 'Privacy Access Request'.

Contesting record procedures:

Individuals desiring to contest or amend information maintained in the system should direct their request to the System Manager, stating clearly and concisely what information is being contested, the reasons for contesting it, and the proposed amendment(s) to the information.

Record source categories:

Information contained in this system is obtained from the applicant and references provided by him.

Systems exempted from certain provisions of the act:

None.

JUSTICE/DAG-010

System name:

United States Judge and Department of Justice Presidential Appointee Records.

System location:

Office of the Deputy Attorney General, United States Department of Justice, 10th and Constitution Avenue, NW, Washington, D.C. 20530.

Categories of individuals covered by the system:

This system encompasses all United States Judges and all Department of Justice Presidential Appointees.

Categories of records in the system:

A. 1. Card index relating to United States Judges which includes name, salary, Congress of appointment, State of birth, political party (if voluntarily provided), religion (if voluntarily provided), and American Bar Association rating.

2. Information on the above mentioned card index, except religion, is also maintained on word processing equipment.

B. Cross index of judges' names and districts.

C. Roster of districts showing the dates of duty of district court judges and Department of Justice Presidential Appointees, indexed alphabetically by name.

D. Book of commissions of United States Judges and Department of Justice Presidential Appointees in order by date of appointment and indexed alphabetically by name.

E. Nomination book showing the name of the nominated Judge or Department of Justice Presidential Appointee, the date the proposed nomination was sent to the White House, the date the nomination was made to the Senate, the date of confirmation, the date of appointment, and the date of entrance on duty. This book is in chronological order, and is indexed alphabetically by name of the nominee.

Authority for maintenance of the system:

These records are maintained pursuant to 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records are maintained to make responses to public inquiries regarding these individuals noted in Categories of individuals (the political party and religion of an appointee is not released), and for Department internal purposes.

Release of information to the new media: Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available from system of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Release of information to Members of Congress. Information contained in systems of records maintained by the Department of Justice, not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the inforation on behalf of and at the request of the individual who is the subject of the record.

Release of information to the National Archives and Records Administration: A record from a system of records may be disclosed as a routine use to the National Archives and Records Administration (NARA) in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Release of information to civil or criminal law enforcement agencies: Information may be disclosed to any civil or criminal law enforcement agency, whether Federal, State, local, or foreign, which requires information relevant to a civil or criminal investigation.

Release of information to agencies regarding the hiring or retention of employees: Information may be disclosed to officials and employees of the White House or any Federal agency which requires information relevant to an agency decision concerning the hiring, appointment, or retention of an employee; the issuance of a security clearance; the execution of a security or suitability investigation; the classification of a job; or the issuance of a grant or benefit.

Release of information to Federal, State, and local licensing agencies: Information may be disclosed to Federal, State, and local licensing agencies or associations which require information concerning the suitability or eligibility of an individual for a license or permit.

Release of information before a court or adjudicative body: Information may be disclosed in a proceeding before a court or adjudicative body before which the Office of the Deputy Attorney General (ODAG) is authorized to appear when (a) ODAG, or any subdivision thereof, or (b) any employee of ODAG in his or her official capacity, or (c) any employee of ODAG in his or her individual capacity where the Department of Justice has agreed to represent the employee, or (d) the United States, where ODAG determines that the litigation is likely to affect it or any of its subdivisions, is a party to litigation or has an interest in litigation and such records are determined by ODAG to be arguably relevant to the litigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

These records are kept on cards, in folders, in books, or on diskettes.

Retrievability:

Information is retrieved by those data elements identified in the "Categories of Records in the System" section of this notice.

Safeguards:

Biological sketches and diskettes are kept in a locked safe. All other information is kept in cabinets or card files.

Retention and disposal:

This information is maintained indefinitely.

System manager(s) and address:

Associate Deputy Attorney General, Office of the Deputy Attorney General, United States Department of Justice, 10th and Constitution Avenue, NW, Washington, D.C. 20530.

Notification procedure:

Same as the above.

Record access procedures:

A request of access to these records should be directed orally or in writing to the System Manager. When requests are in writing the envelope and letter should clearly be marked "Privacy Access Request."

Contesting record procedures:

Individuals desiring to contest or amend information maintained in the system should direct their request to the System Manager, stating clearly and concisely what information is being contested, the reasons for contesting it, and the proposed amendment(s) to the information.

Record source categories:

Information contained in this system is obtained from the individuals who are the subjects of the records and from other Department of Justice records.

Systems exempted from certain provisions of the act:

None.

JUSTICE/DAG-011

System name:

Miscellaneous Attorney Personnel Records System.

System location:

Office of the Deputy Attorney General United States Department of Justice, 10th and Constitution Avenue, NW., Washington, D.C. 20530.

Categories of individuals covered by the system:

Persons who applied to or are employed by the Department of Justice as attorneys and are not included within another OAAG system.

Categories of records in the system:

This system of records consists of records folders which may contain up to a total of four sections. The personnel section contains records such as resumes, letter of recommendation, law school grade transcripts, completed Civil Service forms, and related personnel matters. The character section contains completed or portions of ongoing background investigations and matters related thereto. The Congressional section contains Congressional and other political type recommendations regarding appointment. The protest section contains correspondence, if any exists, protesting the appointment of applicants. The complaint section contains correspondence from individuals or groups complaining about office holders and may contain matters relating to the disposition of those complaints. Rarely does a personnel folder contain more than the personnel and character sections.

Authority for maintenance of the system:

The records are maintained pursuant to 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records are used only by Department of Justice personnel. Information contained in a folder may be used as the basis for answering future inquiries from other government agencies about a former employee's qualifications. The personnel section may be made available to other federal agencies, at their request, upon the transfer of an employee to such an agency.

Release of information to the news media: Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available from systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Release of information to Members of Congress: Information contained in systems of records maintained by the Department of Justice, not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and at the request of the individual who is the subject of the record.

Release of information to the National Archives and Records Administration: A record from a system of records may be disclosed as a routine use to the National Archives and Records Administration (NARA) in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Release of information to civil or criminal law enforcement agencies; Information may be disclosed to any civil or criminal law enforcement agency, whether Federal, State, local, of foreign, which requires information relevant to a civil or criminal investigation.

Release of information to agencies regarding the hiring or retention of employees: Information may be disclosed to officials and employees of the White House or any Federal agency which requires information relevant to an agency decision concerning the hiring, appointment, or retention of an employee; the issuance of a security clearance; the execution of a security or suitability investigation; the classification of a job; or the issuance of a grant or benefit.

Release of information to Federal, State, and local licensing agencies: Information may be disclosed to Federal, State, and local licensing agencies or associations which require information concerning the suitability or eligibility of an individual for a license or permit.

Release of information before a court or adjudicative body: Information may be disclosed in a proceeding before a court or adjudicative body before which the Office of the Deputy Attorney General (ODAG) is authorized to appear when (a) ODAG, or any subdivision thereof, or (b) any employee of ODAG in his or her official capacity, or (c) any employee of ODAG in his or her individual capacity where the Department of Justice has agreed to represent the employee, or (d) the United States, where ODAG determines that the litigation is likely to affect it or any of its subdivisions, is a party to litigation or has an interest in litigation and such records are determined by ODAG to be arguably relevant to the litigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

These records are stored in paper folders.

Retrievability:

Information is retrieved by use of an individual's name, as the folders are filed alphabetically by name.

Safeguards:

These records are maintained in cabinets stored in a lockable room.

Retention and disposal:

These records are retained until the subjects of the files resign or otherwise leave their offices for non-federal employment. In that instance, the personnel section is sent to the St. Louis Records Center for an indefinite period. If the individual transfers to another agency of the Federal government, the personnel section is sent to the gaining agency. All other sections of the folder are destroyed six months after the individual leaves office. The entire folders of individuals who were applicants and were not offered employment or did not accept employment with the Department are destroyed one year after final action is taken on the application.

System manager(s) and address:

Associate Deputy Attorney General, Office of the Deputy Attorney General, United States Department of Justice, 10th and Constitution Avenue, NW, Washington, D.C. 20530.

Notification procedure:

Address all inquiries to the System Manager. These records will be exempted from subsections (d)(1) and (e)(1) of section 552a, Title 5, United States Code, by the Attorney General under the authority of 5 U.S.C. 552a(k)(5) to the extent therein permitted.

Record access procedures:

A request for access to non-exempt portions of records from this system should be directed orally or in writing to the System Manager. When requests are in writing, the envelope and letter should clearly be marked "Privacy Access Request."

Contesting record procedures:

Individuals desiring to contest or amend information maintained in the system should direct their request to the System Manager, stating clearly and concisely what information is being contested, the reasons for contesting it, and the proposed amendment(s) to the information.

Record source categories:

Non-exempt sources of information contained in this system include the individuals who are the subjects of the records, government agencies as appropriate, and interested third parties.

Systems exempted from certain provisions of the act:

The Attorney General has exempted this system from subsections (d)(1) and (e)(1) of the Privacy Act pursuant to 5 U.S.C. 552a(k)(5). Rules have been promulgated in accordance with the requirements of 5 U.S.C. 553 (b), (c) and (e) and have been published in the FEDERAL REGISTER.

JUSTICE/DAG-012

System name:

Executive Secretariat Correspondence Control System.

System location:

Office of the Deputy Attorney General, Department of Justice, Room 4408, 10th and Constitution Avenue, NW, Washington, D.C. 20530.

Categories of individuals covered by the system:

Individuals who have written to the Attorney General; Deputy Attorney General; Associate Attorney General; Assistant Attorney General, Office of Legislative Affairs; or Director, Office of Public Affairs.

Categories of records in the system:

Control information from incoming and outgoing correspondence to include a subject narrative, names of individual correspondents and organizations preparing a response to mail or initiating correspondence, and type of action and due date of such action required from the Department. This information is contained on hard-copy printouts and mini-computer disc units.

Authority for maintenance of the system:

5 U.S.C. 301

Purpose(s):

To provide the capability to control and track correspondence to ensure a timely response thereto and/or any other required action.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Primary use of the system is limited to the Executive Secretariat staff and to officials who need access to perform official duties.

Release of information to the news media: Information permitted to be released to the news media and the public pursuant to Title 28 of the Code of Federal Regulations, section 50.2 may be made available unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Release of information to Members of Congress: Disclosure may be made to a congressional office or to the Executive Office of the President from a record of an individual in response to an inquiry from either of these offices made at the request of that individual.

Release of information to the National Archives and Records Administration: A record from a system of records may be disclosed as a routine use to the National Archives and Records Administration (NARA) in records management inspection conducted under the authority of 44 U.S.C. 2904 and 2906.

Release of information to civil or criminal law enforcement agencies: Information may be disclosed to any civil or criminal law enforcement agency, whether Federal, State, local, or foreign, which requires information relevant to a civil or criminal investigation.

Release of information to agencies regarding the hiring or retention of employees: Information may be disclosed to officials and employees of the White House or any Federal agency which requires information relevant to an agency decision concerning the hiring, appointment, or retention of an employee; the issuance of a security clearance; the execution of a security or suitability investigation; the classification of a job; or the issuance of a grant or benefit.

Release of information to Federal, State, and local licensing agencies: Information may be disclosed to Federal, State, and local licensing agencies or associations which require information concerning the suitability or eligibility of an individual for a license or permit.

Release of information before a court or adjudicative body: Information may be disclosed in a proceeding before a court or adjudicative body before which the Office of the Deputy Attorney General (ODAG) is authorized to appear when (a) ODAG, or any subdivision thereof, or (b) any employee of ODAG in his or her official capacity, or (c) any employee of ODAG in his or her individual capacity where the Department of Justice has agreed to represent the employee, or (d) the United States, where ODAG determines that the litigation is likely to affect it or any of its subdivisions, is a party to litigation or has an interest in litigation and such records are determined by ODAG to be arguably relevant to the litigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are maintained as follows: Hard-copy printouts are stored in standard file cabinets in a locked area; computer records are stored on on-line mini-computer disc units at the mini-computer/word processing site.

Retrievability:

Control records are retrieved by name of sender, addressee, date of receipt, due date and organization responsible for preparing the response. Records are used for the tracking/control of correspondence of concern to the Attorney General, Deputy Attorney General, Associate Attorney General and their staffs; the Assistant Attorney General, Office of Legislative Affairs and the Director, Office of Public Affairs and their staffs.

Safeguards:

During working hours, direct access is limited to the staff of the Executive Secretariat, and to officials with a need to know, to both hard-copy and mini-computer resident records. During nonworking hours, access to hard-copy records is limited to staff/officials with keys to both the file cabinets and rooms where the records are stored. Computer terminal locations are protected at all times with user identification numbers and passwords to the computer system.

Retention and disposal:

A request for records disposition authority is being prepared for approval by the National Archives and Records Administration.

System manager(s) and address:

Office of the Deputy Attorney General, Department of Justice, Executive Secretariat, Room 4408, 10th and Constitution Avenue, NW., Washington, D.C. 20530.

Notification procedure:

Inquiries should be addressed to the system manager. To locate a specific record, the system manager must be provided with the name of the individual who corresponded with the Attorney General; Deputy Attorney General; Associate Attorney General; Assistant Attorney General, Office of Legislative Affairs; or Director, Office of Public Affairs and with the date and subject matter of the correspondence. The address is the same as above.

Record access procedures:

Same as notification procedures, Requesters should also reasonably specify the record contents being sought. (Access procedures are found in Title 28 of the Code of Federal Regulations, Part 16.)

Contesting record procedures:

Contact the official at the address specified under Notification procedures above, and reasonably identify the record and specify the information to be contested. (Access and contesting procedures are found in Title 28 of the Code of Federal Regulations, Part 16.)

Record source categories:

Control records are derived from the incoming and outgoing correspondence of the Attorney General; Deputy Attorney General; Associate Attorney General; Assistant Attorney General, Office of Legislative Affairs; and Director, Office of Public Affairs.

Systems exempted from certain provisions of the act:

None.

JUSTICE/DAG-013

System name:

General Files System of the Office of the Deputy Attorney General.

System location:

Office of the Deputy Attorney General, United States Department of Justice, 10th and Constitution Avenue NW, Washington, D.C. 20530.

Categories of individuals covered by the system:

The system encompasses individuals who relate to official Federal investigations, policy decisions, and administrative matters of such significance that the Deputy Attorney General maintains information indexed to the name of that individual, including, but not limited to, subjects of litigation, targets of investigations, Members and staff members of Congress, upper-echelon government officials, and individuals of national prominence or notoriety.

Categories of records in the system:

Records may include case files, litigation materials, exhibits, internal memoranda and reports, or other records on a given subject or individual. Records vary in number and kind according to the breadth of the Deputy Attorney General's responsibilities (28 CFR 0.15) and are limited to those which are of such significance that the Deputy Attorney General has investigative, policy, law enforcement, or administrative interest. An index to these records is described under the caption "Retrievability."

Authority for maintenance of the system:

These records are maintained pursuant to 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records may be disclosed to the news media and the public pursuant to 28 CFR 50.2 unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of privacy.

These records may be disclosed to a Member of Congress or staff acting on the Member's behalf when the Member or staff requests the information for investigative or policy decisionmaking purposes or to provide constituent assistance.

These records may be disclosed to members of the judicial branch of the Federal Government in response to a specific request where disclosure appears relevant to the authorized function of the recipient judicial office or court system.

These records may be disclosed to any civil or criminal law enforcement authorities, whether Federal, State, local, or foreign, which require information relevant to a civil or criminal investigation.

These records may be disclosed to the National Archives and Records Administration (NARA) in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

These records may be disclosed to officials and employees of the White House or any Federal agency which requires information relevant to an agency decision concerning the hiring, appointment, or retention of an employee, the issuance of a security clearance, the conducting of a security or suitability investigation, the classifying of a job, or the issuance of a grant or benefit.

These records may be disclosed to Federal, State, and local licensing agencies or associations which require information concerning the eligibility or suitability of an individual for a license or permit.

These records may be disclosed in a proceeding before a court or adjudicative body before which the Office of the Deputy Attorney General is authorized to appear when (a) the Office of the Deputy Attorney General, or any subdivision thereof, or (b) any employee of the Office of the Deputy Attorney General in his or her official capacity, or (c) any employee of the Office of the Deputy Attorney General in his or her individual capacity where the Department of Justice has agreed to represent the employee, or (d) the United States, where the Office of the Deputy Attorney General determines that the litigation is likely to affect it or any of its subdivisions, is a party to litigation or has an interest in litigation and such records are determined by the Office of the Deputy Attorney General to be arguably relevant to the litigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are stored in paper folders and on index cards. As of April, 1982, the index record is also stored on magnetic disks.

Retrievability:

Deputy Attorney General records created prior to 1973 were incorporated into Attorney General files, and are retrievable from the index to the General Files System of the Office of the Attorney General. Records created by the Office of the Deputy Attorney General since 1973 are indexed and retrieved manually by use of the subject title, individual's name, or Department component which created the record. As of April 1982, records may also be retrieved through a computerized logging system.

Safeguards:

Records are maintained in locked cabinets stored in a locked room or, in the case of those records that are classified, in safes or vaults stored in a locked room. The computer is also maintained in a locked room. The computer has a key lock and may be accessed only by persons with a Top Secret clearance by use of a code.

Retention and disposal:

Records are kept indefinitely.

System manager(s) and address:

Associate Deputy Attorney General, Office of the Deputy Attorney General, United States Department of Justice, 10th and Constitution Avenue, NW., Washington, D.C. 20530.

Notification procedure:

Address all inquiries to the system manager. These records will be exempted from subsections (c) (3) and (4); (d); (e) (1), (2), and (3), (e)(4) (G) and (H), (e)(5); and (g) of the Privacy Act pursuant to 5 U.S.C. 552a(j)(2), (k)(1), (k)(2), and (k)(5).

Record access procedures:

Make all requests for access to records from this system in writing to the system manager, and clearly mark both the letter and envelope "Privacy Act Request."

Contesting record procedures:

Make all requests to contest or amend information maintained in the system in writing to the system manager. State clearly and concisely what information is being contested, the reasons for contesting it, and the proposed amendment(s) to the information.

Record source categories:

Sources of information contained in this system include individuals, State, local and foreign government agencies as appropriate, the executive and legislative branches of the Federal Government, and interested third parties.

Systems exempted from certain provisions of the act:

The Attorney General has exempted this system from subsections (c) (3) and (4); (d); (e) (1), (2), and (3), (e)(4) (G) and (H), (e)(5); and (g) of the Privacy Act pursuant to 5 U.S.C. 552a(j)(2), (k)(1), (k)(2), and (k)(5). Rules have been promulgated in accordance with the requirement of 5 U.S.C. 553(b), (c) and (e) and have been published in the FEDERAL REGISTER. THESE EXEMPTIONS APPLY ONLY TO THE EXTENT THAT INFORMATION IN A RECORD PERTAINING TO A PARTICULAR INDIVIDUAL RELATES TO OFFICIAL FEDERAL INVESTIGATIONS AND LAW ENFORCEMENT MATTERS. THOSE FILES INDEXED UNDER AN INDIVIDUAL'S NAME AND WHICH CONCERN POLICY FORMULATION OR ADMINISTRATIVE MATTERS ARE NOT BEING EXEMPTED PURSUANT TO 5 U.S.C. 552(J)(2), (K)(1), (K)(2) OR (K)(5).

OFFICE OF JUSTICE PROGRAMS

JUSTICE/OJP-001

System name:

Equipment Inventory.

System location:

Office of Justice Programs, 633 Indiana Avenue NW., Washington, DC 20531.

Categories of individuals covered by the system:

Employees who have filed the following forms in the Office of the Comptroller: Property Sign-out, OJARS Administrative Form 1820/1; Equipment Control Records, OJARS Administrative Form 1820/2.

Categories of records in the system:

Property Sign-out, OJARS Administrative Form 1820/1; Equipment Control Records, OJARS Administrative form 1820/2.

Authority for maintenance of the system:

The system is established and maintained in accordance with 5 U.S.C. 301, 1302.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The property data is used for inventory control.

Release of information to the news media: Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available from systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Release of information to Members of Congress: Information contained in systems of records maintained by the Department of Justice, not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and at the request of the individual who is the subject of the record.

Release of information to the National Archives and Records Administration (NARA) and to the General Services Administration (GSA): A record from a system of records may be disclosed as a routine use to NARA and GSA in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Information maintained in system is stored on index cards.

Retrievability:

Information is retrieved by name of employee and type of equipment.

Safeguards:

Data is maintained in a locked room.

Retention and disposal:

Documents relating to equipment control are closed when employee leaves agency. Records are destroyed three years thereafter. Operating files are destroyed when an individual resigns, transfers, or is separated from Federal service.

System manager(s) and address:

Comptroller; Office of the Comptroller; Office of Justice Programs; 633 Indiana Avenue NW., Washington, DC 20531.

Notification procedure:

Same as the above.

Record access procedures:

A request for access to a record from the system shall be in writing, with the envelope and letter clearly marked "Privacy Access Request." Access requests will be directed to the System Manager listed above.

Contesting record procedures:

Individuals desiring to contest or amend information maintained in the system should direct their request to the System Manager listed above, stating clearly and concisely what information is being contested, the reasons for contesting it, and the proposed amendment to the information sought.

Record source categories:

Individual to whom record pertains, employee's supervisors.

Systems exempted from certain provisions of the act:

None.

JUSTICE/OJP-002

System name: Law Enforcement Education System.

System location: Law Enforcement Assistance Administration, 633 Indiana Avenue NW, Washington, D.C. 20531.

Categories of individuals covered by the system: Recipients of LEAA Law Enforcement Education Loans and Grants.

Categories of records in the system: LEEP Master Computer File; LEEP Promissory Note File; LEEA Form 03.

Authority for maintenance of the system: The system is established and maintained pursuant to 42 U.S.C. 3775

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: To contractors for categories and statistical analysis, educational institutions for record reconcillation, IRS and references listed on application for address verification, references in bankruptcy for claim action, State and local agencies to verify eligibility.

Release of information to the news media: Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available from systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would consitute an unwarranted invasion of personal privacy.

Release of information to Members of Congress, Information contained in systems of records maintained by the Department of Justice not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the Member's behalf when the Members or staff requests the information on behalf of and at the requests of the individual who is the subject of the record.

Release of information to the National Archives and Records Administration: A record from a system of records may be disclosed as a routine use to the National Archives and Records Administration (NARA) in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Information maintained in the system is stored on computer magnetic tape and folders.

Retrievability: Information is retrievable by name of recipient and social security number.

Safeguards: Computerized information is safeguarded and protected by computer password key and limited access. Noncomputerized data is safeguard in file room which is locked after business hours. Access is limited to LEAA authorized personnel.

Retention and disposal: Computerized records are kept indefinitely. Uncollected loans/grants are transferred to GAO as soon as determined uncollectable. Cancelled or repaid loan/grants are closed at end of fiscal year, held three years, sent to Federal Records Center and destroyed in accordance with instructions from GAO.

System manager(s) and address: Comptroller; Office of Justice Assistance Research, and Statistics; 633 Indiana Avenue NW, Washington, D.C.

Notification procedure: Same as above.

Record access procedures: A request for access to a record from this system shall be made in writing, with the envelope and the letter clearly marked "Privacy Access Request." Include in the request the name and personal identifer number. Access requests will be directed to the System Manager listed above.

Contesting record procedures: Individuals desiring to contest or amend information maintained in the system should direct their request to System Manager listed above, stating clearly and concisely what information is being contested, the reasons for contesting it, and the proposed amendment to the information sought.

Record source categories: Sources of information are the recipients of loans/grants and their educational institutions.

Systems exempted from certain provisions of the act: None.

JUSTICE/OJP-004

System name:

Grants Management Information System (PROFILE).

System location:

Office of Justice Programs, 633 Indiana Avenue, NW, Washington, D.C. 20531

Categories of individuals covered by the system:

Included are recipients (grantees) of OJP funds. These include grantees of the National Institute of Justice, the Bureau of Justice Statistics, the Bureau of Justice Assistance, the Office of Juvenile Justice and Delinquency Prevention, the Office of Victims of Crime, and the now defunct Office of Justice Assistance, Research, and Statistics, and the Law Enforcement Assistance Administration. Also included are project monitors and project directors of these grants.

Categories of records in the system:

Grantee and Project Audit File, Financial and Programmatic Compliance Records of the Grantee, Grant Applications, and Grant/Contract Award Computer Data File.

Authority for maintenance of the system:

The system is established and maintained in accordance with U.S.C. 301, 44 U.S.C. 3101, and 31 U.S.C. 3512.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Records from this system of records may be disclosed for the purpose of technical review and fiscal or program evaluation to experts in particular subject areas related to the substantive or fiscal components of the program.

Release of Information in an Adjudicative Proceeding:

It shall be a routine use of records within this system or any facts derived therefrom, to disseminate them in a proceeding before a court or adjudicative body before which the OJP is authorized to appear, when

i. The OJP, or any subdivision thereof, or

ii. Any employee of the OJP in his or her official capacity, or

iii. Any employee of the OJP in his or her individual capacity, where the Department of Justice has agreed to represent the employee, or

iv. The United States, where the OJP determines that the litigation is likely to affect it or any of its subdivisions, is a party to litigation or has an interest in litigation and such records are determined by the OJP to be arguably relevant to the litigation.

Release of Information to the News Media:

Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available from systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Release of Information to Members of Congress:

Information contained in systems of records maintained by the Department of Justice not otherwise required to be released pursuant to 5 U.S.C. 522, may be disclosed as a routine use to a member of Congress or staff acting upon the member's behalf when the member or staff requests the information on behalf of and at the request of the individuals who are the subject of the record.

Release of information to the National Archives and Records Administration (NARA) and to the General Services Administration (GSA). A record from a system of records may be disclosed as a routine use to NARA and GSA in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Information maintained in the system is stored on computer disc for use in a computer environment.

Retrievability:

Data is retrievable by name of individual covered by the system.

Safeguards:

Information in the system is safeguarded and protected by computer password key. Direct access is limited to computer personnel.

Retention and disposal:

Data is maintained for current fiscal year and previous fiscal years in master file. Data is not destroyed, but maintained for historical purposes.

System manager(s) and address:

Comptroller: Office of Justice Programs, 633 Indiana Avenue, NW., Washington, D.C. 20531.

Notification procedure:

Same as above.

Record access procedures:

A request for access to a record from this system shall be made in writing with the envelope and letter clearly marked "Privacy Access Request." Include in the request the name and grant/contract number. Access requests will be directed to the System Manager listed above.

Contesting record procedures:

Individuals desiring to contest or amend information maintained in the system should direct their requests to the System Manager listed above, stating clearly and concisely what information is being contested, the reasons for contesting it and the proposed amendment to the information sought.

Record source categories:

Sources of information contained in the system are grantees, applicants for award, and OJP project monitors.

Systems exempted from certain provisions of the act:

None.

JUSTICE/OJP-005

System name:

Financial Management System.

System location:

Office of Justice Program (OJP), 633 Indiana Avenue, NW., Washington, D.C. 20531.

Categories of individuals covered by the system:

Recipients of OJP, OJARS, LEAA, NIL, BIS, and OJJDP funds; Employees.

This system contains information concerning (a) current and past recipients of OJP funds, including those from the National Institute of Justice, the Bureau of Justice Assistance, the Bureau of Justice Statistics, the Office of Juvenile Justice and Delinquency Prevention, the Office for Victims of Crime, and the now defunct Office of Justice Assistance, Research and Statistics, and Law Enforcement Assistance Administration; (b) OJP employees; and (c) all individuals on whom vouchers are submitted requesting payment for goods or services rendered (except payroll vouchers for Department of Justice employees), including vendors, contractors, travelers, and employees.

Categories of records in the system:

Employee Travel Files; Time and Attendance Files: Government Travel System and Government Charge Cards; Government Transportation Request; Paid Vendor Documents File, all vouchers processed, i.e., all documents required to reserve, obligate, process and effect collection or payment of funds. (Excluded from the system are payroll vouchers.)

Authority for maintenance of the system:

5 U.S.C. 301, 31 U.S.C. 3512, and 44 U.S.C. 3101.

Purpose(s):

After processing the vouchers, OJP and the Justice Management Division use the records to maintain individual financial accountability; to furnish statistical data (not identified by personal identifiers); to meet both internal and external audit and reporting requirements; and to provide Administrative Officers from the Offices, Boards, and Divisions and the OJP with information on vouchers by name and social security number for agency financial management.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Release of information in an adjudicative proceeding:

It shall be a routine use of records within this system or any facts derived therefrom, to disseminate them in a proceeding before a court or adjudicative body before which the OJP is authorized to appear, when

i. The OJP, or any subdivision thereof, or

ii. Any employee of the OJP in his or her official capacity, or

iii. Any employee of the OJP in his or her individual capacity, where the Department of Justice has agreed to represent the employee, or

iv. The United States, where the OJP determines that the litigation is likely to affect it or any of its subdivisions, is a party to litigation or has an interest in litigation and such records are determined by the OJP to be arguably relevant to the litigation.

Release of information to the news media: Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available from systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Release of information to Members of Congress. Information contained in systems of records maintained by the Department of Justice, not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and at the request of the individual who is the subject of the record.

Release of information to the National Archives and Records Administration (NARA) and to the General Service Administration (GSA). A record from a system of records may be disclosed as a routine use to NARA and GSA in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Computerized discs, filed folders.

Retrievability:

Name, social security numbers, digital identifiers assigned by accounting office.

Safeguards:

Information contained in the system is unclassified and maintained in accordance with OJP procedures. Manual information in the system is safeguarded in locked file cabinets. Operational access to information maintained on computer discs is controlled by password key. These keys are issued only to employees who have a need to know to perform job functions relating to financial management and accountability. Access to manual files is also limited to employees who have a need for the records in the performance of their official duties.

Retention and disposal:

Employee travel files, time and attendance files and Government transportation files are closed at end of fiscal year, held three years thereafter.

Payment documents are retained for three fiscal years (current and two years). The payment documents and the aforementioned files are then shipped to a General Services Administration's Federal Records Center for storage and subsequent destruction in accordance with instructions of the General Accounting Office. Computerized discs are retained indefinitely.

System manager(s) and address:

Comptroller: Officer of Justice Programs, 633 Indiana Avenue, NW., Washington, DC 20531

Notification procedure:

Same as above.

Record access procedures:

A request for access to a record from this system shall be made in writing with the envelope and letter clearly marked "Privacy Access Request." Access requests will be directed to the System Manager listed above.

Contesting record procedures:

Individuals desiring to contest or amend information maintained in the system should direct their request to the System Manager listed above, stating clearly and concisely what information is being contested, the reasons for contesting it, and the proposed amendments to the information sought.

Record source categories:

Sources of information contained in the system are the individuals to whom the information pertains.

Systems exempted from certain provisions of the act:

None.

JUSTICE/OJP-006

System name:

Congressional and Public Affairs System.

System location:

Office of Justice Programs (OJP); 633 Indiana Avenue, NW., Washington, D.C. 20531.

Categories of individuals covered by the system:

Members of Congress, and other public figures.

Categories of records in the system:

Correspondence with Congressional Committees, members of Congress, and the general public. The file also contains biographical data, speeches, press releases, and photograph files relating to public figures.

Authority for maintenance of the system:

The system is established and maintained in accordance with 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Information in this system is used or may be used in response to inquiries from the general public or member of Congress.

Release of information to the news media: Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available from systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Release of information to Members of Congress. Information contained in systems of records maintained by the Department of Justice, not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and at the request of the individual who is the subject of the record.

Release of information to the National Archives and Records Administration (NARA) and to the General Services Administration (GSA): A record from a system of records may be disclosed as a routine use to NARA and GSA in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Information is indexed on a correspondence control log and stored in file folders.

Retrievability:

Information is retrieved by name of the member of Congress who is the correspondent, or by the name of the public figure.

Safeguards:

Records are maintained in file cabinets. Entrance to the building is controlled by required employee identification or security clearance procedures. Records are used by employees on a need to know basis only.

Retention and disposal:

Records are retained for two years, then retired to Federal Records Center. Six years thereafter records are destroyed.

System manager(s) and address:

Director, Office of Congressional and Public Affairs, Office of Justice Programs, 633 Indiana Avenue NW., Washington, DC 20531.

Notification procedure:

Same as the above.

Record access procedures:

A request for access to a record from the system shall be in writing, with the envelope and letter clearly marked "Privacy Access Request." Access requests will be directed to the System Manager listed above.

Contesting record procedures:

Individuals desiring to contest or amend information maintained in the system should direct their request to the System Manager listed above, stating clearly and concisely what information is being contested, the reasons for contesting it, and the proposed amendment to the information sought.

Record source categories:

Sources of information are Congressional members.

Systems exempted from certain provisions of the act:

None.

JUSTICE/OJP-007

System name: Public Information System.

System location: Office of Justice Assistance, Research and Statistics, 633 Indiana Avenue NW., Washington, D.C. 20531.

Categories of individuals covered by the system: Public figures.

Categories of records in the system: Biographical, Morgue, and Speech files, Photograph files.

Authority for maintenance of the system: The system is maintained and established in accordance with 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Available to the public under the Freedom of Information Act.

Release of information to the news media: Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available from systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Release of information to Members of Congress. Information contained in systems of records maintained by the Department of Justice, not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and at the request of the individual who is the subject of the record.

Release of information to the National Archives and Records Administration: A record from a system of records may be disclosed as a routine use to the National Archives and Records Administration (NARA) in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Information maintained in system is stored in file folders.

Retrievability: Information is retrieved by name of person to whom information pertains.

Safeguards: This information is of a nonconfidential nature and maintained pursuant to LEAA Handbook Instruction HB 1330.2.

Retention and disposal: Records are retained for four years, retired to Federal Records Center, and destroyed pursuant to Disposal Instructions in LEAA Handbook Instruction HB 1330.2.

System manager(s) and address: Director; Office of Public Information; Office of Justice Assistance, Research and Statistics, 633 Indiana Avenue NW., Washington, D.C. 20531.

Notification procedure: Same as the above.

Record access procedures: A request for access to a record from the system shall be in writing, with the envelope and letter clearly marked "Privacy Access Request." Access requests will be directed to the System Manager listed above.

Contesting record procedures: Individuals desiring to contest or amend information maintained in the system should direct their request to the System Manager listed above, stating clearly and concisely what information is being contested, the reasons for contesting it, and the proposed amendment to the information sought.

Record source categories: Newspaper, magazine and press service teletype clippings as well as individual to whom information pertains.

Systems exempted from certain provisions of the act: None.

JUSTICE/OJP–008

System name:

Civil Rights Investigative System.

System location:

Office of Justice Programs (OJP).

Categories of individuals covered by the system:

Individuals affected by any OJP project for which the agency has compliance responsibility, including grantees, subgrantees, contractors, subcontractors, employees, and applicants, who have made complaints of discrimination. OJP includes the National Institute of Justice, the Bureau of Justice Statistics, the Bureau of Justice Assistance, the Office of Juvenile Justice and Delinquency Prevention, and the Office for Victims of Crime. Also included are individuals who are the subjects of civil rights compliance records of the now defunct Office of Justice Assistance, Research, and Statistics, and the Law Enforcement Assistance Administration.

Categories of records in the system:

Civil Rights Complaint Control Files: Civil Rights Litigation Reference Files.

Authority for maintenance of the system:

42 U.S.C. 3789d, 42 U.S.C. 10604(e), 29 U.S.C. 794, 42 U.S.C. 2000d, 20 U.S.C. 1681, 42 U.S.C. 5601, and 42 U.S.C. 1601.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

OJP uses information in this system to investigate complaints and to obtain compliance with civil rights laws. Other such users of the information are appropriate State agencies, Civil Rights Division of the Justice Department, State Governors and Attorneys General, Office of Federal Contract Compliance, Equal Employment Opportunity Commission, Office of Federal Revenue Sharing, and the United States Commission on Civil Rights, Department of Health and Human Services, Department of Education and OJP. OJP may also use this information for agency project evaluation, technical assistance, and training.

Release of information in an adjudicative proceeding:

It shall be a routine use of records within this system or any facts derived therefrom, to disseminate them in a proceeding before a court or adjudicative body before which the OJP is authorized to appear, when

i. The OJP, or any subdivision thereof, or

ii. Any employee of the OJP in his or her official capacity, or

iii. Any employee of the OJP in his or her individual capacity, where the Department of Justice has agreed to represent the employee, or

iv. The United States, where the OJP determines that the litigation is likely to affect it or any of its subdivisions, is a party to litigation or has an interest in litigation and such records are determined by the OJP to be arguably relevant to the litigation.

Release of information to the news media:

Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available from systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Release of information to members of congress:

Information contained in systems of records maintained by the Department of Justice, not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and at the request of the individual who is the subject of the record.

Release of information to the National Archives and Records Administration (NARA) and to the General Services Administration (GSA):

A record from a system of records may be disclosed as a routine use to NARA and GSA in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Information in the system is stored in file folders and on index cards.

Retrievability:

Information is retrieved by name of the individual or organization against whom the complaint is made.

Complaint case files are not retrievable by information indentifiable to the individual complainant.

Safeguards:

Information is kept in locked file cabinets and combination safe. Access is limited to investigative personnel.

Retention and disposal:

All investigative information is destroyed ten years after the investigation is completed.

System manager(s) and address:

Office of Civil Rights Compliance, Office of Justice Programs, 633 Indiana Avenue NW., Washington, DC 20531.

Notification procedure:

Same as the above.

Record access procedures:

A request for access to a record containing civil rights investigatory material shall be made in writing with the envelope and letter clearly marked "Privacy Access Request" to the Civil Rights System Manager listed above.

Contesting record procedures:

Individuals desiring to contest or amend information maintained in the system should direct their request to the System Manager listed above, stating clearly and concisely what information is being contested, the reasons for contesting it, and the proposed amendment to the information sought.

Record source categories:

The information contained in this system was received from individual complainants, witnesses, grant files, respondents, official State and Federal records.

Systems exempted from certain provisions of the act:

The Attorney General has exempted this system from subsection (d) of the Privacy Act pursuant to 5 U.S.C. 552a(k)(2). Rules have been promulgated in accordance with the requirements of 5 U.S.C. 553 (b), (c), and (e) and have been published in the Federal Register.

JUSTICE/OJP–009

System name:

Federal Advisory Committee Membership Files.

System location:

Office of Justice Programs (OJP), 633 Indiana Avenue NW., Washington, DC, 20531.

Categories of individuals covered by the system:

Individuals who have been or are presently members of or are being considered for membership on advisory committees within the jurisdiction of the OJP.

OJP includes the former Office of Justice Assistance, Research, and Statistics, the former Law Enforcement Assistance Administration, National Institute of Justice, Bureau of Justice Assistance, Office of Juvenile Justice and Delinquency Prevention, and the Office of Victims of Crime.

Categories of records in the system:

Correspondence, documents relating to committee members, biographical data, and Committee membership forms.

Authority for maintenance of the system:

Federal Advisory Committee Act, 5 U.S.C. App. I et seq.; 5 U.S.C. 301; 44 U.S.C. 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Annual Report to the President; administrative reports to OMB and other federal agencies.

Release of information to the news media:

Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available from systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Release of Information to the National Archives and Records Administration (NARA) and the General Services Administration (GSA).

A record from a system of records may be disclosed as a routine use to NARA and GSA in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Release of Information to Congress.

Information contained in systems of records maintained by the Department of Justice, not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and at the request of the individual who is the subject of the record.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Information in system is stored in file folders.

Retrievability:

Information is retrieved by name of individual.

Safeguards:

Data is maintained in file cabinets. The entrance to the building requires building pass or security sign-in.

Retention and disposal:

The data is placed in an inactive file upon discontinuance of membership, held for two years and then retired to the Federal Records Center.

System manager(s) and address:

Federal Advisory Committee Officer, Office of General Counsel, Office of Justice Programs, 633 Indiana Avenue, NW., Washington, D.C. 20531.

Notification procedure:

Same as the above.

Record access procedures:

A request for access to a record from this system shall be made in writing, with the envelope and the letter clearly marked "Privacy Access Request." Access requests will be directed to the System Manager listed above.

Contesting record procedures:

Individuals desiring to contest or amend information maintained in the system should direct their request to the System Manager listed above, stating clearly and concisely what information is being contested, the reasons for contesting it, and the proposed amendment to the information sought.

Record source categories:

Sources of information are supplied directly by individuals about whom the record pertains, references, recommendations, program personnel, and biographical reference books.

Systems exempted from certain provisions of the act:

None.

JUSTICE/OJP-010

System name:

Technical Assistance Resource Files.

System location:

Office of Juvenile Justice and Delinquency Prevention, 633 Indiana Avenue NW., Washington, DC 20531.

Categories of individuals covered by the system:

Consultants with expertise in criminal justice systems.

Categories of records in the system:

The system consists of résumés and other documents related to technical assistance requests.

Authority for maintenance of the system:

The system is maintained under authority of 44 U.S.C. 3101 and 42 U.S.C. 5614(b)(6).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The system is used to determine the qualifications and availability of individuals for technical assistance assignments. Users are State Criminal Justice Councils, and the Office of Juvenile Justice and Delinquency Prevention.

Release of information to the new medias:

Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available from systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Release of information to members of Congress:

Information contained in systems of records maintained by the Department of Justice, not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and at the request of the individual who is the subject of the record.

Release of information to the National Archives and Records Administration (NARA) and the General Services Administration:

A record from a system of records may be disclosed as a routine use to NARA and GSA in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Information contained in the system is on hard copy and stored in file cabinets.

Retrievability:

Information is manually retrieved by the name of the individual.

Safeguards:

Records are stored in file cabinets. Admittance to the building in which they are stored requires a building pass or an individual signature at the main entrance to the building.

Retention and disposal:

Records are placed in an inactive file at the end of the fiscal year in which final use was made. They are held two years in the inactive file; then transferred to the Federal Records Center. Records are destroyed after six years.

System manager(s) and address:

Technical Assistance Coordinator; Division Director of Program area in which records are sought in the Office of Juvenile Justice and Delinquency Prevention, Office of Justice Programs, 633 Indiana Avenue NW., Washington, DC 20531.

Notification procedure:

Address inquiries to the system manager(s) at the above address.

Record access procedures:

A request for access to a record contained in this system shall be made in writing with the envelope and letter clearly marked "PRIVACY ACCESS REQUEST." Include in the request the name and grant/contract number for the record desired. Access requests will be directed to the system manager(s) listed above.

Contesting record procedures:

Individuals desiring to contest or amend information maintained in the system should direct their requests to the system manager(s) listed above, stating clearly and concisely what information is being contested, the reasons for contesting it, and the proposed amendment to the information sought.

Record source categories:

Sources of information contained in this system are those individuals to whom the information pertain.

Systems exempted from certain provisions of the act:

None.

JUSTICE/OJP-011

System name:

Registered Users File—National Criminal Justice Reference Service (NCJRS).

System location:

National Criminal Justice Reference Service, 1600 Research Blvd., Rockville. MD 20850

Categories of individuals covered by the system:

The system contains information on those individuals engaged in criminal justice activities, citizen groups and academicians.

Categories of records in the system:

The system provides a record of registrants who request reference services and products from NCIRS.

Authority for maintenance of the system:

The system is maintained and established in accordance with 42 U.S.C. 3721.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The information contained in the system is used as a mailing list to supply registrants requesting services from NCJRS with information or products.

Release of information to the news media: Information permitted to be released to the news media and the public pursuant to 29 CFR 50.2 may be made available from systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Release of information to Members of Congress. Information to Members of Congress. Information contained in systems of records maintained by the Department of Justice, not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and at the request of the individual who is the subject of the record.

Release of information to the National Archives and Records Administration. A record from a system of records may be disclosed as a routine use of the National Archives and Records Administration and the General Services Administration in records management inspection conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Information is stored on magnetic disc pack for use in a computer environment.

Retrievability:

Information is retrieved by the name and user identity number of the individual or organization requesting information.

Safeguards:

Information is maintained in the Justice Data Services Center which is a secured area. Special identity cards are required for admittance to the area.

Retention and disposal:

Information is retained until the individual no longer wishes to utilize the service. Upon notification by an individual that he no longer wishes to use the service, or by lack of response of user to Annual Renewals, his record is electronically purged from the film.

System manager(s) and address:

Operation Service Supervisor, National Criminal Justice Reference Service, P.O. Box 6000, Rockville, MD 20850

Notification procedure:

Address inquiries to the system manager(s) at the above address.

Record access procedures:

A request for access to a record contained in this system shall be made in writing with the envelope and letter clearly marked, 'PRIVACY ACCESS REQUEST.' Access requests will be directed to the system manager(s) at the above address.

Contesting record procedures:

Individuals desiring to contest or amend information maintained in the system should direct their requests to the system manager(s) listed above, stating clearly and concisely what information is being contested, the reasons for contesting it, and the proposed amendment to the information sought.

Record source categories:

Sources for the information contained in this system are those individuals covered by the system.

Systems exempted from certain provisions of the act:

None.

JUSTICE/OJP-012

System name:

Public Safety Officers Benefits System.

System location:

Bureau of Justice Assistance, Office of Justice Programs, (OJP), 633 Indiana Avenue, NW., Washington, D.C. 20531.

Categories of individuals covered by the system:

Public Safety Officers who died while in the line of duty and their surviving beneficiaries.

Categories of records in the system:

This system contains an index by claimant and deceased Public Safety Officers: Case files of eligibility documentation; and benefit payment records.

Authority for maintenance of the system:

Authority for maintaining this system exists under 42 U.S.C. 3796 and 44 U.S.C. 3103.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Information contained in this system is used or may be used to determine and record eligibility of Public Safety Officers under the Public Safety Officers Benefits Act. It may be released to:

(1) State and local agencies to verify and certify eligibility for benefits; (2) researchers for the purpose of researching the cause and prevention of public safety officer line of duty deaths; (3) appropriate Federal agencies to coordinate benefits paid under similar programs; and (4) Members of Congress or staff acting upon the member's behalf when the Member or staff requests the information on behalf of and at the request of the individual who is a party in interest.

Release of information in an adjudicative proceeding:

It shall be a routine use of records within this system or any facts derived therefrom, to disseminate them in a proceeding before a court or adjudicative body before which the OJP is authorized to appear, when

i. The OJP, or any subdivision thereof, or

ii. Any employee of the OJP in his or her official capacity, or

iii. Any employee of the OJP in his or her individual capacity, where the Department of Justice has agreed to represent the employee, or

iv. The United States, where the OJP determines that the litigation is likely to affect it or any of its subdivisions, is a party to litigation or has an interest in litigation and such records are determined by the OJP to be arguably relevant to the litigation.

Release of information to the news media:

Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available from systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Release of information to the National Archives and Records Administration (NARA) and to the General Services Administration (GSA):

A record from a system of records may be disclosed as a routine use to the NARA AND GSA in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Release of information to Members of Congress. Information contained in systems of records maintained by the Department of Justice, not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and at the request of the individual who is the subject of the record.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Information in this system is maintained on a master index, in folders and on computer magnetic tape.

Retrievability:

Information is retrievable by name of claimant, name of deceased Public Safety Officer, and case file number.

Safeguards:

Computerized information is safeguarded and protected by computer password key and limited access. Noncomputerized data is safeguarded in locked cabinets. All files are maintained in a guarded building.

Retention and disposal:

Files are retained in the Public Safety Officer Benefits (PSOB) Office on hard copy. Files will be disposed of pursuant to OJP Handbook 1330.2A.

System manager(s) and address:

PSOB Program Officer, Bureau of Justice Assistance, Office of Justice Programs, 633 Indiana Avenue, NW., Washington, D.C. 20531.

Notification procedure:

Same as above.

Record access procedures:

Request for access to a record from this system should be made in writing with the envelope and the letter clearly marked "Privacy Access Request." Access requests will be directed to the System Manager listed above.

Contesting record procedures:

Individuals desiring to contest or amend information maintained in the system should direct their request to the System Manager listed above and state clearly and concisely what information is being contested, the reason for contesting it and the proposed amendment to the information sought.

Record source categories:

Public agencies including employing agency, beneficiaries, educational institutions, physicians, hospitals, official state and Federal documents.

Systems exempted from certain provisions of the act:

None.

OFFICE OF LEGISLATIVE AFFAIRS

JUSTICE/OLA-001

System name:

Congressional Committee Chairman Correspondence File.

System location:

U.S. Department of Justice, 10th and Constitution Avenue, NW., Washington, D.C. 20530.

Categories of individuals covered by the system:

Current and past Chairmen of Congressional Committees who correspond with the Department on legislative and other related matters.

Categories of records in the system:

The system contains letters and attachments transmitted by Congressional Committee Chairmen together with copies of the Departmental responses to these letters.

Authority for maintenance of the system:

The system is established and maintained in accordance with 5 U.S.C. 301 and 44 U.S.C. 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Use of the information is entirely within the Department on a need to know basis.

Release of information to the National Archives and Records Administration (NARA) and the General Services Administration (GSA):

A record from a system of records may be disclosed as a routine use to NARA and GSA in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Release of information of the news media:

Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available from systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Release of information to members of Congress:

Information contained in systems of records maintained by the Department of Justice, not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and at the request of the individual who is the subject of the record.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Information maintained in the system is stored in file cabinets.

Retrievability:

Information is retrieved by using the name of the particular Congressional Committee Chairman who initiated the correspondence in a particular matter.

Safeguards:

Information contained in the system is unclassified. Routine protection is provided.

Retention and disposal:

Information maintained in this system contains correspondence generated during the current and two preceding Congresses.

System manager(s) and address:

Legislative Assistance, Office of Legislative Affairs, U.S. Department of Justice, 10th and Constitution Avenue, NW., Washington, D.C. 20530.

Notification procedure:

Address inquiries to the: Assistant Attorney General, Office of Legislative Affairs, U.S. Department of Justice, 10th and Constitution Avenue, NW., Washington, D.C. 20530.

Record access procedures:

A request for access to a record from this system shall be made in writing, with the envelope and the letter clearly marked 'Privacy Access Request'. Include in the request the nature of the letter or document as well as the general subject matter of the document. The requestor will also provide a certification of identity and a return address for transmitting the information. Access requests will be directed to the System Manager listed above.

Contesting record procedures:

Individuals desiring to contest or amend information maintained in the system should direct their request to the System Manager listed above, stating clearly and concisely what information is being contested, the reasons for contesting it, and the proposed amendment to the information sought.

Record source categories:

The source of the information contained in this system comes directly from the individual initiating the correspondence.

Systems exempted from certain provisions of the act:

None.

JUSTICE/OLA-002

System name:

Congressional Correspondence File.

System location:

U.S. Department of Justice, 10th and Constitution Avenue NW., Washington, D.C. 20530.

Categories of individuals covered by the system:

Current and past members of Congress who correspond with the Department on legislative and other related matters.

Categories of records in the system:

The system contains letters and attachments transmitted by the individual members of Congress together with copies of the Departmental responses to these letters.

Authority for maintenance of the system:

The system is established and maintained in accordance with 5 U.S.C. 301 and 44 U.S.C. 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Use of the information is entirely within the Department on a need to know basis.

Release of information to the news media:

Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available from systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Release of information to members of Congress:

Information contained in systems of records maintained by the Department of Justice, not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and at the request of the individual who is the subject of the record.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Release of information to the National Archives and Records Administration (NARA) and the General Services Administration (GSA): A record from a system of records may be disclosed as a routine use to NARA and GSA in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Information maintained in the system is stored in file cabinets.

Retrievability:

Information is retrieved by using the name of the individual member of Congress who initiated the correspondence in a particular matter.

Safeguards:

Information contained in the system is unclassified. Routine protection is provided.

Retention and disposal:

Information maintained in this system contains correspondence generated during the past and present Congress.

System manager(s) and address:

Legislative Assistant, Office of Legislative Affairs, U.S. Department of Justice, 10th and Constitution Avenue, NW., Washington, D.C. 20530.

Notification procedure:

Address inquiries to the Assistant Attorney General, Office of Legislative Affairs, U.S. Department of Justice, 10th and Constitution Avenue, NW., Washington, D.C. 20530.

Record access procedures:

A request for access to a record from this system shall be made in writing, with the envelope and letter clearly marked 'Privacy Access Request'. Include in the request the nature of the letter or document as well as the general subject matter of the document. The requestor will also provide a certification of identity and a return address for transmitting the information. Access requests will be directed to the System Manager listed above.

Contesting record procedures:

Individuals desiring to contest or amend information maintained in the system should direct their request to the System Manager listed above, stating clearly and concisely what information is being contested, the reasons for contesting it, and the proposed amendment to the information sought.

Record source categories:

The source of the information contained in this system comes directly from the individual initiating the correspondence.

Systems exempted from certain provisions of the act:

None.

JUSTICE/OLA-003

System name:

Citizen Correspondence File.

System location:

U.S. Department of Justice, 10th and Constitution Avenue, NW, Washington, D.C. 20530.

Categories of individuals covered by the system:

Persons corresponding with the Department on legislative and other related matters.

Categories of records in the system:

The system contains letters and attachments transmitted by individuals together with copies of the Departmental responses to these letters.

Authority for maintenance of the system:

The system is established and maintenance in accordance with 5 U.S.C. 301 and 44 U.S.C. 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Use of the information is entirely within the Department on a need to know basis.

Release of information to the news media:

Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available from systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Release of information to the National Archives and Records Administration (NARA) and the General Services Administration (GSA): A record from a system of records may be disclosed as a routine use to NARA and GSA in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Information maintained in the system is stored in file cabinets.

Retrievability:

Information is retrieved by using the name of the individual who initiated the correspondence in a particular matter.

Safeguards:

Information contained in the system is unclassified. Routine protection is provided.

Retention and disposal:

Information maintained in this system contains correspondence from individuals during the past and present Congress.

System manager(s) and address:

Legislative Assistant, Office of Legislative Affairs, U.S. Department of Justice, 10th and Constitution Avenue, NW., Washington, D.C. 20530.

Notification procedure:

Address inquiries to the: Assistant Attorney General, Office of Legislative Affairs, U.S. Department of Justice, 10th and Constitution Avenue, NW., Washington, D.C. 20530.

Record access procedures:

A request for access to a record from this system shall be made in writing, with the envelope and the letter clearly marked 'Privacy Access Request'. Include in the request the nature of the letter or document as well as the general subject matter of the document. The requestor will also provide a certification of identity and a return address for transmitting the information. Access requests will be directed to the System Manager listed above.

Contesting record procedures:

Individuals desiring to contest or amend information maintained in the system should direct their request to the System Manager listed above, stating clearly and concisely what information is being contested, the reasons for contesting it, and the proposed amendment to the information sought.

Record source categories:

The source of the information contained in this system comes directly from the individual initiating the correspondence.

Systems exempted from certain provisions of the act:

None.

OFFICE OF LEGAL COUNSEL

JUSTICE/OLC-001

System name:

Attorney Assignment Reports.

System location:

Office of Legal Counsel, U.S. Department of Justice, 10th and Constitution Avenue, NW., Washington, D.C.

Categories of individuals covered by the system:

Attorneys employed in the Office of Legal Counsel, U.S. Department of Justice at the time each report was filed.

Categories of records in the system:

The system consists of memoranda addressed to the Assistant Attorney General by each staff attorney at periodic intervals listing current assignments. Some reports also list completed assignments, projected workload and anticipated leave.

Authority for maintenance of the system:

These records are kept for administrative convenience pursuant to 5 U.S.C. 301 and 44 U.S.C. 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Information from the system is not used outside the Department except to advise Executive Branch agencies as to the identity of the attorney working on a specific assignment, when inquiry is made.

Release of information to the news media: Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available from systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Release of information to Members of Congress. Information contained in systems of records maintained by the Department of Justice, not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and at the request of the individual who is the subject of the record.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Release of information to the National Archives and Records Administration: A record from a system of records may be disclosed as a routine use to the National Archives and Records Administration (NARA) in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

The Assistant Attorney General, each of his Deputies, the Administrative Officer and the attorney who filed the report each have copies. Some are retained chronologically in file folders, some alphabetically in note books.

Retrievability:

Information may be retrieved by name, alphabetically, or chronologically.

Safeguards:

Information is maintained in offices occupied during the day and locked at night.

Retention and disposal:

The Assistant Attorney General's file is chronological and is maintained for three months. Attorneys may retain their copies indefinitely, others are kept for about two years and disposed of.

System manager(s) and address:

Assistant Attorney General, Office of Legal Counsel, U.S. Department of Justice, 10th and Constitution Avenue, NW, Washington, D.C. 20530.

Notification procedure:

Address inquiries to the System Manager, the Administrative Officer or the two Deputies at the above address.

Record access procedures:

A request for access to a record from this system may be made in person or in writing, specifying the name of the attorney and the dates of reports requested.

Contesting record procedures:

Any requests for correction should be addressed to the System Manager.

Record source categories:

Information is supplied by the attorneys employed by the Office of Legal Counsel on the date the report is filed.

Systems exempted from certain provisions of the act:

None.

Justice/OLC-002

System name:

Office of Legal Counsel Central File.

System location:

U.S. Department of Justice, Office of Legal Counsel, 10th and Consititution Avenue, NW, Washington, D.C. 20530.

Categories of individuals covered by the system:

The system will permit retrieval of information concerning persons mentioned in the legal opinions, memoranda, correspondence, testimony and other writings of the Office of Legal Counsel. These will include:

(A) Addresses, authors and employees of the Office of Legal Counsel whose name appears in memoranda, opinions, correspondence, testimony and other writings of the Office;

(B) Individuals who are the subject of opinions, particularly on such subjects as conflict of interest, employee standards of conduct, and immigration;

(C) Attendees at meetings described in a memorandum included in the file;

(D) Litigants and judges identified in connection with reported court decisions and pending cases described in memoranda; and

(E) Other individuals identified in connection with questions presented to the Office of Legal Counsel for resolution or comment.

Categories of records in the system:

The system consists of memoranda, correspondence, testimony and other writings of the Office of Legal Counsel from 1945 to the present.

Authority for maintenance of the system:

The system is maintained pursuant to the responsibilities of the Office of Legal Counsel set forth in 28 CFR 0.25.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Information contained in this system is provided to the following categories of users for the purposes stated:

(A) Access to the computerized files of the Office of Legal Counsel will be confined to employees of the Office of Legal Counsel and other employees of the Department of Justice with specific permission.

(B) With the approval of the agency that requested the opinion, selected recent opinions of the Office of Legal Counsel will be published for general use, but personal information about individuals will be deleted if release of that information would constitute a clearly unwarranted invasion of personal privacy;

(C) Unpublished opinions of the Office of Legal Counsel are ordinarily made available upon request to third parties consistent with the Freedom of Information Act.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

The indices are maintained on 5 x 7 cards in a master subject-matter index on all Office of Legal Counsel memoranda, opinions, correspondence, testimony and other writings. In addition, to facilitate Freedom of Information Act/Privacy Act searches, an alphabetical assortment of cards has been established within the immigration and conflict of interest opinion indices which contain the names of individuals who are the subjects of these opinions. These are, in effect, cross-indices to a small portion of the Office of Legal Counsel's overall opinions that are otherwise indexed and retrieved according to subject matter. These indices are maintained to assist in the retrieval of opinions and memoranda from chronological files. However, because the system is undergoing gradual conversion to a computerized system to facilitate legal research, some opinions are also now stored on magnetic disks. Even though the software design creates the capability for name retrieval, the purpose of the design is to facilitate retrieval by legal subject matter and the Office of Legal Counsel will continue to utilize the system in this manner.

Retrievability:

The alphabetical card index on conflict of interest and immigration opinions will be retrieved by name. In addition, while that information which has been entered into the computer to date may be retrieved by name, all information, except that on conflict of interest and immigration opinions, will ordinarily continue to be retrieved by legal subject matter since the Office seldom has need to focus on a name in legal research.

Safeguards:

Index cards and chronological files are kept in locked offices when unattended. Access is restricted to those personnel with a need to know.

The compilation of Office of Legal Counsel opinions available on magnetic tape is subject to two access limitations designed to insure that only authorized personnel of the Office of Legal Counsel have access. First, the opinions in the computer system can be retrieved only by those persons having a specified identification number, and numbers are assigned only to personnel of the Office of Legal Counsel. Second, there is an access code word in addition to the identification number required for access to the opinions, and the code word is made known only to the Office of Legal Counsel personnel.

During the period in which new opinions are being computerized an exception to these access restrictions is made so that the contracting assistant in the Justice Management Division who is overseeing the computerization also has access to the opinions.

Retention and disposal:

The records will be maintained indefinitely.

System manager(s) and address:

Administrative Officer, Office of Legal Counsel, U.S. Department of Justice, 10th and Constitution Avenue, NW, Washington, D.C. 20530.

Notification procedure:

Inquiries should be addressed to the Assistant Attorney General, Office of Legal Counsel, at the address above.

Record access procedures:

Same as above.

Contesting record procedures:

Same as above.

Record source categories:

General legal research sources and individuals and agencies requesting opinions from the Office of Legal Counsel.

Systems exempted from certain provisions of the act:

None.

OFFICE OF LEGISLATIVE AFFAIRS

JUSTICE/OLA-001

System name:

Congressional Committee Chairman Correspondence File.

System location:

U.S. Department of Justice, 10th and Constitution Avenue, NW, Washington, D.C. 20530.

Categories of individuals covered by the system:

Current and past Chairmen of Congressional Committees who correspond with the Department on legislative and other related matters.

Categories of records in the system:

The system contains letters and attachments transmitted by Congressional Committee Chairmen together with copies of the Departmental responses to these letters.

Authority for maintenance of the system:

The system is established and maintained in accordance with 5 U.S.C. 301 and 44 U.S.C. 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Use of the information is entirely within the Department on a need to know basis.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Release of information to the National Archives and Records Administration:

A record from a system of records may be disclosed as a routine use to the National Archives and Records Administration (NARA) in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Release of information to the news media:

Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available from systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Release of information to Members of Congress:

Information contained in systems of records maintained by the Department of Justice, not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and at the request of the individual who is the subject of the record.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Information maintained in the system is stored in file cabinets.

Retrievability:

Information is retrieved by using the name of the particular Congressional Committee Chairman who initiated the correspondence in a particular matter.

Safeguards:

Information contained in the system is unclassified. Routine protection is provided.

Retention and disposal:

Information maintained in this system contains correspondence generated during the 96th and 97th Congresses. This system was not maintained prior to the 93rd Congress.

System manager(s) and address:

Legislative Assistant, Office of Legislative Affairs, U.S. Department of Justice, 10th and Constitution Avenue, NW, Washington, D.C. 20530.

Notification procedure:

Address inquiries to the: Assistant Attorney General, Office of Legislative Affairs, U.S. Department of Justice, 10th and Constitution Avenue, NW, Washington, D.C. 20530.

Record access procedures:

A request for access to a record from this system shall be made in writing, with the envelope and the letter clearly marked 'Privacy Access Request'. Include in the request the nature of the letter or document as well as the general subject matter of the document. The requestor will also provide a certification of identity and a return address for transmitting the information. Access requests will be directed to the System Manager listed above.

Contesting record procedures:

Individuals desiring to contest or amend information maintained in the system should direct their request to the System Manager listed above, stating clearly and concisely what information is being contested, the reasons for contesting it, and the proposed amendment to the information sought.

Record source categories:

The source of the information contained in this system comes directly from the individual initiating the correspondence.

Systems exempted from certain provisions of the act:

None.

JUSTICE/OLA-002

System name:

Congressional Correspondence File.

System location:

U.S. Department of Justice, 10th and Constitution Avenue, NW, Washington, D.C. 20530.

Categories of individuals covered by the system:

Current and past members of Congress who correspond with the Department on legislative and other related matters.

Categories of records in the system:

The system contains letters and attachments transmitted by the individual members of Congress together with copies of the Departmental responses to these letters.

Authority for maintenance of the system:

The system is established and maintained in accordance with 5 U.S.C. 301 and 44 U.S.C. 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Use of the information is entirely within the Department on a need to know basis.

Release of information to the news media:

Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available from systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Release of information to Members of Congress:

Information contained in systems of records maintained by the Department of Justice, not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and at the request of the individual who is the subject of the record.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Release of information to the National Archives and Records Administration: A record from a system of records may be disclosed as a routine use to the National Archives and Records Administration (NARA) in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Information maintained in the system is stored in file cabinets.

Retrievability:

Information is retrieved by using the name of the individual member of Congress who initiated the correspondence in a particular matter.

Safeguards:

Information contained in the system is unclassified. Routine protection is provided.

Retention and disposal:

Information maintained in this system contains correspondence generated during the 97th Congress.

System manager(s) and address:

Legislative Assistant, Office of Legislative Affairs, U.S. Department of Justice, 10th and Constitution Avenue, NW, Washington, D.C. 20530.

Notification procedure:

Address inquiries to the: Assistant Attorney General, Office of Legislative Affairs, U.S. Department of Justice, 10th and Constitution Avenue, NW, Washington, D.C. 20530.

Record access procedures:

A request for access to a record from this system shall be made in writing, with the envelope and letter clearly marked 'Privacy Access Request'. Include in the request the nature of the letter or document as well as the general subject matter of the document. The requestor will also provide a certification of identity and a return address for transmitting the information. Access requests will be directed to the System Manager listed above.

Contesting record procedures:

Individuals desiring to contest or amend information maintained in the system should direct their request to the System Manager listed above, stating clearly and concisely what information is being contested, the reasons for contesting it, and the proposed amendment to the information sought.

Record source categories:

The source of the information contained in this system comes directly from the individual initiating the correspondence.

Systems exempted from certain provisions of the act:

None.

JUSTICE/OLA-003

System name:

Citizen Correspondence File.

System location:

U.S. Department of Justice, 10th and Constitution Avenue, NW, Washington, D.C. 20530.

Categories of individuals covered by the system:

Persons corresponding with the Department on legislative and other related matters.

Categories of records in the system:

The system contains letters and attachments transmitted by individuals together with copies of the Departmental responses to these letters.

Authority for maintenance of the system:

The system is established and maintenance in accordance with 5 U.S.C. 301 and 44 U.S.C. 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Use of the information is entirely within the Department on a need to know basis:

Release of information to the news media:

Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available form systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Release of information to the National Archives and Records Administration: A record from a system of records may be disclosed as a routine use to the National Archives and Records Administration (NARA) in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Information maintained in the system is stored in file cabinets.

Retrievability:

Information is retrieved by using the name of the individual who initiated the correspondence in a particular matter.

Safeguards:

Information contained in the system is unclassified. Routine protection is provided.

Retention and disposal:

Information maintained in this system contains correspondence from individuals during 1974 to the present. This system was not maintained prior to 1974.

System manager(s) and address:

Legislative Assistant, Office of Legislative Affairs, U.S Department of Justice, 10th and Constitution Avenue, NW, Washington, D.C. 20530.

Notification procedure:

Address inquiries to the: Assistant Attorney General, Office of Legislative Affairs, U.S. Department of Justice, 10th and Constitution Avenue, N.W., Washington, D.C. 20530.

Record access procedures:

A request for access to a record from this system shall be made in writing, with the envelope and the letter clearly marked 'Privacy Access Request'. Include in the request the nature of the letter or document as well as the general subject matter of the document. The requestor will also provide a certification of identity and a return address for transmitting the information. Access requests will be directed to the System Manager listed above.

Contesting record procedures:

Individuals desiring to contest or amend information maintained in the system should direct their request to the System Manager listed above, stating clearly and concisely what information is being contested, the reasons for contesting it, and the proposed amendment to the information sought.

Record source categories:

The source of the information contained in this system comes directly from the individual initiating the correspondence.

Systems exempted from certain provisions of the act:

None.

OFFICE OF LEGAL POLICY

JUSTICE/OLP-001

System name:

Freedom of Information and Privacy Appeals Index.

System location:

Office of Legal Policy, United States Department of Justice, 10th and Constitution Avenue, NW, Washington, D.C. 20530.

Categories of individuals covered by the system:

The system encompasses all individuals who submit administrative appeals under the Freedom of Information or Privacy Acts and initial requests for access to records located in the Office of the Attorney General, Deputy Attorney General or Associate Attorney General.

Categories of records in the system:

The system contains copies of administrative requests, appeals and other related correspondence filed under the Freedom of Information and Privacy Acts and copies are filed sequentially by date of receipt based on a numerical identifier assigned to each appeal. Also included are index cards which list the name of the appellant and the numercial identifier assigned.

Authority for maintenance of the system:

The system was established and is maintained to enable the Office of Legal Policy to comply with the reporting requirements set forth in 5 U.S.C. 552 and 552a.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records are maintained for the purpose of processing administrative requests and appeals under the Freedom of Information and Privacy Acts and to comply with the reporting requirements of those Acts.

Release of information to the news media:

Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available from systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Release of information to members of congress:

Information contained in systems of records maintained by the Department of Justice, not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and at the request of the individual who is the subject of the record.

Release of information to the National Archives and Records Administration:

A record from a system of records may be disclosed as a routine use to the National Archives and Records Administration (NARA) in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Release of information to civil or criminal law enforcement agencies: Information may be disclosed to any civil or criminal law enforcement agency, whether Federal, State, local, or foreign, which requires information relevant to a civil or criminal investigation.

Release of information to agencies regarding the hiring or retention of employees: Information may be disclosed to officials and employees of the White House or any Federal agency which requires information relevant to an agency decision concerning the hiring, appointment, or retention of an employee; the issuance of a security clearance; the execution of a security or suitability investigation; the classification of a job; or the issuance of a grant or benefit.

Release of information to Federal, State, and local licensing agencies: Information may be disclosed to Federal, State, and local licensing agencies or associations which require information concerning the suitability or eligibility of an individual for a license or permit.

Release of information before a court or adjudicative body: Information may be disclosed in a proceeding before a court of adjudicative body before which the Office of Legal Policy is authorized to appear when (a) the Office of Legal Policy, or any subdivision thereof, or (b) any employee of the Office of Legal Policy in his or her official capacity, or (c) any employee of the Office of Legal Policy in his or her individual capacity where the Department of

Justice has agreed to represent the employee, or (d) the United States, where the Office of Legal Policy determines that the litigation is likely to affect it or any of its subdivisions, is a party to litigation or has an interest in litigation and such records are determined by the Office of Legal Policy to be arguably relevant to the litigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

These records are stored in file folders in cabinets.

Retrievability:

These folders are filed by the number assigned to each.

Safeguards:

These records are stored in cabinets in a lockable room.

Retention and disposal:

These folders are kept indefinitely.

System manager(s) and address:

Director, Office of Privacy and Information Appeals, Office of Legal Policy, United States Department of Justice, 10th and Constitution Avenue, NW., Washington, D.C. 20530.

Notification procedure:

Same as the System Manager.

Record access procedures:

Same as the System Manager.

Contesting record procedures:

Same as the System Manager.

Record source categories:

Those individuals who submit certain requests and all appeals under the Freedom of Information and Privacy Acts.

Systems exempted from certain provisions of the act:

The Attorney General has exempted this system from subsections (d)(1), (2), (3), and (4); (e)(1), (2), (4)(G) and (H), and (5); and (g) of the Privacy Act pursuant to 5 U.S.C. 552a (j)(2), (k)(2) and (k)(5). Rules have been promulgated in accordance with the requirements of 5 U.S.C. 553 (b), (c) and (e) and have been published in the Federal Register.

JUSTICE/OLP-002

System name:

United States Judges Records System.

System location:

Office of the Legal Policy, United States Department of Justice, 10th and Constitution Avenue, NW, Washington, D.C. 20530.

Categories of individuals covered by the system:

The system encompasses every United States Judge except those appointed to the United States Court of Military Appeals and Tax Court.

Categories of records in the system:

This system of records consists of records folders which may contain up to five sections. The personnel section contains general, personnel-type information and includes such items as biographical sketches, oaths of office, copies of commissions, nomination letter, qualifications statements, letters of recommendation, and copies of notifications of appointment. The character section contains completed or portions of on-going background investigations and matters related thereto. The Congressional section contains Congressional and other political type recommendations regarding appointment. The complaint section contains correspondence from individuals or groups complaining about office holders. The protest section contains correspondence, if any exists, protesting the appointment of candidates.

Authority for maintenance of the system:

These records are maintained pursuant to 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Generally, these records are used only for internal Department of Justice purposes. Prior to appointment, routine uses would include those specified for the Presidential Appointee Candidate Record System.

Release of information to the news media: Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available from systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Release of information to Members of Congress. Information contained in systems of records maintained by the Department of Justice, not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and at the request of the individual who is the subject of the record.

Release of information to the National Archives and Records Administration: A record from a system of records may be disclosed as a routine use to the National Archives and Records Administration (NARA) in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Release of information to the Judicial Branch of the Federal Government: Information may be disclosed to members of the Judicial Branch of the Federal Government in response to a specific request where disclosure appears relevant to the authorized function of the recipient judicial office of the court.

Release of information to civil or criminal law enforcement agencies: Information may be disclosed to any civil or criminal law enforcement agency, whether Federal, State, local, or foreign, which requires information relevant to a civil or criminal investigation.

Release of information to agencies regarding the hiring or retention of employees: Information may be disclosed to officials and employees of the White House or any Federal agency which requires information relevant to an agency decision concerning the hiring, appointment, or retention of an employee; the issuance of a security clearance; the execution of a security or suitability investigation; the classification of a job; or the issuance of a grant or benefit.

Release of information to Federal, State, and local licensing agencies: Information may be disclosed to Federal, State, and local licensing agencies or associations which require information concerning the suitability or eligibility of an individual for a license or permit.

Release of information before a court or adjudicative body: Information may be disclosed in a proceeding before a court or adjudicative body before which the Office of Legal Policy is authorized to appear when (a) the Office of Legal Policy, or anu subdivision thereof, or (b) any employee of the Office of Legal Policy in his or her official capacity where the Department of Justice has agreed to represent the employee, or (d) the United States, where the Office of Legal Policy determines that the litigation is likely to affect it or any of its subdivisions, is a party to litigation or has an interest in litigation and such records are determined by the Office of Legal Policy to be arguably relevant to the litigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

These records are maintained in paper folders.

Retrievability:

Information is retrieved by use of the name of the judge, as these records are filed alphabetically.

Safeguards:

These records are maintained in cabinets stored in a locked room.

Retention and disposal:

The personnel section of the folders of United States Supreme Court Judges are sent to the National Archives upon the death of the judge. All other sections are retained indefinitely as are the entire records folders of all other United States Judges.

System manager(s) and address:

Assistant Attorney General, Office of the Legal Policy, United States Department of Justice, 10th and Constitution Avenue, NW, Washington, D.C. 20530.

Notification procedure:

Address all inquiries to the System Manager. These records will be exempted from subsections (d)(1) and (e)(1) of section 552a, Title 5, United States Code, by the Attorney General under the authority of 5 U.S.C. 552a(k)(5) to the extent therein permitted.

Record access procedures:

A request for access to non-exempt portions of records from this system should be directed orally or in writing to the System Manager. When requests are in writing, the envelope and letter should be marked 'Privacy Access Request.'

Contesting record procedures:

Individuals desiring to contest or amend information maintained in the system should direct their request to the System Manager, stating clearly and concisely what information is being contested, the reasons for contesting it, and the proposed amendment(s) to the information.

Record source categories:

Non-exempt sources of information contained in this system include the general public, organizations, associations, the subjects of the records themselves, government agencies as appropriate, and other interested parties.

Systems exempted from certain provisions of the act:

The Attorney General has exempted this system from subsections (d)(1) and (e)(1) of the Privacy Act pursuant to 5 U.S.C. 552a(k)(5). Rules have been promulgated in accordance with the requirements of 5 U.S.C. 553 (b), (c) and (e) and have been published in the FEDERAL REGISTER.

JUSTICE/OLP-003

System name:

General Files System of the Office of Legal Policy.

System location:

Office of the Assistant Attorney General, Office of Legal Policy, United States Department of Justice, 10th and Constitution Avenue, NW., Washington, D.C. 20530.

Categories of individuals covered by the system:

The system encompasses individuals who relate to official Federal investigations, policy decisions, and administrative matters of such significance that the Assistant Attorney General maintains information indexed to the name of that individual, including, but not limited to, subjects of litigation, targets of investigations, Members and staff members of Congress, upper-echelon government officials, and individuals of national prominence or notoriety.

Categories of records in the system:

Records may include case files, litigation materials, exhibits, internal memoranda and reports, or other records on a given subject or individual. Records vary in number and kind according to the breath of the Assistant Attorney General's responsibilities (28 CFR 0.23). Records include those of such significance that the Assistant Attorney General has policy or administrative interest, and those which cover investigative or law enforcement cases for which the Assistant Attorney General is asked to provide an analysis and establish future policy direction. A computerized index record containing the subject title and/or individual's name is also maintained.

Authority for maintenance of the system:

These records are maintained pursuant to 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records may be disclosed to the news media and the public pursuant to 28 CFR 50.2 unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of privacy.

These records may be disclosed to a Member of Congress or staff acting on the Member's behalf when the Member or staff requests the information for investigative or policymaking purposes or to provide constituent assistance.

These records may be disclosed to members of the judicial branch of the Federal Government in response to a specific request where disclosure appears relevant to the authorized function of the recipient judicial office or court system.

These records may be disclosed to any civil or criminal law enforcement authorities, whether Federal, State, local, or foreign, which requires information relevant to a civil or criminal investigation.

These records may be disclosed to the National Archives and Records Administration (NARA) in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

These records may be disclosed to officials and employees of the White House or any Federal agency which requires information relevant to an agency decision concerning the hiring, appointment, or retention of an employee, the issuance of a security clearance, the conducting of a security or suitability investigation, the classifying of a job, or the issuance of a grant or benefit.

These records may be disclosed to Federal, State, and local licensing agencies or associations which require information concerning the eligibility or suitability of an individual for a license or permit.

These records may be disclosed in a proceeding before a court or adjudicative body before which the Office of Legal Policy is authorized to appear when (a) the Office of Legal Policy, or any subdivision thereof, or (b) any employee of the Office of Legal Policy in his or her official capacity, or (c) any employee of the Office of Legal Policy in his or her individual capacity where the Department of Justice has agreed to represent the employee, or (d) the United States, where the Office of Legal Policy determines that the litigation is likely to affect it or any of its subdivisions, is a party to litigation or has an interest in litigation and such records are determined by the Office of Legal Policy to be arguably relevant to the litigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are stored in paper folders and on index cards. As of August 1982, the index record is also stored on magnetic disks.

Retrievability:

Records may be retrieved by subject title or individual's name.

Safeguards:

Records are maintained in cabinets stored in a locked room or, in the case of those records that are classified, in safes or vaults. The computer is also maintained in a locked room. The computer has a key lock and may be accessed only by persons with a Top Secret clearance by use of a code.

Retention and disposal:

Records are kept indefinitely.

System manager(s) and address:

Deputy Director, Office of Information and Privacy, Office of Legal Policy, United States Department of Justice, 10th and Constitution Avenue, NW, Washington, D.C. 20530.

Notification procedure:

Address all inquiries to the system manager. These records will be exempted from subsections (c)(3) and (4); (d); (e)(1), (2) and (3), (e)(4)(G) and (H), (e)(5); and (g) of the Privacy Act pursuant to 5 U.S.C. 552a(j)(2), (k)(1), (k)(2) and (k)(5).

Record access procedures:

Make requests for access to records from this system in writing to the system manager, and clearly mark both the letter and the envelope "Privacy Act Request."

Contesting record procedures:

Make all requests to contest or amend information maintained in the system in writing to the system manager. State clearly and concisely what information is being contested, the reasons for contesting it, and the proposed amendment(s) to the information.

Record source categories:

Sources of information contained in this system include individuals, local, State and foreign government agencies as appropriate, the executive and legislative branches of the Federal Government, and interested third parties.

Systems exempted from certain provisions of the act:

The Attorney General has exempted this system from subsections (c)(3) and (4); (d); (e)(1), (2) and (3), (e)(4)(G) and (H), (e)(5); and (g) of the Privacy Act pursuant to 5 U.S.C. 552a(j)(2), (k)(1), (k)(2) and (k)(5). Rules have been promulgated in accordance with the requirements of 5 U.S.C. 553(b), (c) and (e) and have been published in the Federal Register. These exemptions apply only to the extent that information in a record pertaining to a particular individual relates to official Federal investigations and law enforcement matters. Those files indexed under an individual's name and which concern policy formulation or administrative matters are not being exempted pursuant to 5 U.S.C. 552a(j)(2), (k)(1), (k)(2) or (k)(5).

JUSTICE/OLP-004

System name:

Declassification Review System.

System location:

Office of Information and Privacy, Office of Legal Policy, United States Department of Justice, 10th and Constitution Avenue, NW, Washington, D.C. 20530.

Categories of individuals covered by the system:

This system encompasses: (1) Individuals who (under the Freedom of Information Act (FOIA) or Privacy Act) appeal from the denial of access to classified Department of Justice documents; (2) individuals who (under the FOIA of Privacy Act) request declassification of and access to classified documents from the Office of the Attorney General, Deputy Attorney General, Associate Attorney General, or Legal Policy; and (3) individuals who (under Executive Order 12356) request declassification of and access to classified Department of Justice documents which are maintained in a Presidential library.

Categories of records in the system:

Records consist of (1) copies of classified documents which originated in any component of the Department of Justice and which were denied by a component under the FOIA or Privacy Act, and classified notes and cover sheets created during the declassification review of those documents; (2) classified Attorney General, Deputy Attorney General, Associate Attorney General, and Office of Legal Policy documents which are requested under the FOIA or Privacy Act, classified notes created during the declassification review of these documents, correspondence with other Federal agencies concerning the declassification or release of information which originated with the agencies or in which they have a substantial interest, and copies of responses to the requesters; and (3) copies of final declassification determinations by Department components of Department documents maintained in Presidential libraries as required by Executive Order 12356, Section 3.4(a).

Authority for maintenance of the system:

These records are maintained pursuant to 5 U.S.C. 301.

Purpose(s):

Classified Department records identified under category (1) above are reviewed by the Attorney General's Department Review Committee (DRC) to determine whether or not they continue to be properly classified pursuant to Executive Order 12356. The DRC was established to resolve issues concerning the administration of the President's Executive Order on National Security information. DRC members consist of representatives from the Federal Bureau of Investigation, Criminal Division, Justice Management Division, and the Offices of Legal Counsel, Intelligence Policy and Review and the Deputy Attorney General. Attorney General, Deputy Attorney General, Associate Attorney General, and Office of Legal Policy records identified under categories (1) and (2) above are reviewed by the Office of Legal Policy to determine whether the records should be declassified and considered for release pursuant to the FOIA or Privacy Act. Copies of final declassification determinations identified under catetory (3) above are simply stored in the Classification Review Unit of the Office of Legal Policy. The Unit serves as the routing point for Department of Justice documents referred by a Presidential library for declassification review.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records may be disclosed to the news media and the public pursuant to 28 CFR 50.2 unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

These records may be disclosed to a Member of Congress or staff acting on the Member's behalf when the Member or staff requests the information for investigative or policy decisionmaking purposes or to provide constituent assistance.

These records may be disclosed to the National Archives and Records Administration (NARA) in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

These records may be disclosed in a proceeding before a court or adjudicative body before which the Office of Information and Privacy is authorized to appear when (a) the Office of Information and Privacy, or any subdivision thereof, or (b) any employee of the Office of Information and Privacy in his or her official capacity, or (c) any employee of the Department of Justice in his or her individual capacity where the Department has agreed to represent the employee, or (d) the United States, where the Office of Information and Privacy determines that the litigation is likely to affect it or any of its subdivisions, is a party to litigation or has an interest in litigation and such records are determined by the Office of Information and Privacy to be arguably relevant to the litigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

These records are stored in file folders in cabinets or safes.

Retrievability:

These records are indexed and retrieved manually by the individual's name or case file number.

Safeguards:

Classified records are stored in safes with combination locks. Only those persons with Top Secret security clearances who are responsible for conducting declassification reviews have access to the combinations of these safes. The safes are stored in rooms with combination or deadbolt locks. Unclassified records are stored in cabinets in these same rooms.

Retention and disposal:

Records are kept indefinitely.

System manager(s) and address:

Chief, Classification Review Unit, Office of Information and Privacy, Office of Legal Policy, United States Department of Justice, 10th and Constitution Avenue, NW., Washington, D.C. 20530.

Notification procedure:

Address all inquiries to the system manager. These records will be exempted from subsections (c)(3) and (4); (d); (e)(1), (2) and (3), (e)(4)(G) and (H), (e)(5); and (g) of the Privacy Act pursuant to 5 U.S.C. 552a(j)(2), (k)(1), (k)(2), and (k)(5).

Record access procedures:

Make all requests for access to records from this system in writing to the system manager and clearly mark both the letter and the envelope "Privacy Act Request." Provide the full name and notarized signature of the individual who is the subject of the request, and a return address.

Contesting record procedures:

Make all requests to contest or amend information maintained in this system in writing to the system manager. State clearly and concisely what information is being contested, the reasons for contesting it, and the proposed amendment(s) to the information.

Record source categories:

The records in this system are generally copies of records maintained in other systems of records of the Department of Justice. Additional records consist of letters from the individuals covered by the system.

Systems exempted from certain provisions of the act:

The Attorney General has exempted this system from subsection (c)(3) and (4); (d); (e)(1), (2) and (3), (e)(4)(G) and (H), (e)(5); and (g) of the Privacy Act pursuant to 5 U.S.C. 552a(j)(2), (k)(1), (k)(2), and (k)(5). Rules have been promulgated in accordance with the requirements of 5 U.S.C. 553(b), (c) and (e) and have been published in the FEDERAL REGISTER.

OFFICE OF PARDON ATTORNEY

JUSTICE/OPA-001

System name:

Executive Clemency Files.

System location:

Office of the Pardon Attorney (OPA), U.S. Department of Justice, Suite 490, Park Place Building, 5550 Friendship Boulevard, Chevy Chase, Maryland 20815.

Categories of individuals covered by the system:

Individuals who have applied for or been granted Executive clemency.

Categories of records in the system:

The system contains the individual petitions for Executive clemency (Forms OPA-6 or OPA-13) and accompanying oath and character affidavits (Form OPA-11), investigatory material, evaluative reports, official and other correspondence, both solicited and unsolicited, and inter-agency and intra-agency correspondence and memoranda relating to individual petitions for clemency. The system includes Presidential Clemency Board files transferred to the OPA upon termination of the Board on September 15, 1975.

Authority for maintenance of the system:

The system is established and maintained in accordance with the United States Constitution, Article II, Section 2; Executive Order of the President dated June 16, 1893; Order of the Attorney General No. 1011-83, 48 FR 22290 (1983), as codified in 28 CFR 1.1 et seq.; Order of the Attorney General No. 1012-83, 48 FR 22290 (1983), as codified in 28 CFR 0.35 and 0.36; E.O. 11878 dated September 10, 1975; and 44 U.S.C. 3101.

Purpose(s):

Executive clemency files are maintained by the Attorney General or his designee to investigate each petition for Executive clemency, to review each petition and the information developed by the investigation and to determine whether, in his judgment, the request for clemency is of sufficient merit to warrant a recommendation for favorable action by the President. The information also is used by Federal parole authorities and other Department of Justice employees to assist them in the performance of their official duties.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Records in the system may be used as follows: (a) To provide information to the President and members of his staff to facilitate the consideration of the Attorney General's reommendation regarding each petition for Executive clemency; (b) to prepare notices to the public of the name of each grantee of clemency, date of Presidential action, nature of clemency granted, nature of grantee's offense, date and place of sentencing, description of sentence imposed, and names of character affiants and interested parties; to disclose similar information to that specified above with respect to clemency denials of general public interest if the disclosure does not constitute an unwarranted invasion of privacy; (c) to prepare bound and indexed volumes containing photocopies of the official warrant of clemency granted each recipient of clemency as a public and official record of Presidential action; (d) upon specific request, to advise the requester whether a named person has applied for, been granted or denied clemency, the date thereof, and the nature of the clemency granted or denied; (e) upon specific request, to make closed files available for historical research purposes when in the public interest and in conformity with Department of Justice policy; (f) to provide information which indicates a violation or apparent violation of law, whether civil, criminal or regulatory in nature, to the appropriate agency, whether Federal, State, local or foreign; or to provide information either in connection with the solicitation of information necessary and relevant to Executive clemency review or to assist these agencies, where appropriate, in performing their law enforcement responsibilities in situations other than those involving a violation or apparent violation of law, e.g., state parole or clemency review; (g) to provide information to present and former law enforcement and judicial authorities to permit the formulation of comments and recommendations regarding individual clemency matters arising from cases with which they may be familiar; (h) to provide information to assist sentencing authorities in executing appropriate actions subsequent to Presidential clemency decisions; (i) to release information in a proceeding before a court or adjudicative body before which the OPA is authorized to appear when (1) one of the following is a party to or has an interest in the litigation: i. The OPA; ii. any employee of the OPA in his or her official capacity; iii. any employee of the OPA in his or her individual capacity where the Department of Justice has agreed to represent the employee; or, iv. the United States where the OPA determines that it is likely to be affected by the litigation; and (2) the records, or information derived therefrom, are determined by the OPA to be arguably relevant to the litigation; (j) to disseminate information to the news media and the public pursuant to 28 CFR 50.2 unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy; (k) to make information available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and at the request of the individual who is the subject of the record; and (l) to make records available to the National Archives and Record Administration and to the General Services Administration in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Information in the system is maintained in its original form (i.e., paper letters, notes and memoranda) and stored in locked file cabinets in the OPA and in the Federal Records Center in Suitland, Maryland.

Retrievability:

Information is retrieved by using a name index to obtain the case file number assigned to each applicant for Executive clemency.

Safeguards:

Information contained in the system is protected in accordance with Department of Justice security regulations for Privacy Act systems of records. Files are maintained in the OPA or in the Federal Records Center, are not commingled with other Department of Justice records, and are made available only in accordance with the aforementioned routine uses. When not in the custody of an appropriate official, records are stored in a central file room protected by an intrusion alarm.

Retention and disposal:

Records are stored in the OPA and closed cases generally are transferred to the Federal Records Center in Suitland, Maryland when five years old. Except for clemency reports which are furnished to the President in connection with clemency application, Presidential responses, warrants or other documents signifying the President's action in a clemency case, and cases which may be designated by the Pardon Attorney as having significant public interest, records are destroyed after 25 years.

System manager(s) and address:

Pardon Attorney, Office of the Pardon Attorney, Department of Justice, Suite 490, Park Place Building, 5550 Friendship Boulevard, Chevy Chase, Maryland 20815.

Notification procedure:

Address inquiries to the Pardon Attorney, Department of Justice, Suite 490, Park Place Building, 5550 Friendship Boulevard, Chevy Chase, Maryand 20815.

Record access procedures:

While the Attorney General has exempted Executive Clemency files from the access provisions of the Privacy Act, requests for discretionary releases of records shall be made in writing to the system manager listed above with the envelope and letter clearly marked "Privacy Access Request." Include in the request the general subject mater of the document. Provide full name, current address, date and place of birth, signature (which must be notarized) and a return address for transmitting the information.

Contesting record procedures:

While the Attorney General has exempted Executive Clemency files from the correction (contest and amendment) provisions of the Privacy Act, requests for the discretionary correction (contest and amendment) of records should be directed to the system manager listed above, stating clearly and concisely what information is being contested, the reasons for contesting it and the proposed amendment to the information sought.

Record source categories:

Sources of information are the OPA staff, individual applicants for clemency and their representatives, Federal Bureau of Investigation or other official investigatory reports, Bureau of Prisons records, Armed Forces reports, probation or parole reports, and reports from individuals or non-Federal organizations, both solicited and unsolicited.

Systems exempted from certain provisions of the act:

The Attorney General has exempted this system from subsection (d) of the Privacy Act pursuant to 5 U.S.C. 552a(j)(2). Rules have been promulgated in accordance with the requirements of 5 U.S.C. 553 (b), (c) and (e) and have been published in the Federal Register.

JUSTICE/OPA-002

System name:

Miscellaneous Correspondence File.

System location:

Office of the Pardon Attorney (OPA), U.S. Department of Justice, Suite 490, Park Place Building, 5550 Friendship Boulevard, Chevy Chase, Maryland 20815.

Categories of individuals covered by the system:

Individuals who are the named subjects of OPA incoming and outgoing correspondence, but who have not formally applied for or received Executive clemency. Also, individuals who have corresponded with the OPA, either directly or by referral, but whose correspondence either may or may not pertain to a particular named individual, including the correspondent, or whose correspondence does not contain a request for information under the Freedom of Information/Privacy Acts.

Categories of records in the system:

The system contains miscellaneous correspondence originated by OPA and received by OPA, either directly or by referral, excluding correspondence pertaining to (1) individuals who have formally applied for or received Executive clemency and (2) individuals who have made formal requests for records under the Freedom of Information/Privacy Acts.

Authority for maintenance of the system:

The system is established and maintained in accordance with the United States Constitution, Article II, Section 2; Executive Order of the President dated June 16, 1893; Order of the Attorney General No. 1011-83, 48 FR 22290 (1983), as codified in 28 CFR 1.1 et seq.; Order of the Attorney General No. 1012-83, 48 FR 22290 (1983), as codified in 28 CFR 0.35 and 0.36; E.O. 11878 dated September 10, 1975; and 44 U.S.C. 3101.

Purpose(s):

Records in the system are used by employees in the performance of their duties for reference and informational purposes to facilitate efficient, accurate and consistent responses to oral and written inquiries, particularly successive inquiries, and to provide access for a reasonable period of time to any relevant and necessary information which may assist in formulating policy and/or in considering potential candidates for Executive clemency.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Records in the system may be used as follows: (a) To provide information to the President and members of his staff which may be of political, policy or official interest and/or which may assist them in formulating policy decisions regarding the exercise of Executive clemency; (b) to release information in a proceeding before a court or adjudicative body before which the OPA is authorized to appear when (1) one of the following is a party to or has an interest in the litigation: i. The OPA; ii. any employee of the OPA in his or her official capacity; iii. any employee of the OPA in his or her individual capacity where the Department of Justice has agreed to represent the employee; or, iv. the United States where the OPA determines that it is likely to be affected by the litigation; and (2) the records, or information derived therefrom, are determined by the OPA to be arguably relevant to the litigation; (c) to disseminate information to the news media and the public pursuant to 28 CFR 50.2 unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy; (d) to make information available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and at the request of the individual who is the subject of the record; (e) to make records available to the National Archives and Records Administration and the General Services Administration in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Information in the system is maintained in its original form (i.e., paper letters, notes and memoranda) and stored in locked file cabinets in the OPA.

Retrievability:

Information is retrieved by the name of the individuals covered by the system.

Safeguards:

Information in the system is protected in accordance with Department of Justice security regulations for Privacy Act systems of records. Records are maintained in the OPA and are not commingled with other Department of Justice records. When not in the custody of an appropriate official, records are stored in a central file room protected by key locks and an intrusion alarm.

Retention and disposal:

Records are destroyed at the end of the calendar year following the calendar year in which they were received (incoming correspondence). If an individual covered by the system formally applies for or receives Executive clemency, all records pertaining to that individual will be transferred immediately to the Executive Clemency Files (JUSTICE/OPA-001).

System manager(s) and address:

Pardon Attorney, Office of the Pardon Attorney, Department of Justice, Suite 490, Park Place Building, 5550 Friendship Boulevard, Chevy Chase, Maryland 20815.

Notification procedure:

Address inquiries to the Pardon Attorney, Department of Justice, Suite 490, Park Place Building, 5550 Friendship Boulevard, Chevy Chase, Maryland 20815.

Record access procedures:

Requests for records in the system shall be made in writing with the envelope and letter clearly marked "Privacy Access Request" and shall be addressed to the system manager listed above. Include in the request the general subject matter and date of correspondence. Provide full name, current address, date and place of birth, signature (which must be notarized) and a return address for transmitting the information.

Contesting record procedures:

Requests to contest or amend records shall be addressed in writing to the system manager and shall state clearly and concisely what information is being contested, the reasons for contesting it, and the proposed amendment to the information.

Record source categories:

Sources of information are the individuals covered and the OPA staff.

Systems exempted from certain provisions of the act:

None.

JUSTICE/OPA-003

System name:

Freedom of Information/Privacy Acts (FOI/PA) Request File.

System location:

Office of the Pardon Attorney (OPA), U.S. Department of Justice, Suite 490, Park Place Building, 5550 Friendship Boulevard, Chevy Chase, Maryland 20815.

Categories of individuals covered by the system:

Individuals who have submitted requests pursuant to the FOI/PA (5 U.S.C. 552 and 552a) for copies of records in the custody of the OPA.

Categories of records in the system:

The system contains the FOI/PA requests and a copy of the outgoing response advising the requester of the disposition of the request. The system includes copies of the requested records which have not been released either in whole or in part. In addition, it also contains copies of memoranda addressed to the Office of Information and Privacy prepared in connection with any administrative appeals of the Pardon Attorney's determination, and copies of the pleadings filed in connection with any judicial appeals.

Authority for maintenance of the system:

The system is established and maintained in accordance with the United States Constitution, Article II, Section 2; Executive Order of the President dated June 16, 1893; Order of the Attorney General No. 1011-83, 48 FR 22290 (1983), as codified in 28 CFR 1.1 et seq.; Order of the Attorney General No. 1012-83, 48 FR 22290 (1983), as codified in 28 CFR 0.35 and 0.36; E.O. 1187 dated September 10, 1975; and 44 U.S.C. 3101.

Purpose(s):

The FOI/PA Request File is maintained to facilitate complete, accurate and consistent responses to written FOI/PA requests and to expedite response time. The system also assists the OPA in compiling its contribution to the Department of Justice annual FOI/PA statistical reports and enables it to readily determine that portion of its resources devoted to FOI/PA processing. The FOI/PA Request File also aids in processing administrative and judicial appeals of access and amendment denials.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Records in the system may be used as follows: (a) To release information in a proceeding before a court or adjudicative body before which the OPA is authorized to appear when (1) one of the following is a party to or has an interest in the litigation: i. The OPA; ii. any employee of the OPA in his or her official capacity; iii. any employee of the OPA in his or her individual capacity where the Department of Justice has agreed to represent the employee; or iv. the United States where the OPA determines that it is likely to be affected by the litigation; and (2) the records, or information derived therefrom, are determined by the OPA to be arguably relevant to the litigation; (b) to make available information to the news media and the public pursuant to 28 CFR 50.2 unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy; (c) to provide information to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and at the request of the individual who is the subject of the record; (d) to release records to the National Archives and Records Administration and the General Services Administration in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Information in the system is maintained in its original form (i.e., paper letters, notes and memoranda) and stored in locked file cabinets in the OPA.

Retrievability:

Records are retrieved by the name of the individual submitting the FOI/PA request.

Safeguards:

Records in the system are protected in accordance with Department of Justice security regulations for Privacy Act systems of records. Records are maintained in the OPA and are not commingled with other Department of Justice records. When not in the custody of an appropriate official, records are stored in a central file room protected by key locks and an intrusion alarm.

Retention and disposal:

Records in the system are retained according to General Records Schedule (GRS) No. 14, Informational Services Records, which contains the mandatory records disposition standards for FOI/PA requests as promulgated by the National Archives and Records Administration. GRS 14, item 16a(3)(a) requires that denied requests not appealed be retained for six years and item 17a requires that appealed requests be retained for six years after final agency determination or three years after final adjudication by the courts, whichever is later.

System manager(s) and address:

Pardon Attorney, Office of the Pardon Attorney, Department of Justice, Suite 490, Park Place Building, 5550 Friendship Boulevard, Chevy Chase, Maryland 20815.

Notification procedure:

Address inquiries to the Pardon Attorney, Department of Justice, Suite 490, Park Place Building, 5550 Friendship Boulevard, Chevy Chase, Maryland 20815.

Record access procedures:

While the Attorney General has exempted the FOI/PA Request File from the access provisions of the Privacy Act, requests for discretionary releases of records shall be made in writing to the system manager listed above with the envelope and letter clearly marked "Privacy Access Request." Include in the request the general subject matter of the document. Provide full name, current address, date and place of birth, signature (which must be notarized) and return address for transmitting the information.

Contesting record procedures:

While the Attorney General has exempted the FOI/PA Request File from the correction (contest and amendment) provisions of the Privacy Act, requests for the discretionary correction (contest and amendment) of records should be directed to the system manager listed above, stating clearly and concisely what information is being contested, the reasons for contesting it, and the propsoed amendment to the information sought.

Record source categories:

Sources of information are the FOI/PA requester and the OPA staff.

Systems exempted from certain provisions of the act:

The Attorney General has exempted this system from subsection (d) of the Privacy Act pursuant to 5 U.S.C. 552a(j)(2). Rules have been promulgated in accordance with the requirements of 5 U.S.C. 553(b), (c) and (e) and have been published in the Federal Register.

OFFICE OF PROFESSIONAL RESPONSIBILITY

JUSTICE/OPR-001

System name:

Office of Professional Responsibility Record Index.

System location:

U.S. Department of Justice, 10th and Constitution Avenue NW., Washington, D.C. 20530.

Categories of individuals covered by the system:

(1) Department of Justice employees who are the subjects of complaints directed to, or inquiries or investigations conducted by, the Office of Professional Responsibility; (2) individuals (complainants) who write to the Office of Professional Responsibility; (3) individuals (complainants) who write to the Attorney General or other officials of the Department and whose correspondence is referred to the Office of Professional Responsibility; (4) employees of agencies of the Federal Government, other than the Department of Justice, about whom information indicating possible criminal or administrative misconduct has been developed during the course of routine investigation by components of the Department of Justice, when such information is furnished to the Office of Professional Responsibility for referral—if warranted—to an appropriate investigative component of the Department of Justice, or to another government agency.

Categories of records in the system:

This system of records consists of complaints filed against Departmental employees, the results of investigations into those complaints, and actions taken after completion of the investigations. This system also includes all records developed pursuant to special assignments given to the Office of Professional Responsibility by the Attorney General or the Deputy Attorney General as well as records containing information indicating possible misconduct by employees of the Federal Government, other than the Department of Justice, which have been furnished to the Office of Professional Responsibility for referral, if warranted, to the appropriate investigative authority.

Authority for maintenance of the system:

44 U.S.C. 3101 et seq. and 28 CFR 0.39 et seq.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

A record maintained in this system of records may be disseminated as a routine use of such record as follows: (1) In any case in which there is an indication of a violation or a potential violation of law, whether civil, criminal, or regulatory in nature, and arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, state, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, rule, regulation or order issued pursuant thereto; (2) in the course of investigating the potential or actual violation of any law, whether civil, criminal, or regulatory in nature, or during the course of a trial or hearing or the preparation for a trial or hearing for such violations, a record may be disseminated to a Federal, state, local, or foreign agency, or to an individual or organization. If there is reason to believe that such agency, individual, or organization possesses information relating to the investigation, trial, or hearing and the dissemination is reasonably necessary to elicit such information or to obtain the cooperation of a witness or an informant; (3) a record relating to a case or matter may be disseminated in an appropriate Federal, state, local or foreign court or grand jury proceeding in accordance with established constitutional, substantive or procedural law or practice; (4) a record relating to a case or matter may be disseminated to a Federal, state, or local administrative or regulatory proceeding or hearing in accordance with the procedures governing such proceeding or hearing; (5) a record may be disseminated to a federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of security clearance or the reporting of an investigation of an employee; (6) information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available from systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy; (7) release of information to Members of Congress: Information contained in systems of records maintained by the Department of Justice, not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests information on behalf of and at the request of the individual who is the subject of the record; (8) a record from a system of records may be disclosed as a routine use to the National Archives and Records Administration and the General Services Administration in records management inspections conducted under 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Information is stored manually in file jackets and electronically in office automation equipment.

Retrievability:

Information is retrieved in some instances by the name of the complainant and in some instances by the name of the employee who is the subject of the complaint.

Safeguards:

The information is stored in safes, locked filing cabinets and office automation equipment in a limited access area and is maintained according to applicable departmental security regulations.

Retention and disposal:

Records in this system are retained and disposed of in accordance with the General Records Schedule, Federal Property Management Regulations 101-11.4.

System manager(s) and address:

Counsel on Professional Responsibility, Department of Justice, 10th and Constitution Avenue NW., Washington, DC 20530.

Notification procedure:

Address any inquiries to the system manager listed above.

Record access procedures:

The major part of this system is exempted from this requirement under (5 U.S.C. 552a(j)(2), (k)(1), (k)(2) or (k)(5). To the extent that this system of seconds is not subject to exemption, it is subject to access and contest. A determination as to exemption shall be made at the time a request for access is received. A request for access to record contained in this system shall be made in writing, with the envelope and the letter clearly marked "Privacy Access Request." Include in this request the name of the individual involved, his birth date and place, or any other identifying number or information which may be of assstance in locating the record. The requester will also provide a return address for transmitting the information. Access requests will be directed to the System Manager listed above.

Contesting record procedures:

Individuals desiring to contest or amend information maintained in the system should direct their request to the System Manager listed above, stating clearly and concisely what information is being contested, the reasons for contesting it, and the proposed amendment to their information sought.

Record source categories:

Department officers and employees, and other Federal, state, local and foreign law enforcement and non-law enforcement agencies, private persons, witnesses, and informants.

Systems exempted from certain provisions of the act:

The Atttorney General has exempted this system from subsections (c) (3) and (4), (d), (e), (1), (2) and (3), (e)(4)(G) and (H), (e) (5) and (8), (f) and (g) of the Privacy Act pursuant to 5 U.S.C. 552a (j)(2), (k)(1), (k)(2) and (k)(5). Rules have been promulgated in accordance with the requirements of 5 U.S.C. 553 (b), (c) and (e) and have been published in the FEDERAL REGISTER.

OFFICE OF PUBLIC INFORMATION

JUSTICE/OPI - 001

System name: News Release, Document and Index System.

System location: Room 5114, U.S. Department of Justice, 10th Street and Constitution Avenue, NW, Washington, D.C. 20530.

Categories of individuals covered by the system: A. Defendants in civil and criminal actions brought by the Department of Justice for which news releases were issued; B. Current and former employees of the Department of Justice on which news releases and biographical information were prepared.

Categories of records in the system: The system contains an index record of each news release and document issued by the Department of Justice and copies of the news release and document.

Authority for maintenance of the system: The system is established and maintained at the direction of the Attorney General pursuant to 5 U.S.C. 301 and 44 U.S.C. 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The index is used to retrieve news releases and documents issued by the Department upon request.

Release of information to the news media: Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available from systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Release of information to Members of Congress. Information contained in systems of records maintained by the Department of Justice, not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and at the request of the individual who is the subject of the record.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Release of information to the National Archives and Records Administration: A record from a system of records may be disclosed as a routine use to the National Archives and Records Administration (NARA) in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Information maintained in the system is stored manually on index cards and letter- and legal-size paper.

Retrievability: Information is retrieved by using the name of the defendant, subject matter of legal action, state in which action is filed, and name of current or former employee.

Safeguards: Information contained in the system is unclassified.

Retention and disposal: The index and one copy of each news release are retained indefinitely. Additional copies are retained for one year and then destroyed.

System manager(s) and address: Director of Public Information, U.S. Department of Justice, 10th Street and Constitution Avenue, NW, Washington, D.C. 20530.

Notification procedure: Same as the above.

Record access procedures: A request for a copy of a record from this system may be made in writing, by telephone, or in person.

Contesting record procedures: Persons desiring to contest or amend information maintained in the system should direct their request to the System Manager listed above, stating clearly and concisely what information is being contested, the reasons for contesting it, and the proposed amendments to the information sought.

Record source categories: Sources of information contained in this system are those employees who prepared the document on which a news release is based.

Systems exempted from certain provisions of the act: None.

PAROLE COMMISSION

JUSTICE/PRC-001

System name:

Docket, Scheduling and Control.

System location:

Records are maintained at each of the Regional Offices for inmates incarcerated in and persons under supervision in each region, except for the National Appeals Board docket maintained in Washington. Duplicates of regional materials are maintained in Washington. All requests for records should be made to the appropriate regional office or Headquarters at the following addresses: United States Parole Commission, 2nd and Chestnut Sts. Customs House—7th Floor Philadelphia, PA 19106, United States Parole Commission, 1718 Peachtree St., NW., Suite 250, Atlanta, GA 30309, United States Parole Commission, 5550 Friendship Blvd., Chevy Chase Md. 20815, ATTN: National Appeals Board, United States Parole Commission, Air World Center Suite 220, 10920 Ambassador Dr., Kansas City, Mo. 64153. United States Parole Commission, 525 Griffin St., Suite 820 Dallas, Tex. 75202. United States Parole Commission, 1301 Shoreway Road Fourth Floor, Belmont CA 94002

Categories of individuals covered by the system:

Current and former inmates under the custody of the Attorney General who are to be scheduled for hearings under Commission procedures. Former inmates includes those presently under supervision as parolees or mandatory releasees and those against whom a revocation warrant has been issued.

Categories of records in the system:

(a) Docket sheets—Each region and the National Appeals Board in Washington maintains a cumulative series of docket sheets in time sequence showing Commission action. Principal data elements are name and register number of inmate, offense, sentence, and previous and present Action. The appeal docket includes the data and type of appeal in addition to much of the above data. These provide a continual running record of the basic data elements per inmate and former inmate. Docket sheets are used to input this information into a computer program which produces printouts of identical information and certain statistical reports. (b) Hearing schedules—Shortly after inmates are incarcerated, their names appear on an eligibility list prepared by the Bureau of Prisons, for initial parole hearings. Following the hearing, the Commission may order that the inmate be denied parole, granted a presumptive parole date, granted an effective (within six months) parole date or continued to a 15 year reconsideration hearing. Other types of hearings and reviews are provided for in the Code of Federal Regulations as part of parole, rescission or revocation procedures. All of the different types of hearings and reviews are placed on schedules for examiners to process when they visit the various institutions or hold "local" hearings. The data elements are similar to those on the docket but indicate the number and type of hearing or review to be held instead of the result.

Authority for maintenance of the system:

18 U.S.C. 4201–4218, 5005–5041, 28 CFR Part 0, Subpart V, and 28 CFR Part 2.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

(a) The dockets provide the basis of answering basic inquiries, mostly from within the Parole Commission, as to when a hearing came up for an individual and what action was taken. The schedules indicate to examiners and prison staff the specific hearings and reviews to be prepared for and held.

(b) In the event that material in this system indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute, or by regulation, rule or order issued pursuant thereto, the relevant records may be referred to the appropriate agency, whether Federal, State, local or foreign, charged with responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto.

(c) A record from this system of records may be disclosed to a Federal, State or local agency maintaining civil, criminal or other relevant information if necessary to obtain information relevant to an agency decision concerning parole matters.

(d) A record from this system may be disclosed to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter.

(e) Internal users—Employees of the Department of Justice who have a need to know the information in the performance of their duties.

(f) External users—As noted above, on occasion employees of Federal, State and local enforcement, correctional, prosecutive, or other agencies, and courts may have access to this information.

Release of information to the news media:

Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Release of information to members of congress.

Information not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and in response to a communication from the individual who is the subject of the record.

Release of information to the National Archives and Records Administration (NARA) and to the General Services Administration (GSA):

A record may be disclosed as a routine use to the NARA and GSA in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Information stored in the system is on sheets of paper, one item per line, stored in folders or binders. An experimental program to store such data on tape disk, or microfiche using ADP technology, and to prepare certain computer printouts is in effect in all regions. Data also may be stored on paper printouts through file retention.

Retrievability:

Name, register number, date, institution Commission action, and statistical data as to such actions.

Safeguards:

Copies of dockets, printouts and schedules are not disseminated outside of Commission offices and Bureau of Prisons installations. They are available only to Commission and bureau employees on a "need to know" basis. Information therefrom may be given outside the Department as indicated in the "Routine Uses." If so, a letter will be written covering the item disclosed, date and identity of the recipient. If information must be given over the phone due to urgency, the caller will be identified beforehand and details of the call recorded.

Retention and disposal:

Records in this system are kept for five (5) years after the effective date of the schedule or date of the last item recorded on the docket. They are then shredded and electronically stored records are erased.

System manager(s) and address:

Director, Research and Program Development, United States Parole Commission, 5550 Friendship Blvd., Chevy Chase, Md. 20815.

Notification procedure:

Address inquiries to Regional Commissioner at appropriate location. For general inquiries, address system manager. The Attorney General has exempted this system from compliance with the provisions of subsection (d), under the provisions of subsection (j).

Record source categories:

(1) Bureau of Prisons files; (2) Parole Commission and Bureau of Prison's employees; (3) Court Records; (4) Parole Commission inmate files.

Systems exempted from certain provisions of the act:

The Attorney General has exempted this system from subsections (c)(3) and (4), (d), (e)(2) and (3), (e)(4)(G) and (H), (e)(8), (f) and (g) of the Privacy Act pursuant to 5 U.S.C. 552a(j)(2). Rules have been promulgated in accordance with the requirements of 5 U.S.C. 553(b), (c) and (e) and have been published in the FEDERAL REGISTER.

JUSTICE/PRC-002

System name:

Freedom of Information Act Record System.

System location:

Records may be retained at any of the Regional Offices as indicated in the Inmate and Supervision Files System and the Headquarter's Office. All requests for records may be made to the Central Office, United States Parole Commission, 5550 Friendship Blvd., Chevy Chase, Md. 20815, ATTN: FOIA OFFICER or to the appropriate Regional Office.

Categories of individuals covered by the system:

Current and former inmates under the custody of the Attorney General, including former inmates on supervision.

Categories of records in the system:

(1) Administrative requests and responses to requests for information and records under 5 U.S.C. 552, and 552a and appeals from denials of data; (2) Final orders of Commission following all parole, rescission, and revocation hearings, record reviews, and appeals are maintained in the Freedom of Information Act reading room at Commission headquarters with names removed to protect individual privacy of inmates and persons on supervision. Final decisions in labor and pension cases are maintained in said reading room.

Authority for maintenance of the system:

5 U.S.C. 552 and 552a.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The system is used: (a) To maintain records concerning the processing and determination or requests for information made pursuant to the Freedom of Information Act, 5 U.S.C. 552 and Privacy Act, 5 U.S.C. 552a; and make final orders available in a reading room pursuant to 5 U.S.C. 552; (b) to provide documentation of receipt and processing requests for information made pursuant to the Freedom of Information and Privacy Acts if needed for processing contested denials of release of data (c) to furnish information to employees of the Department of Justice who have a need for information from the system in performance of their duties; (d) to maintain a count of requests and method of compliance as required by Freedom of Information and Privacy Acts.

Release of information to the news media:

Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Release of information to members of Congress.

Information not otherwise required to be released pursuant to 5 U.S.C. 552 and 552a may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and in response to a communication from the individual who is the subject of the record.

Release of information to the National Archives and Records Administration (NARA) and to the General Services Administration (GSA):

A record may be disclosed as a routine use to the NARA and GSA in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Information maintained in the system is stored on documents and microfilm.

Retrievability:

Documents are indexed by name and/or register number. Final orders in the reading room are indexed by region and date.

Safeguards:

Information is stored in file cabinets in rooms supervised by day and locked at night and are made available to Commission personnel and other Department of Justice employees on a "need to know" basis. Each requestor may see his own file. The public may use the reading room.

Retention and disposal:

Records in this system are in in accordance with General Records Schedule No. 14, then destroyed by shredding.

System manager(s) and address:

FOIA Officer, United States Parole Commission, 5550 Friendship Blvd., Chevy Chase, Md. 20815.

Notification procedure:

Same as the above.

Record access procedures:

Same as the above.

Contesting record procedures:

Same as the above.

Record source categories:

(1) Inmates and persons on supervision, (2) Department of Justice employees.

Systems exempted from certain provisions of the act:

None.

JUSTICE/PRC 003

System name:

Inmate and Supervision Files.

System location:

Records are maintained at each of the U.S. Parole Commission's (USPC) Regional Offices for inmates incarcerated in and persons under supervision in each region. Records are housed temporarily at the Commission's Headquarters Office located at 5550 Friendship Blvd., Chevy Chase, Md. 20815 when used by the National Appeals Board or other Headquarters personnel. A duplicate records of certain data elements from files is maintained on microfiche for Headquarters use. Prior to the first parole hearing, the inmate's file is maintained at the institution at which he is incarcerated. Certain records on parolees and mandatory releases are maintained at probation offices. All requests for records should be made to the appropriate regional office at the following addresses: U.S. Parole Commission, Customs House Seventh Floor, Second and Chestnut Streets, Philadelphia, Pa. 19106. U.S. Parole Commission, 1718 Peachtree St. NW., Suite 250, Atlanta, GA 30309. U.S. Parole Commission, Air World Center, Suite 220, 10920 Ambassador Drive, Kansas City, Mo. 64153. U.S. Parole Commission, 525 Griffin St., Suite 820, Dallas, Tex. 75202, U.S. Parole Commission, 1301 Shoreway Road, 4th Floor, Belmont, CA 94002.

Categories of individuals covered by the system:

Current and former inmates under the custody of the Attorney General. Former inmates include those presently under supervision as parolees or mandatory releasees.

Categories of records in the system:

1. Compulation of sentence and supportive documentation.
2. Correspondence concerning pending charges, and wanted status, including warrants.
3. Requests from other Federal and non-Federal law enforcement agencies for notification prior to release.
4. Records of the allowance forfeiture, withholding and restoration of good time.
5. Information concerning present offense, prior criminal background sentence, and parole from the U.S. Attorneys, the Federal Courts, and Federal prosecuting agencies.
6. Identification data.
7. Order of designation of institution or original commitment.
8. Records and reports of work and housing assignments.
9. Program selection assignments and performance adjustments/progress reports.
10. Conduct records.
11. Social background.
12. Educational data.
13. Physical and mental health data.
14. Parole Commission applications, appeal documentation, orders actions, examiner's summaries, transcripts or tapes of hearings, guideline evaluation documents, parole or mandatory release certificates, statements or third parties for or against parole, special reports on youthful offenders and adults required by statute and related documents.
15. Correspondence regarding release planning, adjustment and violations.
16. Transfer orders.
17. Mail and visit records.
18. Personal property records.
19. Safety reports and rules.
20. Release processing forms and certificates.
21. Interviews requests forms from inmates.
22. General correspondence.
23. Copies of inmate court petitions and other court documents.
24. Report of probation officers. Commission correspondence with former inmates and others, and Commission order and memoranda dealing with supervision and conditions of parole or mandatory release.
25. If an alleged parole violation exists, correspondence requesting a revocation warrant, warrant application, warrant, instructions as to service, detainers and related documents.

Authority for maintenance of the system:

18 U.S.C. 4201–4218, 5005–5041, 28 CFR Part 0, Subpart V, and 28 CFR Part 2.

Purpose(s):

The system constitutes the agency's records upon which it bases all its decisions with respect to every stage of parole consideration from initial hearing to termination of parole supervision. For example, it is used by USPC hearing examiners to perform a prehearing review and to conduct the inmate's initial parole hearing. After that hearing, it is maintained in the appropriate regional office where it provides the principal information source for all decisions leading to parole or denial of parole, and all decisions following release to supervision. It is used at USPC headquarters when appeals come before the National Appeals Board or when needed by legal counsel and others on the headquarters staff. It is used by employees at all levels, including USPC members, to provide information for decisionmaking in every area of USPC responsibility. Files of released inmates are used to make statistical studies of subjects related to parole and revocation. Finally, the file is maintained to provide the rationale of USPC actions when an agency determination is questioned by members of the public or challenged in judicial proceedings.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

(a) The system may be used as a source for disclosure of information which is solely a matter of public record and which is traditionally released by the agency to further public understanding of its criminal justice system, including but not limited to offense, sentence data, and prospective release date.

(b) The system may be used to provide an informational source for responding to inquiries from Federal inmates, their families, representatives, and Congressional offices.

(c) Record from the system of records may be routinely disclosed to U.S. Probation Officers for the performance of their official duties.

(d) In the event that the USPC is informed of a violation or suspected violation of law whether civil, criminal or regulatory in nature, and whether arising by general statute, or by regulation, rule or order issued pursuant thereto, the relevant records may be disclosed to the appropriate agency, whether Federal, State, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order, issued pursuant thereto.

(e) Records from this system may be disclosed to a Federal, State or local agency or court if that agency or court requests information for an official purpose to which the documents appear to be relevant.

(f) A record from this system may be disclosed to a person or to persons who may be exposed to harm through contact with a particular parolee or mandatory releasee (or to persons in a position to prevent or minimize such harm), if it is deemed to be necessary to give notice that such danger exists.

(g) Lists of names of parolees and mandatory releasees entering a jurisdiction and related information may be disclosed to law enforcement agencies upon request as may be required for the protection of the public for the enforcement of parole conditions.

(h) Disclosure of USPC notices of action may be made (1) by the Office of Public Affairs of the U.S. Department of Justice to the public generally, and (2) by USPC to specific crime victims and witnesses (as those terms are used in the Victim and Witness Protection Act of 1982), from the files of prisoners whose applications for parole have been decided by USPC. The purpose of such disclosure is to further understanding of the criminal justice system by the public and by crime victims and witnesses.

(i) Incidental disclosure of file material may be made during the course of a parole or parole revocation hearing to victims and witnesses of crime and other legitimately interested persons authorized by USPC to attend such hearing, so as to further their understanding of the case to permit their intelligent comment with respect to USPC's decision.

(j) Records which are arguably relevant to litigation in which the Parole Commission has an interest, or to the litigation defense of its present or former employees (if the Department of Justice has agreed to provide representation) may be disclosed from a current or former inmates's or parolee's file by disseminating in proceeding before a court or tribunal at any time deemed appropriate by the Government's attorney.

(k) A record from this system of records may be disclosed to a current or former criminal justice official who is a defendant in a lawsuit brought by, or which involves, an individual who is the subject of a file maintained in this system of records, provided that such litigation arises from allegations of misconduct on the part of the defendant while a criminal justice official, and that the records are arguably relevant to the matter in litigation. Such records may be disclosed to the defendant to facilitate the preparation of his or her defense.

(l) Records from this system may be disclosed to any person performing any service for the USPC pursuant to authority exercised by the Chairman under 18 U.S.C. 4204(b) (1) through (8), and for the purposes contemplated by that statute.

(m) A record relating to the identification and location of Human Immunodeficiency Virus (HIV)-positive parolees (those who test positive for the Acquired Immune Deficiency Syndrome virus) may be disseminated to State or local health departments where permitted by State law.

(n) Where the Commission or supervising probation office believes that a specific person is or has been exposed to a medically recognized risk from an HIV-positive parolee and has not been advised of such risk, a record relating to the identification of that parolee may be released to the parolee's physician or State or local health authorities for the purpose of determining if the physician or health authorities are willing to provide a warning to the third-party at risk and, if willing, for the purpose of providing such a warning.

(o) A record relating to the identification of an HIV-positive parolee may be made to a third party where it is believed that such third party is or has been exposed to medically recognized type of risk from an HIV-positive parolee and has not been advised of such risk. Such disclosures under this routine use would be made only where the parolee's physician or State or local health authorities are unable or unwilling to make such a warning to the third party; such disclosures will be made discreeting and as a confidential communication.

(p) To the extent not prohibited by State law, a record relating to the identification and location of an HIV-positive parolee may be disseminated to those medical facilities, State or local health departments, community organizations or similar groups capable of providing medical help or counseling to HIV-positive parolees.

(q) A record relating to the identification of an HIV-positive parolee may be released to the United States Marshal when the Commission issues a parole violator warrant for the arrest of an HIV-positive parolee.

(r) Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

(s) Information nor otherwise required to be released pursuant to 5 U.S.C. 552 may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and at the request of the individual who is the subject of the record.

(t) A record may be disclosed to the National Archives and Records Administration and the General Services Administration in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Manual requests records are stored in locked safes. Automated requests records are stored on disks.

Retrievability:

Requests reports are filed and retrieved under the names of those persons and individuals identified under the caption "Categories of individuals covered by the system." These records are retrieved by Department personnel to perform their duties, e.g., when subsequent requests are made by the public for copies of their previous requests and responses thereto, or when the requester submits a supplemental request to information clarifying a previous request.

Safeguards:

Access to requests records is limited to Department of Justice personnel who have need for the records to perform their duties. Request files (manual records) are stored in locked safes. All records are stored in an office which is occupied during the day and locked at night.

Retention and disposal:

Records are held at the regional office until termination of sentence then transferred to the Washington National Records Center. Records are destroyed ten years after the case becomes inactive.

System manager(s) and address:

FOIA Officer, United States Parole Commission, 5550 Friendship Blvd., Chevy Chase, Md. 20815.

Notification procedure:

Address inquiries to Regional Commissioner at appropriate location. For general inquiries, address System Manager. The Attorney General has exempted this system from compliance with the provisions of Subsection (d) under the provisions of Subsection (j).

Record source categories:

1. Individual inmate: 2. Federal law enforcement agencies and personnel: 3. State and Federal probation services; 4. Non-Federal law enforcement agencies; 5. Educational institutions; 6. Hospital or medical sources; 7. Relatives, friends and other interested individuals or groups in the community; 8. Former or future employers; 9. Evaluations, observations, reports and findings of institution supervisors, counselors, boards and committees, Parole Commission examiners, Parole Commission Members; 10. Federal court records; 11. U.S. Bureau of Prisons personnel and records.

Systems exempted from certain provisions of the act:

The Attorney General has exempted this system from subsections (c) (3) and (4), (d)(e) (2) and (3), (e)(4) (G) and (H), (e)(8) and (g) of the Privacy Act pursuant to 5 U.S.C. 552a(j)(2). Rules have been promulgated in accordance with the requirements of U.S.C. 553 (b), (c) and (e) and have been published in the Federal Register.

JUSTICE/PRC-004

System name:

Labor and Pension Case, Legal File and General Correspondence System.

System location:

All Labor and Pension cases, most legal files and some general correspondence material is located at: Commission Headquarters, 5550 Friendship Blvd., Chevy Chase, Md. 20815. The balance of the general correspondence material is located at the Commission's Regional Offices, the addresses of which are specified in the Inmate and Supervisions System.

Categories of individuals covered by the system:

All applicants for exemptions under 29 U.S.C. 504 and 29 U.S.C. 1111, all persons litigating with the U.S. Parole Commission, all persons corresponding with the Commission on subjects not amenable to being filed in an inmate or supervision file identified by an individual, and all Congressmen inquiring about constituents.

Categories of records in the system:

Pursuant to 29 U.S.C. 504 and 1111, the Commission processes applications of persons convicted of certain crimes for exemptions to allow their employment in the Labor or pension plan fields. The files contain memoranda, correspondence, and legal documents with information of a personal nature, i.e., family history, employment history, income and wealth, etc., and of a criminal history nature, i.e., record of arrests and convictions, and details as to the crime which barred employment. The final decision of the Commission in each case is a public document under the Freedom of Information Act. The General Counsel's Office of the Parole Commission maintains work files for each inmate or person on supervision who is litigating with the Commission. These files contain personal and criminal history type data regarding inmates, and internal communications among attorneys, Commissioners and others developing the Commission's legal position in these cases. Files of the Commission's correspondence with Congressmen who inquire about constituents who have paroles or revocations pending or other subjects are maintained in the Chairman's Office and in the regions. Files of correspondence, notes, and memoranda concerning parole revocation, rescission, and related problems are also maintained in those locations. Some of this material duplicates material in the inmate files and contain criminal history type information about individuals.

Authority for maintenance of the system:

These files are maintained pursuant to 18 U.S.C. 4201, 5005-5041, 28 CFR Part O, Subpart V, 28 CFR Parts 2 and 4, 29 U.S.C. 504, 1111, and all statutory sections and procedural rules allowing inmates, persons under supervision, or others to litigate with the Parole Commission.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Within the Parole Commission material in this system is used respectively by General Counsel's Office staff and Commission Members in processing exemption applications. The legal file material is used by General Counsel's Office staff in asserting the litigative position of the Commission. The general correspondence is used by the Commission personnel in responding to Congressmen, and by

Commission Members and others in transacting the day-to-day business of the Commission. Final pension and labor case decisions are used by the Commission, the Justice, and Labor Departments, and the public to establish precedents in this field of administrative law.

In the event that material in this system indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute, or by regulation, rule or order issued pursuant thereto, the revelant records may be referred to the appropriate agency, whether Federal, State, or local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto. A record from this system of records may be disclosed to a Federal, State or local agency maintaining civil, criminal or other relevant information if necessary to obtain information relevant to an agency decision relating to pension or labor matters. A record from this system may be disclosed to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter.

Release of information to the News Media:

Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available from systems of records maintained by the U.S. Parole Commission unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Release of information to Members of Congress:

Information contained in systems of records maintained by the U.S. Parole Commission, not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and in response to a communication from the individual who is the subject of the record.

Release of information to the National Archives and Records Administration (NARA) and to the General Services Administration (GSA):

A record may be disclosed as a routine use to the NARA and GSA in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

All data is on documents or other papers on bound files. Labor and pension case material is in the General Counsel's Office or the Chairman's Office at Headquarters, except for final decisions which are in the Freedom of Information Act reading room. Legal files are in the General Counsel's Office at Headquarters. General correspondence is in the Chairman's Office, the office of his staff at Headquarters, and the offices of each Regional Commissioner.

Retrievability:

Labor, pension, and legal file material is indexed or filed by name of applicant or litigant, respectively. General correspondence is indexed or filed by subject, time sequence or individuals to whom the item refer.

Safeguards:

Material is available only to Commission employees on a "need to know" basis. Storage locations are supervised by day and locked at night. Only disclosure made therefrom is to other agencies of the Department of Justice, the U.S. Probation Office, Federal enforcement agencies or the Congress. Disclosure to congressmen in response to inquiries concerning constituents is subject to the exemptions of the Freedom of Information Act. The Commission decisions in labor and pension cases are public information under the Freedom of Information Act.

Retention and disposal:

Records are maintained for 10 years after the fiscal decision of the court, and are shredded or destroyed electronically thereafter.

System manager(s) and address:

General Counsel, United States Parole Commission, 5550 Friendship Blvd., Chevy Chase, MD 20815.

Record source categories:

a. Applicants for exemptions under 29 U.S.C. 504 and 29 U.S.C. 1111; b. U.S. Department of Labor; c. Administrative Law Judges and others connected with labor or pension cases; d. Litigants proceeding against Parole Commission; e. The Commission's legal staff and other Commission personnel; f. Congressmen and others making inquiries of Commission; g. Commission Members and employees responding to inquiries, corresponding with others, preparing speeches, policy statements and other means of contact with other branches of the Federal Government, State, and local governments, and the public.

Systems exempted from certain provisions of the act:

The Attorney General has exempted this system from subsections (c)(3) and (4), (d), (e)(2) and (3), (e)(4) (G) and (H), (e)(8), (f) and (g) of the Privacy Act pursuant to 5 U.S.C. 552a(j)(2). Rules have been promulgated in accordance with the requirements of 5 U.S.C. 553(b), (c) and (e) and have been published in the Federal Register.

JUSTICE/PRC-005

System name:

Office Operation and Personnel System.

System location:

At each regional office as indicated in the "Inmate and Supervision File System Report" and at the U.S. Parole Commission, 5550 Friendship Blvd., Chevy Chase, Md. 20815.

Categories of individuals covered by the system:

Present and former Commission Members and employees of the U.S. Parole Commission.

Categories of records in the system:

Personnel records, leave records, property schedules, budgets and actual expense figures, obligation schedules, expense and travel vouchers, and the balance of the usual paperwork to run a Government office efficiently.

Authority for maintenance of the system:

All statutory sections, CFR sections, and OPM, MSPB, GSA, and OMB directives establishing procedures for government personnel, financial, and operational functions.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Day-to-day activity involving personnel, financial, procurement, maintenance, recordkeeping, mail delivery, and management functions.

Release of information to the News Media:

Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available from systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Release of information to Members of Congress:

Information contained in systems of records maintained by the U.S. Parole Commission, not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and in response to a communication from the individual who is the subject of the record.

Release of information to the National Archives and Records Administration (NARA) and to the General Services Administration (GSA):

A record may be disclosed as a routine use to the NARA and GSA in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are in paper files or on computer printouts. They are stored in operations areas of offices.

Retrievability:

Data of a personal nature is in employee personnel files, used by Commission personnel files, used by Commission personnel on a "need to know" basis. Each employee has a right to see his own file on request. Other files are used by Commission personnel on a "need to know" basis.

Safeguards:

Files are supervised by appropriate personnel during the working day and are locked in rooms at night.

Retention and disposal:

Cutoff files at the end of the calendar year, held at the agency for one year then transferred to the Washington National Records Center. Destroy seven years after cutoff.

System manager(s) and address:

Executive Officer, U.S. Parole Commission, 5550 Friendship Blvd., Chevy Chase, MD 20815.

Notification procedure:

Same as the above.

Record access procedures:

Same as the above.

Contesting record procedures:

Same as the above.

Record source categories:

The U.S. Parole Commission, the Justice Management Division and all other contributing government agencies.

Systems exempted from certain provisions of the act:

None.

JUSTICE/PRC-006

System name:

Statistical, Education and Developmental System.

System location:

Parole Commission Headquarters, 5550 Friendship Blvd., Chevy Chase, Md. 20815.

Categories of individuals covered by the system:

Any inmate or former inmate under custody of the Attorney General including former inmates supervised as parolees or mandatory releases.

Categories of records in the system:

All records as described in the Workload Record, Decision Result, and Annual Report System Plus data on additional input forms and certain follow-up forms and the Salient Factor Worksheet Form. These forms include criminal history-type data elements regarding specific individuals selected from the above category of individuals. This data is either organized and processed by hand or is input into a computer and has been used to provide the following one-time reports in pamphlet-text form: (a) Administrative Review of Parole Selection and Revocation decisions; (b) Parole Decisionmaking, a Salient Factor Score; (c) Effect of Representation at Parole Hearings: (d) Parole Decisionmaking—Structuring Discretion (e) Time Served and Release Performance—A Federal Sample and certain additional reports, all available in the public reading room. The data base collected as described in this and in JUSTICE/PRC 007 system will be used to prepare studies on similar or related subjects in the future. It has been used to develop revocation guidelines similar to parole guidelines, rescission guidelines and other operational improvements. Items collected for this data base may change depending on the subject matter of new studies to be undertaken by the Commission.

Authority for maintenance of the system:

18 U.S.C. 4201-4218, 5005-5041, 28 CFR Part O, Subpart V, 28 CFR Part 2.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

a. Internal—Develop methodology for a more scientific determination of parolability and revocability, methodology to comply with changing concepts of due process, and methodolgy to select persons to be released from prison who will be less likely to recidivate.

b. External—Add to the general body of knowledge in the parole area of criminology, and provide educational material for other parole boards, and members of the criminal justice and academic communities interested in this subject. Published pamphlets in text form are prepared on subjects of interest in this area of criminology and are circulated freely. They contain no references to individuals, either by name, address, register number or other means of identification. They do not contain recognizable fact situations, descriptions, or other writings through which identification of any individual within the present or former jurisdiction of the Parole Commission can be made.

Release of information to the news media:

Information permitted to be released to the news media and the public pursuant to 28 CFR 502 may be made available from systems of records maintained by the U.S. Parole Commission unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Release of information to members of congress:

Information contained in systems of records maintained by the U.S. Parole Commission not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and in response to a communication from the individual who is the subject of the record.

Release of information to the National Archives and Records Administration (NARA) and to the General Services Administration (GSA):

A record may be disclosed as a routine use to the NARA and GSA in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Data is in input forms on printouts or other computer produced storage media. It is stored as described in the JUSTICE/PRC-007 system description. Pamphlet text reports are public documents stored in offices, libraries and in bookshelves, and in the public reading room.

Retrievability:

Information by name, register number or FBI identification number may be retrieved from the input forms, card decks, or storage media. This material is used only by authorized Parole Commission personnel on a "need to know" basis and is data processed only by authorized Bureau of Prisons or Justice Department personnel. Material is not retrieved in identifiable form except that computer produced "hard copy" may be used to prepare a report or internal work papers. The final pamphlet text reports and material resulting from studies are used by Commission personnel for internal purposes and the public externally. None of this material contains any references to an individual. Documents which contains information concerning one individual are made available to that individual if requested under the Privacy Act.

Safeguards:

See "Safeguards" section of JUSTICE/PRC-007 regarding input forms, printouts, discs, or tape. Reports in pamphlet form are not safeguarded.

Retention and disposal:

See "Retention and Disposal" of preceding system. The studies in pamphlet form are not disposed of on schedule. Some will be maintained perpetually in archives.

System manager(s) and address:

Research Director, U.S. Parole Commission, 5550 Friendship Blvd., Chevy Chase, Md. 20815.

Record source categories:

a. Commission inmate files; b. Docket Sheets; c. Commission Notices of Action, orders and documentation following hearings; d. Commission warrant applications and warrants; e. General Commission records and data; f. Enforcement agency records regarding former inmates.

Systems exempted from certain provisions of the act:

The Attorney General has exempted this system from subsections (c)(3) and (4), (d), (e) (2) and (3), (e)(4) (G) and (H), (e)(8), (f), and (g) of the Privacy Act pursuant to 5 U.S.C. 552a(j)(2). Rules have been promulgated in accordance with the requirements of 5 U.S.C. 553 (b), (c), and (e) and have been published in the FEDERAL REGISTER.

JUSTICE/PRC-007

System name:

Workload Record, Decision Result, and Annual Report System.

System location:

U.S. Parole Commission Headquarters, 5550 Friendship Blvd., Chevy Chase, Md. 20815.

Categories of individuals covered by the system:

Any inmate and parolee or mandatory releasee who has been the subject of a decision for the period covered in the report for which the data is used (prior month, prior quarter, prior year or other period).

Categories of records in the system:

Certain original input forms indicate the inmate or person under supervision by name and register number and give the date and specific statistical detail as to the decision made. They include criminal history type of information regarding the persons in questions. The principle types of decisions covered are after initial or review hearings, after a record review, after Regional Appeal, after National Appeal, and after a decision reopening and modifying. The data is input into a computer and is used to provide the following: (a) A monthly report of workload containing number and type of hearings per region further broken out by institutions within regions and type of sentence; (b) Bimonthly report on decision results indicating, among other statistics, number and type of decisions within above, and below guidelines broken out by examiners making the decisions; (c) Other or substitute reports as needed; and (d) Together with land posted data on other items of statistical value, this data is being used to create the Annual Report of the Commission.

Authority for maintenance of the system:

18 U.S.C. 4201–4216, 5005–5041, 28 CFR Part O, Supart V, 28 CFR Part 2

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

(a) These records are used internally to analyze work product, the performance of evaluators, and various types of procedures and hearings and to evaluate the guidelines and other Commission procedures.

(b) These records are used to prepare an annual report to the Attorney General, and Congress and the public indicating in quantitative and qualitative terms Commission activity and accomplishment.

(c) In the event that material in this system indicates a violation or potential violation of law, whether a civil, criminal or regulatory in nature, and whether arising by general statute, or by regulation, rule or order issued pursuant thereto, the relevant records may be referred to the appropriate agency, whether Federal, State, local, or foreign charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, rule, regulation or order issued pursuant thereto.

(d) A record from this system of records may be disclosed to a Federal, State, or local agency maintaining civil, criminal or other relevant information if necessary to obtain information relevant to Parole Commission matters.

(e) A record from this system may be disclosed to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant or other benefit by the requesting agency, to the extent that information is relevant and necessary to the requesting agency's decision on the matter.

Release of Information to the News Media:

Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available from systems of records maintained by the U.S. Parole Commission unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Release of Information to Members of Congress:

Information contained in the systems of records maintained by the U.S. Parole Commission not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and in response to a communication from the individual who is the subject of the record.

Release of information to the National Archives and Records Administration (NARA) and to the General Services Administration (GSA):

A record may be disclosed as a routine use to the NARA and GSA in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper input forms are stored in folders only until information from them is entered into machine readable media. Monthly and other reports in the form of computer printouts are filed in folders. Annual report is in book form and stored in library shelves.

Retrievability:

Data in this system can be retrieved by inmate's name and register number from the original input forms, and computer-produced storage media. It is usually only retrieved by region, by examiner, by type of decision made or hearing held, by relation to the guidelines and other similar means except for individual case retrievability when infrequently required.

Safeguards:

Data on forms, tape or other computer produced storage media retrievable by individual is stored in the Commission's Office in cabinets. Commission employees supervise this data by day and use it on a "need to know" basis. The rooms where it is stored are locked outside of office hours and the entire Headquarters building is locked at certain times with card key access. Monthly and other reports are for use of the Chairman, the Executive Officer and Commission Members and professional personnel. No information thereon is retrievable as pertaining to any individual except certain breakouts by Parole Commission employee examiners and by inmate in the guideline section of reports. These printouts are stored in the Commission Headquarters offices, all of which are supervised by day, and locked at night. The Annual Report contains no information identifiable by individual and is a public document.

Retention and disposal:

The master file and documentation are to be retained permanently. All other related records, including reports and software, are to be destroyed when no longer needed for administrative use.

System manager(s) and address:

Director, Research and Program Development, 5550 Friendship Blvd., Chevy Chase, Md. 20815.

Record source categories:

(a) Commission inmates files; (b) Docket sheets; (c) Commission notices of action, orders, and documentation following hearings; (d) Commission warrant applications and warrants; (e) General Commission records and data.

Systems exempted from certain provisions of the act:

The Attorney General has exempted this system from subsections (c)(3) and (4), (d), (e)(2) and (3), (e)(4) (G) and (H), (e)(8), (f) and (g) of the Privacy Act pursuant to 5 U.S.C. 552a(j)(2). Rules have been promulgated in accordance with the requirements of 5 U.S.C. 553(b), (c) and (e) and have been published in the Federal Register.

SPECIAL COUNSEL FOR IMMIGRATION-RELATED, UNFAIR EMPLOYMENT PRACTICES

JUSTICE/OSC-001

System name:

Central Index File and Associated Records, JUSTICE/OSC-001.

System location:

U.S. Department of Justice, Special Counsel for Immigration Related Unfair Employment Practices (OSC), 1100 Connecticut Avenue, NW., Washington, DC 20036 and Federal Records Center, Suitland, Maryland 20409.

Categories of individuals covered by the system:

These persons may include: Subjects of investigations, victims, potential witnesses and representatives on behalf of individuals and other correspondents on subjects directed or referred to OSC in potential or actual cases and matters of concern to OSC.

Categories of records in the system:

The system consists of (1) alphabetical indices bearing names of the individuals identified above and (2) the associated record to which the indices relate containing the general and particular records of all OSC correspondence, cases, matters, and memoranda, including but not limited to investigative reports, correspondence to and from OSC, internal memoranda legal papers, evidentiary materials and exhibits.

Authority for maintenance of the system:

44 U.S.C. 3101; 8 U.S.C. 1324b; and 29 CFR Part 44.

Purpose(s):

This system has been established to maintain investigatory and law enforcement records concerning charges filed with OSC by or on behalf of individuals alleging immigration-related employment discrimination. The system also contains charges filed with other law enforcement entities that have been referred to OSC pursuant to section 102 of the Immigration Reform and Control Act of 1986 (8 U.S.C. 1324b) to provide relief for injured parties and to enforce prohibition of immigration-related, unfair employment practices.

Employees and officials of the Department may access the system to make decisions in the course of investigations and legal proceedings; to assist in preparing responses to correspondence from persons outside the Department; to prepare budget requests and various reports on the work product of OSC; and to carry out any other authorized internal duties.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

(1) A record relating to a possible or potential violation of law may be disseminated to the appropriate Federal, State or local agency charged with the responsibility to enforce or implement such law; (2) in the course of an investigation or litigation of a case or matter, a record may be disseminated to a Federal, State or local agency, or to an individual organization, if there is reason to believe that such agency, individual or organization possesses information or has the expertise in an official or technical capacity to analyze information relating to the investigation, trail or hearing and the dissemi-

nation is reasonably necessary to elicit such information or expert analysis or to obtain the cooperation of a prospective witness or informant; (3) a record relating to a case or matter, or any facts derived therefrom, may be disseminated in a proceeding before a court or adjudicative body before which OSC is authorized to appear, when the United States, or any agency or subdivision thereof, is a part of litigation or has an interest in litigation and such records are determined by OSC to be arguably relevant to the litigation; (4) a record relating to a case or matter may be disseminated to an actual or potential party of litigation or the party's attorney (a) to negotiate or discusss such matters as settlement of the case or matter or (b) to conduct a formal or informal discovery proceeding; (5) a record relating to a case or matter that has been referred to OSC for investigation may be disseminated by OSC to referring agencies to notify such agency of the status of the case or matter or of any determination that has been made; (6) a record may be disseminated to the United States Commission on Civil Rights in response to its request and pursuant to 42 U.S.C. 1975d; (7) information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy; (8) information in the system may be disclosed as is necessary to respond to inquiries by Members of Congress on behalf of individual constituents that are subjects of OSC rcords; and (9) records may be disclosed to the National Archives and Records Administration and to the General Services Administration in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Information in this system is indexed, and stored in file jackets and on computer disks or tapes.

Retrievability:

Entries are arranged alphabetically and are retrieved from the computer by names of the individuals covered by this system of records. Information may also be retrieved from file jackets by an assigned number appearing in the manual index.

Safeguards:

Information in manual and computer form is safeguarded and protected in accordance with applicable Department security regulations for systems of records. Only those employees with the need to know in order to perform their duties will be able to access the information. Access to records in the computer system is restricted through use of password encryption: Access to both the manual and computer system is restricted by locks on storage facilities.

Retention and disposal:

Records are maintained in the system while current and required for official Government use. When no longer needed on an active basis, the paper files are transferred to the Federal Records Center, Suitland, Maryland, and some records are transferred to computer tape and stored in accordance with Departmental security regulations for systems of records. A request for Records Disposition Authority is pending approval of the National Archives and Records Administration.

System manager(s) and address:

Special Counsel for Immigration Related Unfair Employment Practices, U.S. Department of Justice, Post Office Box 65490, NW, Washington, DC 20035.

Notification procedure:

Address inquiries to the System Manager listed above.

Record access procedures:

Part of this system is exempted from this requirement under 5 U.S.C. 552a(k)(2). To the extent that this system of records is not subject to exemption it is subject to access and contest. A determination as to exemption shall be made at the time a request for access is received. A request for access shall be made in writing, with an envelope and letter clearly marked "Privacy Access Request." Include in the request the full name of the individual, his or her current address, date and place of birth, notarized signature (28 CFR 16.41(b)), the subject of the case or matter as described under "categories of records in the system," and any other information which is known and may be of assistance in locating the records, such as the name of the immigration-related employment discrimination case or matter involved, where and when the discrimination occurred, and the name of the judicial district involved. The requester will also provide a return address for transmitting the information. Access request should be directed to the System Manager listed above.

Contesting record procedures:

Individuals desiring to contest or amend information should direct their request to the System Manager listed above, stating clearly and concisely what information is being contested, the reasons for contesting it, and the proposed amendment to the information.

Record source categories:

Sources of information contained in this system include the individual covered by the system and may include any agency or person who has provided (or has offered to provide) information related to the law enforcement responsibilities of OSC.

Systems exempted from certain provisions of the act:

The Attorney General has exempted parts of this system from subsections (c)(3) and (d) of the Privacy Act pursuant to 5 U.S.C. 552a(k)(2). Rules have been promulgated in accordance with the requirements of 5 U.S.C. 553 (b), (c) and (e) and have been published in the Federal Register.

JUSTICE/OSC-002

System name:

Files on Correspondence Relating to Immigration Related Unfair Employment Practices from Persons Outside the Department of Justice, JUSTICE/OSC-002.

System location:

U.S. Department of Justice, Special Counsel for Immigration Related Unfair Employment Practices (OSC), 1100 Connecticut Avenue, NW., Washington, D.C. 20036 and Federal Records Center, Suitland, Maryland 20409.

Categories of individuals covered by the system:

Individuals who communicate in writing, in person or by telephone, who are filing complaints, requests for information or action; or individuals who are providing expressions of opinion regarding immigration-related, unfair employment matters.

Categories of records in the system:

The system contains original correspondence regarding immigration-related, unfair employment matters and responses thereto. The system may also contain cover letters or notes to Department attorneys or other employees from Department personnel referring or commenting on correspondence.

Authority for maintenance of the system:

44 U.S.C. 3101; 8 U.S.C. 1324b; and 28 CFR Part 44.

Purpose(s):

The purpose of this system is to maintain records of correspondence pertaining to immigration-related employment discrimination from persons outside the Department and copies of the OSC responses to the correspondence.

Employees and officials of the Department may access the system to ensure proper disposition of incoming mail; to determine the status and content of responses to correspondence; to respond to inquiries from OSC personnel, Office of Legislative Affairs, and from Congressional offices regarding the status of correspondence; to prepare budget requests and various reports on the work product of OSC; and to carry out any other authorized internal duties.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

(1) A record relating to a case or matter, or any facts derived therefrom, may be disseminated in a proceeding before a court or adjudicative body before which OSC is authorized to appear, when the United States, or any agency or subdivision thereof, is a part of litigation or has an interest in litigation and such records are determined by OSC to be arguably relevant to the litigation; (2) a record relating to a case or matter may be disseminated to an actual or potential party of litigation or the party's attorney (a) to negotiate or discuss such matters as settlement of the case or matter or (b) to conduct a formal or informal discovery proceeding; (3) a record may be disseminated to volunteer student workers and students working under a work-study program as is necessary to enable them to perform their assigned duties; (4) information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy; (5) information may be disclosed as is necessary to respond to inquiries by Members of Congress on behalf of individual constituents that are subjects of OSC records; and (6) records may be disclosed to the National Archives and Records Administration and to the General Services Administration in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Information in the system is indexed, and stored in file jackets and on computer disks or tapes.

Retrievability:

Entries are arranged alphabetically and are retrieved from the computer by names of the individuals covered by this system of records. Information may also be retrieved from file jackets by an assigned number appearing in the manual index.

Safeguards:

Information in manual and computer form is safeguarded and protected in accordance with applicable Department security regulations for systems of records. Only those employees with the need to know in order to perform their duties will be able to access the information. Access to the records in the computer system is restricted by use of password encryption; access to records in both the manual and computer system is restricted by locks on storage facilities.

Retention and disposal:

Citizen correspondence unrelated to matters within the jurisdiction of OSC is destroyed after appropriate disposition and within ninety days from the date of correspondence. All other records are disposed of in accordance with General Records Schedule 14, items 3, 4, and 7.

System manager(s) and address:

Special Counsel for Immigration Related Unfair Employment Practices, U.S. Department of Justice, Post Office Box 65490, NW., Washington, DC 20035.

Notification procedure:

Same as above.

Record access procedures:

Direct the request to the system manager listed above. Clearly mark the envelope and letter "Privacy Access Request;" provide the full name and notarized signature of the individual who is the subject of the record, his/her date and place of birth, or any other identifying number or information which may assist in locating the record; and a return address.

Contesting record procedures:

Individuals desiring to contest or amend information should direct their request to the System Manager listed above, stating clearly and concisely what information is being contested, the reasons for contesting it, and the proposed amendment to the information.

Record source categories:

Sources of information contained in this system are the original correspondents, persons acting on behalf of original correspondents, and employees and officials of the Department responsible for the disposition of the correspondence.

Systems exempted from certain provisions of the act:

None.

JUSTICE/OSC-003

System name:

Special Counsel for Immigration Related Unfair Employment Practices Travel Reports, JUSTICE/OSC-003.

System location:

U.S. Department of Justice, Special Counsel for Immigration Related Unfair Employment Practices (OSC), 1100 Connecticut Avenue, NW., Washington, DC 20036.

Categories of individuals covered by the system:

All persons who have filed travel authorization forms or travel voucher forms for official travel on behalf of OSC.

Categories of records in the system:

The system contains information concerning travel expenditures recorded on travel authorization forms (DOJ-501) and travel voucher forms (SF-1012) by OSC employees or other persons authorized to travel for OSC and submitted to the Executive Office of OSC.

Authority for maintenance of the system:

44 U.S.C. 3101; 8 U.S.C. 1324b; and 28 CFR Part 44.

Purpose(s):

This system enables OSC to ensure authorized travel, account for its travel expenditures, and manage the appropriated funds therefor. It also permits OSC to maintain account balances and properly reimburse those who travel on behalf of OSC.

Department employees may access the system to make reports to the Executive Office, OSC, for its use in reviewing and controlling OSC expenditures. Employees may also access the system to process travel authorizations and reimbursements for travel.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

(1) A record relating to a case or matter, or any facts derived therefrom, may be disseminated in a proceeding before a court or adjudicative body before which OSC is authorized to appear, when the United States, or any agency or subdivision thereof, is a party to litigation or has an interest in litigation and such records are determined by OSC to be arguably relevant to the litigation; (2) a record relating to a case or matter may be disseminated to an actual or potential party to litigation or the party's attorney (a) to negotiate or discuss such matters as settlement of the case or matter or (b) to conduct a formal or informal discovery proceeding; (3) information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy; (4) information may be disclosed as is necessary to respond to inquiries by Members of Congress on behalf of individual constituents that are subjects of OSC records; and (5) records may be disclosed to the National Archives and Records Administration and to the General Services Administration in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Travel data are stored on computer disks. Individual vouchers and travel authorization forms are stored in file jackets.

Retrievability:

Records are retrieved by the names of those individuals covered by this system of records.

Safeguards:

Information in manual and computer form is safeguarded and protected in accordance with applicable Department security regulations for systems of records. Only those employees with the need-to-know in order to perform their official duties will be able to access the stored information. Access to the records in the computer system is restricted by the locks on storage facilities.

Retention and disposal:

Records are maintained in the system while current and required for official Government use. When no longer needed on an active basis, the records are transferred to computer tape and stored in accordance with Departmental security regulations for systems of records. Final disposition is in accordance with General Records Schedule 9, items 3, 4 and 5.

System manager(s) and address:

Special Counsel for Immigration Related Unfair Employment Practices, U.S. Department of Justice, Post Office Box 65490 NW, Washington, DC 20035.

Notification procedure:

Same as above.

Record access procedures:

Requests for access to records should be directed to the System Manager listed above. Clearly mark the envelope and letter "Privacy Access Request;" provide the full name and notarized signature of the individual who is the subject of the record, his/her date and place of birth, and any other identifying number or information which may assist in locating the record; and furnish a return address.

Contesting record procedures:

Individuals desiring to contest or amend information should direct their request to the System Manager listed above, stating clearly and concisely what information is being contested, the reasons for contesting it, and the proposed amendment to the information.

Record source categories:

Sources of information contained in this system are OSC employees and other persons authorized to travel on behalf of OSC and who file travel authorization and travel voucher forms.

Systems exempted from certain provisions of the act:

None.

JUSTICE/OSC-004

System name:

Freedom of Information; Privacy Acts Records, JUSTICE/OSC-004.

System location:

U.S. Department of Justice, Special Counsel for Immigration Related Unfair Employment Practices (OSC), 1100 Connecticut Avenue NW., Washington, DC 20036.

Categories of individuals covered by the system:

Persons who request disclosure of records pursuant to the Freedom of Information Act; persons who request access to or correction of records pertaining to themselves contained in OSC systems of records pursuant to the Privacy Act; and, where applicable, persons about whom records have been requested and about whom information is contained in requested records.

Categories of records in the system:

The system contains copies of (1) Freedom of Information/Privacy Acts (FOI/PA) requests received by OSC; (2) copies of OSC responses to requesters; (3) internal memoranda and correspondence related to the requests; (4) copies of the documents responsive to the requests; (5) records of appeals or litigation and (6) disclosure accounting records.

Authority for maintenance of the system:

44 U.S.C. 3101; 8 U.S.C. 1324b; and 28 CFR Part 44.

Purpose(s):

This system has been established to enable OSC to receive, process and respond to FOI/PA requests for its records.

Employees of OSC may access the system to perform its various receipt and response functions in regard to an individual's request; to determine the status and content of responses to correspondence; to respond to inquiries from OSC personnel, Office of Legislative Affairs, and from Congressional offices regarding the status of correspondence; to prepare budget requests; and to carry out any other authorized internal duties.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

(1) A record may be disseminated to a Federal agency, which has furnished that record to the Department, to permit that agency to make a decision as to access or correction or to consult with that agency as to the propriety of access or correction; (2) a record may be disseminated to any appropriate Federal, State, local, or foreign agency to verify the accuracy of information submitted by an individual who has requested amendment or correction of records; (3) a record relating to a case or matter, or any facts derived therefrom, may be disseminated in a proceeding before a court or adjudicative body before which OSC is authorized to appear, when the United States, or any agency or subdivision thereof, is a party to litigation or has an interest in litigation and such records are determined by OSC to be arguably relevant to the litigation; (4) a record relating to a case or matter may be disseminated to an actual or potential party to litigation or the party's attorney (a) to negotiate or discuss such matters as settlement of the case or matter of (b) to conduct a formal or informal discovery proceeding; (5) information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy; (6) information in the system may be disclosed as is necessary to respond to inquiries by Members of Congress on behalf of individual constituents that are subjects of OSC records; and (7) records may be disclosed to the National Archives and Records Administration and to the General Services Administration in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Information is stored in file jackets, and on computer disks or tapes.

Retrievability:

Entries are arranged alphabetically and are retrieved from the computer by names of the individuals covered by this system of records. Information may also be retrieved from file jackets by an assigned number.

Safeguards:

Information in manual and computer form is safeguarded and protected in accordance with applicable Department security regulations for systems of records. Only those employees with the need-to-know in order to perform their duties will be able to use the computer to access the stored information. Access to records is restricted by locks on storage facilities and by use of password encryption.

Retention and disposal:

Records are disposed of in accordance with General Records Schedule 14, items 16, 17, 18 and items 25, 26, 27 and 28.

System manager(s) and address:

Special Counsel for Immigration Related Unfair Employment Practices, U.S. Department of Justice, Post Office Box 65490 NW, Washington, DC 20035.

Notification procedure:

Address inquiries to the System Manager listed above.

Record access procedures:

Part of this system is exempted from this requirement under 5 U.S.C. 552a(k)(2). To the extent that this system of records is not subject to exemption, it is subject to access and contest. A determination as to exemption shall be made at the time a request for access is received. A request for access shall be made in writing, with the envelope and letter clearly marked "Privacy Access Request." Include in the request the full name of the individual, his or her current address, date and place of birth, notarized signature (28 CFR 16.41(b)), the subject of the case or matter as described under "Categories of Records in the System," and any other information which is known and may be of assistance in locating the records, such as the name of the immigration-related employment discrimination case or matter involved, where and when the discrimination occurred, and the name of the judicial district involved. The requester will also provide a return address for transmitting the information. Access requests should be directed to the System Manager listed above.

Contesting record procedures:

Individuals desiring to contest or amend information should direct their request to the System Manager listed above, stating clearly and concisely what information is being contested, the reasons for contesting it, and the proposed amendment to the information.

Record source categories:

Sources of information contained in this system include the individual covered by the system and may include any agency or person who has provided information related to the law enforcement responsibilities of OSC.

Systems exempted from certain provisions of the act:

The Attorney General has exempted parts of this system from subsections (c)(3) and (d) of the Privacy Act pursuant to 5 U.S.C. 552a(k)(2). Rules have been promulgated in accordance with the requirements of 5 U.S.C. 553(b), (c) and (e) and have been published in the Federal Register.

TAX DIVISION

JUSTICE/TAX - 001

System name: Tax Division Central Classification Cards, Index Docket Cards, and Associated Records - Criminal Tax Cases.

System location: U.S. Department of Justice; Tax Division; 10th and Constitution Avenue, NW, Washington, D.C. 20530.

Categories of individuals covered by the system: Persons referred to in potential or actual criminal tax cases and related matters of concern to the Tax Division under the Internal Revenue laws.

Categories of records in the system: The system consists of an alphabetical index by individual name of all criminal tax cases, and related matters assigned, referred, or of interest to the Tax Division. Records in many instances are duplicated in the criminal section of the Division which has specific jurisdiction over criminal tax cases.

Authority for maintenance of the system: This system is established and maintained pursuant to 28 CFR 0.70 and 0.71.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

A. Classification cards are maintained on each Tax Division criminal case to identify and assign mail to the proper office within the Division; to relate incoming material to an existing case; to establish a file number for a new case upon receipt; and to provide a central index of cases within the Division.

B. Docket cards are records pertaining to the flow of legal work in the Division. They are maintained on each criminal case which is being or was handled by the Division's sections.

C. Case files maintained allow Division attorneys immediate access to information which is essential in carrying out their responsibilities concerning all criminal tax cases.

D. A record maintained in this system of records may be disseminated as a routine use as follows: (1) In any case in which there is an indication of a violation or potential violation of law, whether civil, criminal, or regulatory in nature, the record in question may be disseminated to the appropriate federal, state, local, or foreign agency charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing such law; (2) In the course of investigating the potential or actual violation of any law whether civil, criminal, or regulatory in nature, or during the course of a trial or hearing or the preparation for a trial or hearing for such violation, a record may be disseminated to a federal, state, local or foreign agency, or to an individual or organization, if there is reason to believe that such agency, individual, or organization possesses information relating to the investigation, trial, or hearing and the dissemination is reasonably necessary to elicit such information or to obtain the cooperation of a witness or an informant; (3) A record relating to a case or matter may be disseminated to the appropriate Federal, state, local, or foreign court or grand jury in accordance with applicable constitutional, substantive, or procedural law or practice; (4) A record relating to a case or matter may be disseminated to a Federal, state, or local administrative or regulatory proceeding or hearing in accordance with the procedures governing such proceeding or hearing; (5) A record relating to a case or matter may be disseminated to an actual or potential party or his attorney for the purpose of negotiation or discussion on such matters as settlement of the case or matter, plea bargaining, or informal discovery proceedings; (6) A record relating to a case or matter that has been referred to the Tax Division may be disseminated to the referring agency to notify such agency of the status of the case or matter or of any decision or determination that has been made; (7) A record relating to a case or matter may be disseminated to a foreign country pursuant to an international treaty or convention entered into and ratified by the United States or to an executive agreement; (8) A record may be disseminated to a federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information relates to the requesting agency's decision on the matter.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Release of information to the National Archives and Records Administration: A record from a system of records may be disclosed as a routine use to the National Archives and Records Administration (NARA) in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Information contained in this system is stored manually on index cards and in folders.

Retrievability: Information is retrieved manually by the name of the individual from the index card which in turn indicates the case number, and the section unit or attorney assigned to work on the material.

Safeguards: Information contained in this system is safeguarded and protected in accordance with applicable Departmental rules and procedures governing access, production and disclosure of any materials contained in its official files.

Retention and disposal: Currently there are no provisions for the disposal of the cards in this system, however, the records of the closed classes are forwarded to the Federal Record Center, where they are destroyed after 25 years.

System manager(s) and address: Assistant Attorney General; Tax Division; U.S. Department of Justice; 10th Street and Constitution Avenue, NW, Washington, D.C. 20530.

Notification procedure: An inquiry concerning this system should be directed to the System Manager listed above.

Record access procedures: To the extent that this system of records is not subject to exemption, it is subject to access and contest. A determination as to the applicability of an exemption as to a specific record shall be made at the time a request for access is received. A request for access to a record contained in this system shall be made in writing, with the envelope and the letter clearly marked 'Privacy Access Request'. Include in the request the name of the individual involved, his birth date and place, or any other identifying number which may be of assistance in locating the record, the name of the case or matter involved, if known, the name of the judicial district involved, if known, and any other information which may be of assistance in locating the record. The requestor will also provide a return address for transmitting the information. Access requests will be directed to the System Manager listed above.

Contesting record procedures: Individuals desiring to contest or amend information maintained in the system should direct their request to the System Manager listed above, stating clearly and concisely what information is being contested, the reasons for contesting it, and the proposed amendment to the information sought.

Record source categories: Internal Revenue Service, Department offices and employees, and other Federal, state, local, and foreign law enforcement and non-law enforcement agencies, private persons, witnesses, and informants.

Systems exempted from certain provisions of the act: The Attorney General has proposed exemption of this system from subsection (c)(3), (c)(4), (d)(1), (d)(2), (d)(3), (d)(4), (e)(1), (e)(2), (e)(3), (e)(4)(G), (e)(4)(H), (e)(4)(I), (e)(5), (e)(8), (f) and (g) of the Privacy Act pursuant to 5 U.S.C. 552a (j). Rules have been promulgated in accordance with the requirements of 5 U.S.C. 553(b), (c) and (e) and have been published in the Federal Register.

JUSTICE/TAX - 002

System name: Tax Division Central Classification Cards, Index Docket Cards, and Associated Records - Civil Tax Cases.

System location: U.S. Department of Justice; Tax Division; 10th and Constitution Avenue, NW, Washington, D.C. 20530.

Categories of individuals covered by the system: Persons referred to in potential or actual civil tax cases and related matters of concern to the Tax Division under the Internal Revenue laws.

Categories of records in the system: The system consists of an alphabetical index by individual name of all civil tax cases, and related matters assigned, referred, or of interest to the Tax Division. Records in many instances are duplicated in the various Civil Tax Sections of the Division which have specific jurisdiction over civil tax cases.

Authority for maintenance of the system: This system is established and maintained pursuant to 28 CFR 0.70 and 0.71.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

A. Classification cards are maintained on each Tax Division civil case in order to identify and assign mail to the proper office within the Division; to relate incoming material to an existing case; to establish a file number for a new case upon receipt; and to provide a central index of civil tax cases within the Division.

B. Docket cards are records pertaining to the flow of legal work in the Division. They are maintained on each civil tax case which is being or was handled by the Division's Sections.

C. Case files maintained allow Division attorneys immediate access to information which is essential in carrying out their responsibilities concerning all civil tax cases.

D. A record maintained in this system of records may be disseminated as a routine use as follows: (1) In any case in which there is an indication of a violation or potential violation of law, whether civil, criminal, or regulatory in nature, the record in question may be disseminated to the appropriate Federal, state, local, or foreign agency charged with the responsibility of investigating or prosecuting such violations or charged with enforcing or implementing such law; (2) In the course of investigating the potential or actual violation of any law whether civil, criminal, or regulatory in nature, or during the course of a trial or hearing or the preparation for a trial or hearing for such violation, a record may be disseminated to a Federal, state, local or foreign agency, or to an individual or organization, if there is reason to believe that such agency, individual, or organization possesses information relating to the investigation, trial or hearing and the dissemination is reasonably necessary to elicit such information or to obtain the cooperation of a witness or an informant; (3) A record relating to a case or matter may be disseminated to the appropriate Federal, state, local, or foreign court or grand jury in accordance with applicable constitutional, substantive, or procedural law or practice; (4) A record relating to a case or matter may be disseminated to a Federal, state, or local administrative or regulatory proceeding or hearing in accordance with the procedures governing such proceeding or hearing; (5) A record relating to a case or matter may be disseminated to an actual or potential party or his attorney for the purpose of negotiation or discussion on such matters as settlement of the case or matter, plea bargaining, or informal discovery proceedings; (6) A record relating to a case or matter that has been referred to the Tax Division may be disseminated to the referring agency to notify such agency of the status of the case or matter of any decision or determination that has been made; (7) A record relating to a case or matter may be disseminated to a foreign country pursuant to an international treaty or convention entered into and ratified by the United States or to an executive agreement; (8) A record may be disseminated to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information relates to the requesting agency's decision on the matter.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Release of information to the National Archives and Records Administration: A record from a system of records may be disclosed as a routine use to the National Archives and Records Administration (NARA) in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Information contained in this system is stored manually on index cards and in folders.

Retrievability: Information is retrieved manually by the name of the individual from the index card which, in turn, indicates the case number, and the section unit or attorney assigned to work on the material.

Safeguards: Information contained in the system is safeguarded and protected in accordance with Departmental rules and procedures governing access, production and disclosure of any materials contained in its official files.

Retention and disposal: Currently, there are no provisions for the disposal of the cards in this system; however, the records of the closed classes are forwarded to the Federal Record Center, where they are destroyed after 25 years.

System manager(s) and address: Assistant Attorney General, Tax Division, U.S. Department of Justice, 10th and Constitution Avenue, NW, Washington, D.C. 20530.

Notification procedure: An inquiry concerning this system should be directed to the System Manager listed above.

Record access procedures: To the extent that this system of records is not subject to exemption, it is subject to access and contest. A determination as to the applicability of an exemption to a specific record shall be made at the time a request for access is received. A request for access to a record contained in this system shall be made in writing, with the envelope and the letter clearly marked 'Privacy Access Request'. Include in the request the name of the individual involved, his birth date and place, or any other identifying number which may be of assistance in locating the record, the name of the case or matter involved, if known, the name of the judicial district involved, if known, and any other information which may be of assistance in locating the record. The requestor will also provide a return address for transmitting the information. Access requests will be directed to the System Manager listed above.

Contesting record procedures: Individuals desiring to contest or amend information maintained in the system should direct their request to the System Manager listed above, stating clearly and concisely what information is being contested, the reasons for contesting it, and the proposed amendment to the information sought.

Record source categories: Internal Revenue Service, Department offices and employees, and other Federal, state, local, and foreign law enforcement and non-law enforcement agencies, private persons, witnesses and informants.

Systems exempted from certain provisions of the act: The Attorney General has exempted this system from subsections (c)(3), (d)(1), (d)(2), (d)(3), and (d)(4), (e)(1), (e)(4)(G), (e)(4)(H), (e)(4)(I), and (f) of the Privacy Act pursuant to 5 U.S.C. 552a(k). Rules have been promulgated in accordance with the requirements of 5 U.S.C. 553(b), (c) and (e) and have been published in the FEDERAL REGISTER.

JUSTICE/TAX - 003

System name: Files of Applications for the Position of Attorney with the Tax Division.

System location: U.S. Department of Justice, Tax Division, 10th and Constitution Avenue, NW, Washington, D.C. 20530.

Categories of individuals covered by the system: Applicants who have applied for a position as an attorney with the Tax Division.

Categories of records in the system: This system contains a card of each applicant filed alphabetically. Files may contain background information of the applicant, including SF 171 forms, resumes, referral letters, letters of recommendation, interview notes, internal notes or memoranda, and other miscellaneous correspondence.

Authority for maintenance of the system: This system is established and maintained pursuant to the responsibilities assigned the Tax Division under 28 CFR 0.70 and 0.71.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (A) This system may be used by employees and officials of the Division and the Justice Department in making employment decisions; (B) A record from this system of records may be disclosed to a federal agency, in response to its request, in connection with the hiring of an employee, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter.

Release of information to the news media: Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available from systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Release of information to Members of Congress. Information contained in systems of records maintained by the Department of Justice, not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and at the request of the individual who is the subject of the record.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Release of information to the National Archives and Records Administration: A record from a system of records may be disclosed as a routine use to the National Archives and Records Administration (NARA) in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Information contained in this system is stored manually, alphabetically by name.

Retrievability: Information is retrieved manually by using the name of the applicant desired.

Safeguards: Information contained in the system is unclassified. It is safeguarded and protected in accordance with Departmental rules and procedures governing access, production and disclosure of any materials contained in its official files.

Retention and disposal: Information is retained in the card system for 10 years. Information in the files is retained in the system until a decision is made as to the employment of the applicant.

System manager(s) and address: Assistant Attorney General, Tax Division, U.S. Department of Justice, 10th Street and Constitution Avenue, N.W., Washington, D.C. 20530.

Notification procedure: Same as the above.

Record access procedures: A request for access to a record contained in this system shall be made in writing, with the envelope and the letter clearly marked 'Privacy Access Request'. Include in the request the name of the individual involved, his birth date and place, or any other identifying number which may be of assistance in locating the record, as well as the position applied for. The requestor will also provide a return address for transmitting the information. Access requests will be directed to the System Manager listed above.

Contesting record procedures: Individuals desiring to contest or amend information maintained in the system should direct their request to the System Manager listed above, stating clearly and concisely which information is being contested, the reasons for contesting it, and the proposed amendment to the information sought.

Record source categories: Generally, sources of information contained in the system are the individual applicants, persons referring or recommending the applicant, and employees and officials of the Division and the Department.

Systems exempted from certain provisions of the act: None.

JUSTICE/TAX-004

System name:

Freedom of Information—Privacy Act Request Files.

System location:

U.S. Department of Justice, Tax Division 10th and Constitution Avenue, NW, Washington, D.C. 20530.

Categories of individuals covered by the system:

Persons who have requested information under the Freedom of Information Act and Privacy Act.

Categories of records in the system:

(a) Correspondence relating to requests for information; (b) documents relevant to appeals and lawsuits under the Freedom of Information Act and Privacy Act.

Authority for maintenance of the system:

The system is maintained to enable the Tax Division to process requests under the Freedom of Information Act (5 U.S.C. 552) and Privacy Act (5 U.S.C. 552a).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The system is maintained to insure the efficient processing of requests made pursuant to the Freedom of Information Act (5 U.S.C. 552) and Privacy Act (5 U.S.C. 552a).

Release of information to the news media:

Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available from systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Release of information to Members of Congress:

Information contained in systems of records maintained by the Department of Justice, not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and at the request of the individual who is the subject of the record.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Release of information to the National Archives and Records Administration: A record from a system of records may be disclosed as a routine use to the National Archives and Records Administration (NARA) in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Information contained in this system is stored manually in standard file folders, alphabetically by name of the person making the request.

Retrievability:

Information is retrieved manually by name of the persons making the request.

Safeguards:

The system of records is stored in a file cabinet in a locked closet. Access is restricted to the Information and Privacy Unit staff on a need-to-know basis.

Retention and disposal:

Destruction schedules will be developed as the needs of the system requirements become known. Presently, records are retained indefinitely.

System manager(s) and address:

Assistant Attorney General, Tax Division, U.S. Department of Justice, 10th Street and Constitution Avenue, NW, Washington, D.C. 20530.

Notification procedure:

Inquiry concerning this system should be directed to the System Manager listed above. Inquiries should contain the inquirer's name, date and place of birth.

Record access procedures:

Same as above.

Contesting record procedures:

Same as above.

Record source categories:

(a) Persons requesting information; (b) Department of Justice employees.

Systems exempted from certain provisions of the act:

The Attorney General has exempted this system pursuant to the provisions of 5 U.S.C. 552a(j)(2) from subsections (c)(3), (c)(4), (d)(1), (d)(2), (d)(3), (d)(4), (e)(1), (e)(2), (e)(3), (e)(4)(G), (e)(4)(H), (e)(4)(I), (e)(5), (e)(8), (f) and (g) of 5 U.S.C. 552a; in addition, this system, is exempted pursuant to the provisions of 5 U.S.C. 552a(k)(2) from subsections (c)(3), (d)(1), (d)(2), (d)(3), (d)(4), (e)(1), (e)(4)(G), (e)(4)(H), (e)(4)(I) and (f) of 5 U.S.C. 552a. These exemptions apply only to the extent that the records in this system have been obtained from other systems of records maintained by the Tax Division for which exemptions from one or more of the foregoing provisions of the Privacy Act have been promulgated and only to the same extent as the records contained in such other systems have been exempted. Rules have been promulgated in accordance with the requirements of 5 U.S.C. 553 (b), (c), and (e) and have been published in the FEDERAL REGISTER.

JUSTICE/TAX - 005

System name: Tax Division Special Projects Files

System location: U.S. Department of Justice, Tax Division, 10th and Constitution Avenue, NW, Washington, D.C. 20530.

Categories of individuals covered by the system: Persons referred to in potential or actual cases under the jurisdiction of the Criminal Section of the Tax Division.

Categories of records in the system: The system consists of investigatory files, records and associated documents and information indexed by individual name and entity and relating to matters assigned, referred or of interest to the Criminal Section of the Tax Division.

Authority for maintenance of the system: This system is established and maintained pursuant to 28 CFR 0.70 and 0.71.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

A. Materials maintained in this system may be used by Division attorneys and attorneys in other appropriate offices, boards and divisions for purposes of pursuing investigative leads and for purposes of initiating, developing, preparing and prosecuting criminal and civil tax cases.

B. Additionally, a record maintained in this system of records may be disseminated as a routine use as follows: (1) In any case in which there is an indication of a violation or potential violation of law, whether civil, criminal or regulatory in nature, the material in question may be disseminated to the appropriate Federal, state, local, or foreign agency charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing such law; (2) In the course of investigating the potential or actual violation of any law whether civil, criminal, or regulatory in nature, or during the course of a trial or hearing or the preparation for a trial or hearing for such violation, material may be disseminated to a Federal, state, local or foreign agency, or to an individual or organization, if there is reason to believe that such agency, individual, or organization possesses information relating to the investigation, trial or hearing and the dissemination is reasonably necessary to elicit such information or to obtain the cooperation of a witness or an informant; (3) Material may be disseminated to the appropriate Federal, state, local, or foreign court or grand jury in accordance with established constitutional, substantive, or procedural law or practice; (4) Material may be disseminated to Federal, state or local administrative or regulatory proceeding or hearing in accordance with the procedures governing such proceeding or hearing; (5) Material may be disseminated to an actual or potential party or his attorney for the purpose of negotiation or discussion on such matters as settlement of the case or matter, plea bargaining, or informal discovery proceedings; (6) Material that has been referred to the Tax Division may be disseminated to the referring agency to notify such agency of the status of a potential or actual case or of any decision or determination that has been made; (7) Material may be disseminated to a foreign country pursuant to an international treaty or convention entered into and ratified by the United States or to an executive agreement.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Release of information to the National Archives and Records Administration: A record from a system of records may be disclosed as a routine use to the National Archives and Records Administration (NARA) in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Material contained in this system is stored manually.

Retrievability: Material is retrieved by the name of an individual or entity both manually and through the use of an automated data retrieval system.

Safeguards: Information contained in the system is safeguarded and protected in accordance with Departmental rules and procedures governing access, production and disclosure of any materials contained in its official files.

Retention and disposal: Currently there are no provisions for the disposal of material in this system.

System manager(s) and address: Assistant Attorney General; Tax Division; U.S. Department of Justice; 10th Street and Constitution Avenue, NW, Washington, D.C. 20530.

Notification procedure: An inquiry concerning this system should be directed to the System Manager listed above.

Record access procedures: To the extent that this system of records is not subject to exemption, it is subject to access and contest. A determination as to the applicability of an exemption to a specific record shall be made at the time a request for access is received. A request for access to a record contained in this system shall be made in writing, with the envelope and the letter clearly marked 'Privacy Access Request'. Include in the request the name of the individual involved, his birth date and place, or any other identifying number which may be of assistance in locating the record, the name of the case or matter involved, if known, the name of the judicial district involved, if known, and any other information which may be of assistance in locating the record. The requestor will also provide a return address for transmitting the information. Access requests will be directed to the System Manager listed above.

Contesting record procedures: Individuals desiring to contest or amend information maintained in the system should direct their request to the System Manager listed above, stating clearly and concisely what information is being contested, the reasons for contesting it, and the proposed amendment to the information sought.

Record source categories: Internal Revenue Service, Department Offices and employees, and other Federal, state, local, and foreign law enforcement and non-law enforcement agencies, private persons, witnesses, and informants.

Systems exempted from certain provisions of the act: The Attorney General has exempted this system from subsections (c)(3), (c)(4), (d)(1), (d)(2), (d)(3), (d)(4), (e)(1), (e)(2), (e)(3), (e)(4)(G), (e)(4)(H), (e)(4)(I), (e)(5), (e)(8), (f), and (g) of the Privacy Act pursuant to 5 U.S.C. 552a(j). Rules have been promulgated in accordance with the requirements of 5 USC 552(b), (c) and (e) and have been published in the FEDERAL REGISTER.

UNITED STATES ATTORNEY'S OFFICE

JUSTICE/USA-001

System name:

Administrative File.

System location:

Ninety-four United States Attorneys' Office (See appendix identified as JUSTICE/USA-999); Executive Office for United States Attorneys, U.S. Department of Justice, 10th & Constitution Avenue NW., Washington, D.C. 20530.

Categories of individuals covered by the system:

(a) Office Personnel (present and past); (b) Expert professionals whose services are used by the office: (c) Applicants for office positions; (d) Witnesses in Court proceedings; (e) Prisoners-In-Custody; (f) Defendants; (g) Debtors; (h) Vendors; (i) Citizens making inquiries; (j) Members of local and State Bar Associations.

Categories of records in the system:

(a) Personnel Files (official/unofficial); (b) Applicant Files; (c) Employee Record cards (SF-7B); (d) Office Rosters; (e) Tickler File System for Promotions; (f) Personnel Address and Telephone Number Lists; (g) Sign In/Out Sheets; (h) Time and Attendance Records (OMF-44); (i) Wage Earnings Statement (DOJ-296); (j) Travel Authorizations and Vouchers (OBD-1 and SF-1012); (k) Advice of Obligations incurred (DJ-60); (l) Telephone Records and Logs; (m) Fiscal Vouchers; (n) Witness Records (LAA-3); (o) Lists of Records at Federal Records Center; (p) In-House Statistical Reports; (q) Internal Meetings Records; (r) Equal Employment Opportunity (EEO) Records; (s) Employees: Organizations and Unions Records; (t) Federal Woman's Program Records; (u) Address and Telephone Indexes; (v) Lists of State and Local Bar Members; (w) Lists of Expert Professionals; (x) Requests for Expert Witnesses; (y) Telephone Files; (z) Correspondence Files; and (aa) Assistant United States Attorneys' Skills Inventory.

Authority for maintenance of the system:

These systems are established and maintained pursuant to 5 U.S.C. 301 and 44 U.S.C. 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

A record maintained in this system of records may be disseminated as a routine use of such record as follows:

(a) In any case in which there is an indication of a violation or potential violation of law or legal obligation, criminal, civil, or regulatory in nature, the record in question may be disseminated to the appropriate federal, state, local, or foreign agency charged with the responsibility for investigating or prosecuting such violation or charged with enforcing or implementing such law or civil remedy;

(b) In the course of investigating the potential or actual violation of any law, criminal, civil, or regulatory in nature, or during the course of a trial or hearing or the preparation for a trial or hearing for such violation, a record may be disseminated to a federal, state, local, or foreign agency, or to an individual or organization, if there is reason to believe that such agency, or to any individual or organization possesses information relating to the investigation, trial or hearing and the dissemination is reasonably necessary to elicit such information or to obtain the cooperation of a witness or an informant;

(c) A record relating to a case or matter may be disseminated in an appropriate federal, state, local, or foreign court or grand jury proceeding in accordance with established constitutional substantive or procedural law or practice;

(d) A record relating to a case or matter may be disseminated to a federal, state, or local administrative or regulatory proceeding or hearing in accordance with the procedures governing such proceeding or hearing;

(e) A record relating to a case or matter may be disseminated to an actual or potential party or his attorney for the purpose of negotiation or discussion on such matters as settlement of the case or matter, plea bargaining, or informal discovery proceedings;

(f) A record relating to a case or matter that has been referred by an agency for investigation, prosecution, or enforcement, or that involves a case or matter within the jurisdiction of an agency, may be disseminated to such agency to notify the agency of the status of the case or matter or of any decision or determination that has been made, or to make such other inquiries and reports as are necessary during the processing of the case or matter;

(g) A record relating to a person held in custody pending or during arraignment, trial, sentence, or extradition proceedings, or after conviction or after extradition proceedings, may be disseminated to a federal, state, local, or foreign prison, probation, parole, or pardon authority, or to any other agency or individual concerned with the maintenance, transportation, or release of such a person:

(h) A record relating to a case or matter may be disseminated to a foreign country pursuant to an international treaty or convention entered into and ratified by the United States or to an executive agreement;

(i) A record may be disseminated to a federal, state, local, foreign, or international law enforcement agency to assist in the general crime prevention and detection efforts of the recipient agency or to provide investigative leads to such agency;

(j) A record may be disseminated to a federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information relates to the requesting agency's decision on the matter;

(k) A record may be disseminated to the public, news media, trade associations, or organized groups, when the purpose of the dissemination is educational or informational, such as descriptions of crime trends or distinctive or unique modus operandi, provided that the record does not contain any information identifiable to a specific individual other than such modus operandi;

(l) A record may be disseminated to a foreign country, through the United States Department of State or directly to the representative of such country, to the extent necessary to assist such country apprehending and/or returning a fugitive to a jurisdiction which seeks his return;

(m) A record that contains classified national security information and material may be disseminated to persons who are engaged in historical research projects, or who have previously occupied policy-making provisions to which they were appointed by the President, in accordance with the provisions codified in 28 CFR 17.60; and

(n) A record may be accessed by volunteer student workers and students working under a college work-study program, as is necessary to enable them to perform their function.

Release of information to the news media:

Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available from systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Release of information to member of congress:

Information contained in systems of records maintained by the Department of Justice, not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and at the request of the individual who is the subject of the record.

Release of information to the National Archives and Records Administration:

A record from a system of records may be disclosed as a routine use to the National Archives and Records Administration (NARA) in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

All information except that specified in this paragraph, is recorded on basic paper/cardboard material, and stored within manila file folders, within metal file cabinets, electric file/card retrievers or safes. Some material is recorded and stored on magnetic tape, card or other data processing type storage matter for reproduction later into conventional formats.

Retrievability:

Information is retrieved primarily by name of person, case number, complaint number or court docket number. Information within this system of records may be accessed by various U.S. Attorney's offices and the Executive Office for United States Attorneys by means of catho-ray tube terminals (CRT's).

Safeguards:

Information in the system is stored in file cabinets in the United States Attorney's offices. Some materials are located in locked file drawers and safes, and others in unlocked file drawers. Offices are locked during non-working hours and are secured by either Federal Protective Service, United States Postal Service, or private building guards. Information that is retrievable by CRT's within various U.S. Attorneys' offices and the Executive Office for United States Attorneys requires user identification numbers which are issued to authorized employees of the Department of Justice.

Retention and disposal:

Records are maintained and disposed of in accordance with Department of Justice retention plans.

System manager(s) and address:

System Manager for the system in each office is the Administrative Officer/Assistant, for the U.S. Attorney for each district (See appendix identified as JUSTICE/USA-999).

Notification procedure:

Address inquiries to the System Manager for the judicial district in which the case or matter is pending (See appendix identified as JUSTICE/USA-999).

Record access procedures:

A request for access to a record from this system shall be made in writing with the envelope and the letter clearly marked "Privacy Access Request." Include in the request the name of the individual involved, his birth date and place, or any other identifying number or information which may be of assistance in locating the record and the name of the case or matter involved, if known. The requester will also provide a return address for transmitting the information. Access requests will be directed to the System Manager (See appendix identified as JUSTICE/USA-999).

Contesting record procedures:

Individuals desiring to contest or amend information maintained in the system should direct their request to the System manager (See appendix identified as JUSTICE/USA-999) stating clearly and concisely what information is being contested, the reasons for contesting it, and the proposed amendment to the information sought.

Record source categories:

Sources of information contained in this system include, but are limited to, investigative reports of federal, state and local law enforcement agencies, client agencies of the Department of Justice; other non-Department of Justice investigative agencies; forensic reports; statements of witnesses and parties, data, memoranda and reports from the Courts and agencies thereof; and the work product of Assistant United States Attorneys, Department of Justice attorneys and administrative staff of the divisions, offices and bureaus, work product of secretarial and administrative staff within the U.S. Attorneys office and the Executive Office for U.S. Attorneys, from general public referral sources or as provided by members of the public who participate, assist or observe in pending cases or matters, or commercial establishments which provide goods or services, publications and reports from the Department's other offices, divisions and bureaus and internal U.S. Attorney work product.

Systems exempted from certain provisions of the act:

None.

JUSTICE/USA—002

System name:

A U.S.A. Applicant Files.

System location:

Executive office for United States Attorneys, U.S. Department of Justice, 10th & Constitution Avenue, NW, Washington, D.C. 20530.

Categories of individuals covered by the system:

Applicants tentatively selected (by nomination of a U.S. Attorney) for the position of Assistant U.S. Attorney.

Categories of records in the system:

The system includes the applicants name, status of Bar membership and dates of receipt, status and final determination on the appointment of the applicant. The system is arranged chronologically by date of receipt of file and applicants name.

Authority for maintenance of the system:

These records are kept for administrative convenience pursuant to 5 U.S.C. 301 and 44 U.S.C. 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

All uses are internal within the Department.

Release of information to the news media: Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available from systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Release of information to Members of Congress. Information contained in systems of records maintained by the Department of Justice, not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and at the request of the individual who is the subject of the record.

Release of information to the National Archives and Records Administration: A record from a system of records may be disclosed as a routine use to the National Archives and Records Administration (NARA) in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

The material is stored within manila file folders, within metal file cabinets.

Retrievability:

The system is indexed by name, arranged alphabetically.

Safeguards:

The correspondence is maintained in a room which is occupied by office personnel during the day and locked at night.

Retention and disposal:

Records are maintained and disposed of in accordance with Department retention plans.

System manager(s) and address:

Director, Executive Office of United States Attorneys, U.S. Department of Justice, 10th & Constitution Avenue, NW, Washington, D.C. 20530.

Notification procedure:

Same as the above.

Record access procedures:

A request for access to a record from this system shall be made in writing, with the envelope and the letter clearly marked "Privacy Access Request," Include in the request the name and address as included in the original letter, together with the current address if different, the date of the letter and to whom it was addressed. Requests should be directed to the System Manager listed above.

Contesting record procedures:

Any requests for correction should also be directed to the System Manager and should indicate the exact correction required.

Record source categories:

Sources of information in this system are the actual letter received, the response and any transmitted information and enclosures.

Systems exempted from certain provisions of the act:

None.

JUSTICE/USA-003

System name:

Citizen Complaint Files.

System location:

U.S. Attorney's Office: Judiciary Center Bldg., 555 4th St. NW., Washington, D.C. 20001; Executive Office for United States Attorneys; U.S. Department of Justice; 10th & Constitution Avenue, NW., Washington, D.C. 20530.

Categories of individuals covered by the system:

The individuals on whom records are maintained in this system may be broadly classified in four categories. (1) Those individuals who have been charged with Federal and D.C. Code violations; (2) those individuals who are currently under investigation for violations of Federal and D.C. Code; (3) those individuals about whom complaints have been made on upon whom investigations were conducted, but no prosecution was initiated; and (4) complainants.

Categories of records in the system:

A file may consist of a single sheet of paper describing briefly the nature of a complaint and its disposition or it may consist of a more comprehensive file containing the results of a hearing, depending on the complexity or seriousness of the complaint. If the complaint results in criminal charges being preferred, the contents of the file are transferred to the appropriate criminal file system.

Authority for maintenance of the system:

5 U.S.C. 301, 28 U.S.C. 547, 23 D.C. Code 101(c).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

A record maintained in this system of records may be disseminated as a routine use of such record as follows:

(1) In any case in which there is an indication of a violation or potential violation of law, whether civil, criminal, or regulatory in nature, the record in question may be disseminated to the appropriate agency, federal, state, local, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcement or implementing such laws;

(2) In the course of investigating the potential or actual violation of any law, whether civil, criminal, or regulatory in nature, or during the course of a trial or hearing or the preparation for a trial or hearing for such violation, a record may be disseminated to a federal, state, local, or foreign agency, or to an individual, if there is reason to believe that such agency or individual possesses information relating to the investigation, trial, or hearing and the dissemination is reasonably necessary to elicit such information or to obtain the cooperation of a witness or an informant;

(3) Records or extracts thereof relating to case matters or matter may be disseminated to a defendant or his attorney or to the appropriate federal, state, local or foreign court or grand jury in accordance with established constitutional, substantive, or procedural law or practice;

(4) A record relating to a case or matter may be disseminated to a federal, state, or local administrative or regulatory proceeding or hearing in accordance with the procedures governing such proceeding or hearing;

(5) A record relating to a case or matter may be disseminated to an actual or potential party or his attorney for the purpose of negotiation or discussion on such matters as settlement of the case or matter, plea bargaining, or informal discovery proceedings;

(6) A record relating to a case or matter than has been referred for investigation may be disseminated to the referring agency to notify such agency of the status of the case or matter or of any decision or determination that has been made;

(7) A record relating to a person held arraignment, trial or sentence, or after conviction, may be disseminated to a federal, state, local, or foreign prison, probation, parole, bail or pardon authority, or to any agency or individual, concerned with the custody maintenance, transportation, or release of such person;

(8) A record relating to a case or matter may be disseminated to a foreign country pursuant to an international treaty or convention entered into and ratified by the United States;

(9) A record may be disseminated to a federal, state, local, or foreign law enforcement agency to assist in the general crime prevention and detection efforts of the recipient agency or to provide investigative leads to such agency;

(10) A record may be disseminated to a federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information relates to the requesting agency's decision on the matter;

(11) A record may be accessed by volunteer student workers and students working under a college work-study program, as is necessary to enable them to perform their function.

(12) Release of information to the news media: Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available from systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

(13) Release of information to Members of Congress. Information contained in systems of records maintained by the Department of Justice, not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and at the request of the individual who is the subject of the record and;

(14) Release of information to the National Archives and Records Administration (NARA) and the General Services Administration (GSA): A record from a system of records may be disclosed as a routine use to NARA and GSA in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Citizen complaint files are maintained in one of two ways; either on a single sheet which is a record of the complaint and disposition thereof or in complaints which result in further proceedings, a file folder would be established. Some material is recorded and stored on magetic tape, card or other data processing type storage matter for reproduction later into conventinal formats and for management information purposes.

Retrievability:

Information is retrieved either by the name of a complainant, the name of a person about whom a complaint is registered or by a complaint number. If further proceedings are conducted with respect to a citizen's complaint and the complaint materializes into a criminal action, the file folder will become part of the criminal files and then is retrievable in the same manner as any criminal file is retrieved. Information may be accessed by means of cathode-ray tube terminals (CRT'S).

Safeguards:

Information contained in the system is unclassified. It is safeguarded and protected by being maintained in files at the Citizens Complaint Center, and the Legal Services section of the Executive Office for United States Attorneys, which is manned at all times when it is open and at other times is locked. More sensitive files that materialize into hearings or require further action by the Misdemeanor Trial Section of the Superior Court Division, or the Executive Office for United States Attorneys, are maintained by the Chief of the Misdemeanor Trial Section in his office in Building B of the Superior Court, or the Assistant Director for Legal Services, Executive Office for United States Attorneys in his safe. Information that is retrievable by CRT's within various U.S. Attorneys' offices and the Executive Office for United States Attorneys require user identification numbers which are issued to authorized employees of the Department of Justice.

Retention and disposal:

Files are retained and disposed of in accordance with Title 3, U.S. Attorney's Manual.

System manager(s) and address:

Chief, Misdemeanor Trial Section: U.S Attorney's Office; Superior Court. Operations, 555 4th St. NW., Washington, DC 20001; Director, Executive Office for United States Attorneys, U.S. Department of Justice, 10th & Constitution Avenue, NW., Washington, DC 20530.

Notification procedure:

Address inquiries to the System Manager.

Record access procedures:

The major part of these systems are exempt from this requirement under 5 U.S.C. 552a (j)(2),(k)I1) and/or (k)(2). To the extent that this system is not subject to exemption, it is subject to access. A determination as to exemption shall be made at the time a request for access is received. A request for access to a record from this system shall be made in writing, with the envelope and the letter clearly marked "Privacy Access Request." Include in the request the general subject matter of the document or its file number. The requestor will also provide a return address for transmitting the information. Access requests will be directed to the System Manager listed above.

Contesting record procedures:

The major parts of these systems are exempt from this requirement under 5 U.S.C. 552a (j)(2),(k)(1) and/or (k)(2). To the extent that this system is not subject to exemption, it is subject to contest. A determination as to exemption shall be made at the time a request for contest is received. Individuals desiring to contest or amend information maintained in the system should direct their request to the System Manager listed above, stating clearly and concisely what information is being contested, the reasons for contesting it, and the proposed amendment to the information sought.

Record source categories:

Sources of information contained in this system come primarily from citizens walking into this unit to register complaints. Sources also include but are not limited to investigative reports of federal, state and local law enforcement agencies, forensic reports, statements of witnesses and parties, as well as verbatim transcripts for grand jury proceedings and court proceedings, memoranda and reports from the court and agencies thereof and the work product of Assistant United States Attorneys and legal assistants working on particular cases.

Systems exempted from certain provisions of the act:

The Attorney General has exempted this system from subsections (c)(3) and (4), (d), (e)(1), (2) and (3), (e)(4)(G) and (H), (e)(5) and (8), (f), (g) and (h) of the Privacy Act pursuant to 5 U.S.C. 552a (j)(2) and (k)(1) and (2). Rules have been promulgated in accordance with the requirements of 5 U.S.C. 553 (b),(c) and (e) and have been published in the Federal Register.

JUSTICE/USA—004

System name:

Citizen Correspondence Files.

System location:

Executive Office for United States Attorneys, U.S. Department of Justice, 10th & Constitution Avenue, NW., Washington, DC 20530.

Categories of individuals covered by the system:

(a) Individuals who write to the Executive Office for United States Attorneys, its Director or a member of his staff.

(b) Individuals who write to the Attorney General or the Department of Justice and whose letter is referred to the Executive Office of United States Attorneys.

(c) Individuals whose letter has been referred to the Executive Office of United States Attorneys for a response by the White House, Executive Agencies or Members of Congress.

In all of the above categories, the individuals include only those who express general views or seek information or assistance. Freedom of Information requests are not indexed in this system.

Categories of records in the system:

The system includes the original correspondence received as well as any response, referral letters or notes concerning the subject of the correspondence and copies of any enclosures. The system is arranged alphabetically by the last name of the original correspondent.

Authority for maintenance of the system:

These records are kept for administrative convenience pursuant to 5 U.S.C. 301 and 44 U.S.C. 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

(a) Information from the responses may be provided to the referrer of the original correspondence. All other uses are internal within the Department.

(b) Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available from systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

(c) Release of information to Members of Congress: Information contained in systems of records maintained by the Department of Justice, not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member of staff requests the information on behalf of and at the request of the individual who is the subject of the record and;

(d) Release of information to the National Archives and Records Administration (NARA) and the General Services Administration (GSA): A record from a system of records may be disclosed as a routine use to NARA and GSA in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

The material is stored within manila file folders, within metal file cabinets. Some material is recorded and stored on magnetic tape, card or other data processing type storage matter for reproduction later into conventional formats and for management information purposes.

Retrievability:

The system is indexed by name, arranged alphabetically. Information may be accessed by means of cathode-ray tube terminals.

Safeguards:

The correspondence is maintained in a room which is occupied by office personnel during the day and locked at night. Information that is retrievable by CRT's within various U.S. Attorneys' offices and the Executive Office for United States Attorneys requires user identification numbers which are issued to authorized employees of the Department of Justice.

Retention and disposal:

Records are maintained and disposed of in accordance with Department retention plans.

System manager(s) and address:

Director, Executive Office of United States Attorneys, U.S. Department of Justice, 10th & Constitution Avenue, NW., Washington, DC 25030.

Notification procedure:

Same as the above.

Record access procedures:

A request for access to a record from this system shall be made in writing, with the envelope and the letter clearly marked "Privacy Access Request." Include in the request the name and address as included in the original letter, together with the current address if different, the date of the letter and to whom it was addressed. Requests should be directed to the System Manager listed above.

Contesting record procedures:

Any request for correction should also be directed to the System Manager and should indicate the exact correction required.

Record source categories:

Sources of information in this system are the actual letter received, the response and any transmitted information and enclosures.

Systems exempted from certain provisions of the act:

None.

JUSTICE/USA—005

System name:

Civil Case Files.

System location:

Ninety-four United States Attorneys' Offices (See Appendix identified as Justice/USA-999), Executive Office for United States Attorneys, U.S. Department of Justice, 10th and Constitution Avenue NW., Washington, D.C. 20530.

Categories of individuals covered by the system:

(a) Individuals being investigated in anticipation of Civil suits; (b) Individuals involved in Civil suits; (c) Defense Counsel(s); (d) Information sources; (e) Individuals relevant to the development of Civil suits.

Categories of records in the system:

(a) All Civil Case Files (USA-34); (b) Docket Cards (USA-116); (c) Civil Debtor Cards—(USA-117b); (d) Civil Case Activity Card (USA-164); (e) Civil Debtor Activity Card (USA-166); (f) 3 x 5 Index Cards; (g) Caseload Printouts; (h) General Correspondence re: Civil Cases; (i) Reading Files re: Civil Cases; (j) Information Source File; (k) Attorney Assignment sheets; (l) Telephone records; (m) Miscellaneous Investigative files; (n) Lands condemnation files (Appraisal and Negotiator Reports); (o) Tax Case Resource File; (p) Material in Civil File related to Criminal cases arising out of Civil Proceedings; (q) Search Warrants; (r) Files unique to District; (s) Civil Miscellaneous Correspondence File.

Authority for maintenance of the system:

These systems are established and maintained pursuant to 5 U.S.C. 301, 28 U.S.C. 547 and 44 U.S.C. 3101.

Purpose(s):

Records are maintained for the purpose of litigating or otherwise resolving civil cases or matters handled by the United States Attorneys or the Executive Office for United States Attorneys.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

A record maintained in this system of records may be disseminated as a routine use of such record as follows:

(a) In any case in which there is an indication of a violation or potential violation of law, civil, or regulatory in nature, the record in question may be disseminated to the appropriate Federal, State, local or foreign agency charged with the responsibility of investigating, defending or pursuing such violation, civil claim or remedy, or charged with enforcing, defending or implementing such law;

(b) In the course of investigating the potential or actual violation or civil liability of any government action or law, civil, or regulatory in nature or during the course of a trial or hearing or the preparation for a trial or hearing for such civil action, a record may be disseminated to a Federal, State, local, or foreign agency, or to an individual or organization, if there is reason to believe that such agency, individual, or organization possesses information relating to the investigation or civil action trial, or hearing and the dissemination is reasonably necessary to elicit such information or to obtain the cooperation of a witness or an agency;

(c) A record relating to a case or matter may be disseminated in an appropriate Federal, State, local, or foreign court or grand jury proceeding in accordance with established constitutional, substantive, or procedural law or practice;

(d) A record relating to a case or matter may be disseminated to a Federal, State, or local administrative or regulatory proceeding or hearing in accordance with the procedures governing such proceeding or hearing;

(e) A record relating to a case or matter may be disseminated to an actual or potential party or his attorney for the purpose of negotiation or discussion on such matters as settlement of the case or matter, or informal discovery proceedings;

(f) A record relating to a case or matter that has been referred by an agency for investigation, civil action, or enforcement, or that involves a case or matter within the jurisdiction of an agency, may be disseminated to such agency to notify the agency of the status of the case or matter or of any decision or determination that has been made, or to make such other inquiries and reports as are necessary during the processing of the case or matter;

(g) A record relating to a case or matter may be disseminating to a foreign country pursuant to an international treaty or convention entered into and ratified by the United States or to an executive agreement;

(h) A record may be disseminated to a Federal, State, local, foreign, or international law enforcement agency to assist in the general crime prevention and detection efforts of the recipient agency or to provide investigative leads to such agency or to assist in general civil matters or cases;

(i) A record may be disseminated to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of security clearance as is required, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information relates to the requesting agency's decision on the matter;

(j) A record may be disseminated to the public, news media, trade associations, or organized groups, when the purpose of the dissemination is educational or informational, such as descriptions of types or courses of action or distinctive or unique modus operandi, provided that the record does not contain any information identifiable to a specific individual other than such modus operandi;

(k) A record may be disseminated to a foreign country, through the United States Department of State or directly to the representative of such country, to the extent necessary to assist such country in general crime prevention, the pursuit of general civil, regulatory or administrative civil actions or to provide investigative leads to such country, or assist in the location and/or returning of witnesses and other evidence;

(l) A record that contains classified national security information and material may be disseminated to persons who are engaged in historical research projects, or who have previously occupied policy-making positions to which they were appointed by the President, in accordance with the provisions codified in 28 CFR 17.96;

(m) A record relating to an actual or potential civil or criminal violation of title 17, United States Code, may be disseminated to a person injured by such violation to assist him in the institution or maintenance of a suit brought under such title;

(n) A record may be accessed by volunteer student workers and students working under a college work-study program, as is necessary to enable them to perform their function;

(o) A record, or facts derived therefrom, may be disseminated in a proceeding before a court or adjudicative body before which the United States Attorney's office or the Executive Office for U.S. Attorneys is authorized to appear when i. the United States Attorney's office or the Executive Office for U.S. Attorneys, or any subdivision thereof, or ii. any employee of the United States Attorney's office or the Executive Office for U.S. Attorneys in his or her official capacity, or iii. any employee of the United States Attorney's office or the Executive Office for U.S. Attorneys in his or her individual capacity where the Department of Justice has agreed to represent the employee, or iv. the United States, where the United States Attorney's office or the Executive Office for U.S. Attorneys determines that the litigation is likely to affect it or any of its subdivisions, is a party to litigation or has an interest in litigation and such records are determined by the United States Attorney's office or the Executive Office for U.S. Attorneys to be arguably relevant to the litigation;

(p) A record, or facts derived therefrom, may be disseminated in a proceeding before a court or adjudicative body before which the United States Attorney's Office is authorized to appear, when the United States, or any agency or subdivision thereof, is a party to litigation or has an interest in litigation and such records are determined by the United States Attorney's Office to be arguably relevant to the litigation;

(q) Records relating to an individual who owes an overdue debt to the United States may be disseminated to (1) a Federal agency which employs the individual to enable the employing agency to offset the individual's salary, (2) a Federal, State, local or foreign agency, an organization, including a consumer reporting agency, or individual to elicit information to assist the United States Attorney in the collection of the overdue debt, (3) a collection agency or private counsel to enable them to collect the overdue debt, and (4) the Internal Revenue Service (IRS) to enable that agency to offset the individual's tax refund. Records provided to the IRS may be used in a computer matching program to identify individuals who are entitled to refunds against which such offset for overdue debts would be appropriate;

(r) Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy;

(s) Information not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and at the request of the individual who is the subject of this record;

(t) A record may be disclosed as a routine use to the National Archives and Records Administration in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906; and

(u) Notice of disclosure under Subsection (b)(12) of the Privacy Act: Records relating to individuals who owe a past-due debt to the United States may be disseminated to consumer reporting agencies to encourage payment of the past-due debt.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

All information, except that specified in this paragraph, is recorded on basic paper/cardboard material, and stored within manila file folders, within metal file cabinets, electric file/card retrievers or safes. Some material is recorded and stored on magnetic tape, card or other data processing type storage matter for reproduction later into conventional formats.

Retrievability:

Information is retrieved primarily by name of person, case number, complaint number or court docket number. Information within this system of records may be accessed by various U.S. Attorneys' offices, and the Executive Office for United States Attorneys by means of cathode-ray tube terminals (CRT's).

Safeguards:

Information in the system is both confidential and nonconfidential and located in file cabinets in the United States Attorney offices. Confidential materials are in locked file drawers and safes, and nonconfidential materials are in unlocked file drawers. Offices are locked during nonworking hours and are secured by either Federal Protective Service, United States Postal Service, or private building guards. Information that is retrievable by CRT's within various U.S. Attorney's offices and the Executive Office for United States Attorneys requires user identification numbers which are issued to authorized employees of the Department of Justice.

Retention and disposal:

Records are destroyed ten years after case is closed in accordance with approved retention and disposal schedules.

System manager(s) and address:

System Manager for the system in each office is the Administrative Officer/Assistant, for the U.S. Attorney for each district. (See appendix.)

Notification procedure:

Address inquiries to the System Manager for the judicial district in which the case or matter is pending. (See appendix.)

Record access procedures:

The major part of the information maintained in this sytem is exempt from this requirement under 5 U.S.C. 552a (j)(2), (k)(1) and/ or (k)(2). To the extent that this system is not subject to exemption, it is subject to access. A determination as to examination shall be made at the time a request for access is received. A request for access to a record from this system shall be made in writing, with the envelope and the letter clearly marked "Privacy Access Request." Include in the request the name of the individual involved, his birth date and place, or any other identifying number or information which may be of assistance in locating the record and the name of the case or matter involved, if known. The requestor will also provide his or her notarized signature and a return address for transmitting the information. Access requests will be directed to the System Manager. (See appendix.)

Contesting record procedures:

The major part of the information maintained in this system is exempt from this requirement under 5 U.S.C. 552(a)(j)(2), (k)(1) and/ or (k)(2). To the extent that this system is not subject to exemption, it is subject to contest. A determination as to exemption shall be made at the time a request for contest is received. Individuals desiring to contest or amend information maintained in the system should direct their request to the System Manager (see appendix) stating clearly and concisely what information is being contested, the reasons for contesting it, and the proposed amendment to the information sought.

Record source categories:

Sources of information contained in this system include, but are not limited to investigative reports of Federal, State, and local law enforcement, civil litigation, regulatory and administrative agencies; client agencies of the Department of Justice; other non-Department of Justice investigative agencies: forensic reports; statements of witnesses and parties; verbatim transcripts of deposition and court proceedings; date, memoranda and reports from the court and agencies thereof; and the work product of Assistant United States Attorneys, Department of Justice attorneys and staff, and legal assistants working on particular cases.

Systems exempted from certain provisions of the act:

The Attorney General has exempted this system from subsections (c)(3) and (4), (d), (e)(1), (2) and (3), (e)(4)(G) and (H), (e)(5) and (8), and (g) of the Privacy Act pursuant to 5 U.S.C. 552a(j)(2) and (k)(1) and (2). Rules have been promulgated in accordance with the requirements of 5 U.S.C. 553 (b), (c), and (e) and have been published in the Federal Register.

JUSTICE/USA—006

System name:

Consumer Complaints.

System location:

U.S. Attorney's Office: Judiciary Center Bldg., 555 4th St. NW, Washington, D.C. 20001.

Categories of individuals covered by the system:

The individuals on whom records are maintained in this system may be broadly classified in four categories: (1) Those individuals who have been charged with Federal and D.C. Code violations; (2) Those individuals who are currently under investigation for violations of Federal and D.C. Code; (3) Those individuals upon whom investigations were conducted, but no prosecution was initiated; and (4) Complainants.

Categories of records in the system:

The system contained allegations of consumer fraud by citizens of the District of Columbia Metropolitan area. It includes names, addresses, and the substance of the complaints.

Authority for maintenance of the system:

5 U.S.C. 301.28 U.S.C. 547.23 D.C. Code 101(c).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

A record maintained in the system of records may be disseminated as a routing use of such record as follows:

(1) In any case in which there is an indication of a violation or potential violation of law, whether civil, criminal, or regulatory in nature, the record in question may be disseminated to the appropriate agency, federal, state, local, or foreign, charged with enforcing or implementing such law;

(2) In the course of investigating the potential or actual violation of any law, whether civil, criminal, or regulatory in nature, or during the course of a trial or hearing or the preparation for a trial or hearing for such violation, a record may be disseminated to a federal, state, local, or foreign agency, or to an individual, if there is reason to believe that such agency or individual possesses information relating to the investigation, trial, or hearing and the dissemination is reasonably necessary to elicit such information or to obtain the cooperation of a witness or an informant;

(3) Records of extracts thereof relating to a case or matter may be disseminated to a defendant or his attorney or to the appropriate federal, state, local, or foreign, court or grand jury in accordance with established constitutional, substantive, or procedural law or practice;

(4) A record relating to a case or matter may be disseminated to a federal, state, or local administrative or regulatory proceeding or hearing in accordance with the procedures governing such proceeding or hearing;

(5) A record relating to a case or matter may be disseminated to an acutal or potential party or his attorney for the purpose of negotiation or discussion on such matters as settlement of the case or matter, plea bargaining, or informal discovery proceedings;

(6) A record relating to a case or matter that has been referred for investigation may be disseminated to the referring agency to notify such agency of the status of the case or matter or of any decision or determination that has been made;

(7) A record relating to person held pending arraignment, trial or sentence, or after conviction, may be disseminated to a federal, state, local or foreign prison, probation parole, bail or pardon authority, or to any agency or individual concerned with the custody maintenance, transportation, or release of such a person;

(8) A record relating to a case or matter may be disseminated to a foreign country pursuant to an international treaty of convention entered into or ratified by the United States;

(9) A record may be disseminated to federal, state, local, or foreign law enforcement agency to assist in the general crime prevention and detection efforts of the recipient agency or to provide investigative leads to such agency;

(10) A record may be disseminated to a federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant or other benefit by the requesting agency, to the extent that the information relates to the requesting agency's decision on the matter; and

(11) A record may be accessed by volunteer student workers and students working under a college work-study program, as is necessary to enable them to perform their function.

(12) Release of information to the news media: Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available from systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

(13) Release of information to Members of Congress: Information contained in systems of records maintained by the Department of Justice, not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and at the request of the individual who is the subject of the record and;

(14) Release of information to the National Archives and Records Administration (NARA) and to the General Services Administration (GSA): A record from a system of records may be disclosed as a routine use to NARA and GSA in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Information maintained in this system is stored in the Fraud Section of the U.S. Attorney's Office.

Retrievability:

Information is retrieved via a cross-index by complainant and potential defendant.

Safeguards:

Information contained in this system is unclassified. It is protected in accordance with Departmental rules and is safeguarded in the U.S. Attorney's Office in the Fraud Section.

Retention and disposal:

The records are stored for a period of at least the statute of limitations for the offense charged.

System manager(s) and address:

Chief, Fraud Division, U.S. Attorney's Office, Judiciary Center Bldg., 555 4th Street, NW., Washington, D.C. 20001.

Notification procedure:

Address inquiries to the System Manager.

Record access procedures:

The major part of the information maintained in this system is exempt from this requirement under 5 U.S.C. 552a (j)(2), (k)(1) and/or (k)(2). To the extent that this system is not subject to exemption, it is subject to access. A determination as to exemption shall be made at the time a request for access is received. A request for access to a record from this system shall be made in writing, with the envelope and the letter clearly marked "Privacy Access Request." Include in the request the general subject matter of the document or its file number. The requestor will also provide a return address for transmitting the information. Access requests will be directed to the System Manager listed above.

Contesting record procedures:

The major part of the information maintained in this system is exempt from this requirement under 5 U.S.C. 552a (j)(2), (k)(1) and/or (k)(2). To the extent that this system is not subject to exemption, it is subject to contest. A determination as to exemption shall be made at the time a request for contest is received. Individuals desiring to contest or amend information maintained in the system should direct their request to the System Manager listed above, stating clearly and concisely what information is being contested, the reasons for contesting it, and the proposed amendment to the information sought.

Record source categories:

The sources of information contained in this system are complaints referred to the U.S. Attorney's Office by citizens and consumer protection agencies.

Systems exempted from certain provisions of the act:

The Attorney General has exempted this system from subsections (c)(3) and (4), (d), (e)(1), (2) and (3), (e)(4)(G) and (H), (e)(5) and (8), (f), (g) and (h) of the Privacy Act pursuant to 5 U.S.C. 552a (j)(2) and (k)(1) and (2). Rules have been promulgated in accordance with the requirements of 5 U.S.C. 553 (b), (c) and (e) and have been published in the Federal Register.

JUSTICE/USA—007

System name:

Criminal Case Files.

System location:

Ninety-four United States Attorneys' Offices (See Appendix identified as Justice/USA-999), Executive Office for United States Attorneys, U.S. Department of Justice, 10th & Constitution Avenue NW., Washington, D.C. 20530

Categories of individuals covered by the system:

(a) Individuals charged with violations; (b) Individuals being investigated for violations; (c) Defense Counsel(s); (d) Information Sources; (e) Individuals relevant to development of Criminal Cases; (f) Individuals investigated, but prosecution declined; (g) Individuals referred to in potential or actual cases and matters of concern to a U.S. Attorney's Office; (h) Individuals placed into the Department's Pretrial Diversion program.

Categories of records in the system:

(a) All case files (USA-33); (b) Docket Cards (USA-115); (c) Criminal Debtor Cards (USA-117a); (d) Criminal Case Activity Card (USA-163); (e) Criminal Debtor Activity Card (USA-164); (f) 3 by 5 Index Cards; (g) Caseload Printouts; (h) Attorney Assignment Sheets; (i) General Correspondence re: Criminal Cases; (j) Reading Files re: Criminal Cases; (k) Grand Jury Proceedings; (l) Miscellaneous Investigative Reports; (m) Information Source Files; (n) Parole Recommendations; (o) Immunity Requests; (p) Witness Protection Files; (q) Wiretap Authorizations; (r) Search Warrants; (s) Telephone records; (t) Criminal Complaints; (u) Sealed Indictment Records; (v) Files unique to a District; (w) Criminal Miscellaneous Correspondence File; (x) Prosecution Declined Reports.

Authority for maintenance of the system:

These systems are established and maintained pursuant to 5 U.S.C. 301, 28 U.S.C. 547 and 44 U.S.C. 3101

Purpose(s):

Records are maintained for the purpose of prosecuting or otherwise resolving criminal cases or matters handled by the United States Attorneys.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

A record maintained in this system of records may be disseminated as a routine use of such record as follows:

(a) In any case in which there is an indication of a violation or potential violation of law, criminal, or regulatory in nature, the record in question may be disseminated to the appropriate Federal, state, local, or foreign agency charged with the responsibility for investigating or prosecuting such violation or charged with enforcing or implementing such law;

(b) In the course of investigating the potential or actual violations of any law, criminal, civil, or regulatory in nature, or during the course of a trial or hearing or the preparation for a trial or hearing for such violation, a record may be disseminated to a Federal, state, local, or foreign agency, or to an individual or organization, if there is reason to believe that such agency, individual, or organization possesses information relating to the investigation, trial, or hearing and the dissemination is reasonably necessary to elicit such information or to obtain the cooperation of a witness or an informant;

(c) A record relating to a case or matter may be disseminated in an appropriate Federal, state, local, or foreign court or grand jury proceeding in accordance with established constitutional, substantive, or procedural law or practice;

(d) A record relating to a case or matter may be disseminated to a Federal, state, or local administrative or regulatory proceeding or hearing in accordance with the procedures governing such proceeding or hearing;

(e) A record relating to a case or matter may be disseminated to an actual or potential party or his attorney for the purpose of negotiation or discussion on such matters as settlement of the case or matter, plea bargaining, or informal discovery proceedings;

(f) A record relating to a case or matter that has been referred by an agency for investigation, prosecution, or enforcement, or that involves a case or matter within the jurisdiction of an agency, may be disseminated to such agency to notify the agency of the status of the case or matter or of any decision or determination that has been made, or to make such other inquiries and reports as are necessary during the processing of the case or matter;

(g) A record relating to a person held in custody pending or during arraignment, trial, sentence, or extradition proceedings, or after conviction or after extradition proceedings, may be disseminated to a Federal, state, local, or foreign prison, probation, parole, or pardon authority, or to any other agency or individual concerned with the maintenance, transportation, or release of such a person;

(h) A record relating to a case or matter may be disseminated to a foreign country pursuant to an international treaty or convention entered into and ratified by the United States or to an executive agreement;

(i) A record may be disseminated to a Federal, state, local, foreign, or international law enforcement agency to assist in the general crime prevention and detection efforts of the recipient agency or to provide investigative leads to such agency;

(j) A record may be disseminated to a Federal agency, in response to its request, in connection with the hiring or retention of any employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information relates to the requesting agency's decision on the matter;

(k) A record may be disseminated to the public, news media, trade associations, or organized groups, when the purpose of the dissemination is educational or informational, such as descriptions of crime trends or distinctive or unique modus operandi: Provided that the record does not contain any information identifiable to a specific individual other than such modus operandi;

(l) A record may be disseminated to a foreign country through the United States Department of State of directly to the representative of such country, to the extent necessary to assist such country in apprehending and/or returning a fugitive to a jurisdiction which seeks his return;

(m) A record that contains classified national security information and material may be disseminated to persons who are engaged in historical research projects, or who have previously occupied policy making positions to which they were appointed by the President, in a accordance with the provisions codified in 28 CFR 17.96;

(n) A record relating to an actual or potential civil or criminal violation of title 17, United States Code, may be disseminated to a person injured by such violation to assist him in the institution or maintenance of a suit brought under such title;

(o) Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy;

(p) Information not otherwise required to be released pursuant to 5 U.S.C. 552 may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and at the request of the individual who is the subject of the record;

(q) A record may be disclosed as a routine use to the National Archives and Records Administration in records management inspections conducted under the authority of 44 U.S.C. 290.4 and 2906;

(r) A record may be accessed by volunteer student workers and students working under a college work-study program, as is necessary to enable them to perform their function;

(s) A record, or facts derived thereform, may be disseminated in a proceeding before a court or adjudicative body before which the United States Attorney's office or the Executive Office for U.S. Attorneys is authorized to appear when i. the United States Attorney's office or the Executive Office for U.S. Attorneys, or any subdivision thereof, or ii. any employee of the United States Attorney's office or the Executive Office for U.S. Attorneys in his or her official capacity, or iii. any employee of the United States Attorney's office or the Executive Office for U.S. Attorneys in his or her individual capacity where the Department of Justice has agreed to represent the employee, or iv. the United States, where the United States Attorney's office or the Executive Office for U.S. Attorneys determines that the litigation is likely to affect it or any of its subdivisions, is a party to litigation or has an interest in litigation and such records are determined by the United States Attorney's office or the Executive Office for U.S. Attorneys to be arguably relevant to the litigation;

(t) A record, or facts derived thereform, may be disseminated in a proceeding before a court or adjudicative body before which the United States Attorney's Office is authorized to appear, when the United States, or any agency or subdivision thereof, is a party to litigation or has an interest in litigation and such records are determined by the United States Attorney's Office to be arguably relevant to the litigation;

(u) Records relating to an individual who owes an overdue debt to the United States may be disseminated to (1) a Federal agency which employs the individual to enable the employing agency to offset the individual's salary, (2) a Federal, State, local or foreign agency, an organization, including a consumer reporting agency, or individual to elicit information to assist the United States Attorney in the collection of the overdue debt, (3) a collection agency or private counsel to enable them to collect the overdue debt, and (4) the Internal Revenue Service (IRS) to enable that agency to offset the individual's tax refund. Records provided to the IRS may be used in a computer matching program to identify individuals who are entitled to refunds against which such offset for overdue debts would be appropriate; and

(v) Notice of disclosure under Subsection (b)(12) of the Privacy Act: Records relating to individuals who owe a past-due debt to the United States may be disseminated to consumer reporting agencies to encourage payment of the past-due debt.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

All information except that specified in this paragraph, is recorded on basic paper/cardboard material, and stored within manila file folders, within metal file cabinets, electric file/card retrievers or safes. Some material is recorded and stored on magnetic tape, card or other data processing type storage matter for reproduction later into conventional formats.

Retrievability:

Information is retrieved primarily by name of person, case number, compliant number of court docket number. Information within this system of records may be accessed by various U.S. Attorney's offices and the Executive Office for United States Attorneys by means of catho-ray tube terminals (CRTs).

Safeguards:

Information in the system is both confidential and non-confidential and located in file cabinets in the United States Attorney offices. Confidential materials are in locked file drawers and safes, and non-confidential materials are in unlocked file drawers. Offices are locked during non-working hours and are secured by either Federal Protective Service, United States Postal Service, or private building by CRTs within various U.S. Attorney's offices and the Executive Office for United States Attorneys requires user identification numbers which are issued to authorized employees of the Department of Justice.

Retention and disposal:

Case files involving no sentence, or sentences of ten years or less, are destroyed ten years after case in closed. Case files involving sentences of more than ten years are destroyed one year after the date of termination of sentence. Both are in accordance with approved retention and disposal schedules.

System manager(s) and address:

System manager for the system in each office is the Administrative Office/Asssistant, for the U.S. Attorney for each district (See Appendix).

Notification procedure:

Address inquiries to the System Manager for the judicial district in which the case or matter is pending (See Appendix).

Record access procedures: The major part of the information maintained in this system is exempt from this requirement under 5 U.S.C. 552a(j)(2), (k)(1) and/or (k)(2). To the extent that this system is not subject to exemption, it is subject to access. A determination as to exemption shall be made at the time a request for access is received. A request for access to a record from this system shall be made in writing, with the envelope and the letter clearly marked "Privacy Access Request". Include in the request the name of the individual involved, his birth date and place, or any other identifying number or information which may be of assistance in locating the record and the name of the case or matter involved, if known. The requester will also provide his or her notarized signature and a return address for transmitting the information. Access requests will be directed to the System Manager (See Appendix).

Contesting record procedures:

The major part of the information maintained in this system is exempt from this requirement under 5 U.S.C. 552a (j)(2), (k)(1) and/or (k)(2). To the extent that this system is not subject to exemption, it is subject to contest. A determination as to exemption shall be made at the time a request for contest is received. Individuals desiring to contest or amend information maintained in the system should direct their request to the System Manager (See Appendix) stating clearly and concisely what information is being contested, the reasons for contesting it, and the proposed amendment to the information sought.

Record source categories:

Sources of information contained in this system include, but are not limited to investigative reports of federal, state and local law enforcement agencies; client agencies of the Department of Justice; other non-Department of Justice investigative agencies; forensic reports; statements of witnesses and parties; verbatim transcripts of Grand Jury and court proceedings; data, memoranda and reports from the Court and agencies thereof; and the work product of Assistant United States Attorneys, Department of Justice attorneys and staff, and legal assistants working on particular cases.

Systems exempted from certain provisions of the act:

The Attorney General has exempted this system from subsection (c)(3) and (4), (d), (e)(1), (2) and (3), (e)(4)(G) and (H), (e)(5) and (8), and (g) of the Privacy Act pursuant to 5 U.S.C. 552a (j)(2) and (k)(1) and (2). Rules have been promulgated in accordance with the requirements of 5 U.S.C. 553 (b), (c) and (e) and have been published in the Federal Register.

JUSTICE/USA-008

System name:

Freedom of Information Act/Privacy Act Files.

System location:

Executive Office for United States Attorneys, U.S. Department of Justice, 10th & Constitution Avenue, NW., Washington, D.C. 20530; U.S. Attorney's Office for the District of Columbia, 555 4th St. NW, Washington, D.C. 20001; Ninety-three United States Attorney's Offices (see attached Appendix).

Categories of individuals covered by the system:

(a) Individuals who write to the Executive Office for United States Attorneys, its Director or a member of his staff, or a U.S. Attorney's office.

(b) Individuals who write to the Attorney General or the Department of Justice or the FOI/PA Unit and whose letter is referred to the Executive Office for United States Attorneys.

(c) Individuals whose letter has been referred to the Executive Office for United States Attorneys for a response by the FOI/PA Unit or Appeals Unit.

Categories of records in the system:

The system includes the original correspondence received as well as any response, referral letters or notes concerning the subject of the request and copies of any enclosures. The system is arranged alphabetically by the last name of the original requester.

Authority for maintenance of the system:

These records are kept for administrative convenience pursuant to 5 U.S.C. 301 and 44 U.S.C. 3101 and the provisions of the Freedom of Information Act.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

(a) Information from the responses may be provided to the referrer or the original request of the requester. All other uses are internal within the Department.

(b) Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available from systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

(c) Information contained in systems of records maintained by the Department of Justice, not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and at the request of the individual who is the subject of the record and;

(d) A record from a system of records may be disclosed as a routine use to the National Archives and Records Administration and to the General Services Administration in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

The material is stored within manila file folders, within metal file cabinets. Some material is recorded and stored on magnetic tape, card or other data processing type storage matter for reproduction later into conventional formats and for management information purposes.

Retrievability:

The system is indexed by name of the requester, arranged alphabetically. Information may be accessed by means of cathode-ray tube terminals (CRT's).

Safeguards:

The correspondence is maintained in a room which is occupied by office personnel during the day and locked at night. Information that is retrievable by CRT's within various U.S. Attorneys' offices and the Executive Office for United States Attorneys requires user identification numbers which are issued to authorized employees of the Department of Justice.

Retention and disposal:

Records are maintained and disposed of in accordance with Department retention plans.

System manager(s) and address:

Director, Executive Office for United States Attorneys; U.S. Department of Justice; 10th & Constitution Avenue, NW., Washington, D.C. 20530; Chief, Civil Division, Office of the U.S. Attorney for the District of Columbia, 555 4th St. NW, Washington, D.C. 20001.

Notification procedure:

Address inquiries to the System Managers listed above.

Record access procedures:

A request for access to a record from this system shall be made in writing, with the envelope and the letter clearly marked "Freedom of Information" or "Privacy Access Request." Include in the request the name and address as included in the original letter, together with the current address if different, the date of the letter and to whom it was addressed. Request should be directed to the system managers listed above.

Contesting record procedures:

Any requests for correction should also be directed to the System Managers and should indicate the exact correction required.

Record source categories:

Sources of information in this system are the actual letter received, the response and any transmitted information and enclosures.

Systems exempted from certain provisions of the act:

Records secured from other systems of records have been exempted from the provisions of the Privacy Act to the same extent as the systems of records from which they were obtained. The Attorney General has also exempted certain categories of records in this system from subsection (c)(3), (d) of the Privacy Act pursuant to 5 U.S.C. 552a(k)(2). Rules have been promulgated in accordance with the requirements of 5 U.S.C. 553(b), (c), and (e) and have been published in the Federal Register.

JUSTICE/USA-009

System name:

Kline—District of Columbia and Maryland—Stock and Land Fraud Interrelationship Filing System.

System location:

U.S. Attorney's Office, Judiciary Center Bldg., 555 4th Street, NW., Washington, DC 20001.

Categories of individuals covered by the system:

The individuals on whom records are maintained in this system may be broadly classified in three categories: (1) Those individuals who have been charged with Federal and D.C. Code violations; (2) Those individuals who are currently under investigation for violations of Federal and D.C. Code; (3) Those individuals upon whom investigations were conducted, but no prosecution was initiated. These include but are not limited to possible witnesses, corporate entities, corporate employees, business contacts, financial institutions and governmental contacts.

Categories of records in the system:

The system contains an index record for individual names and types of transactions with named individuals.

Authority for maintenance of the system:

5 U.S.C. 301, 28 U.S.C. 547, 23 D.C. Code 101(c).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

A record maintained in this system of records may be disseminated as a routine use of such record as follows:

(1) In any case in which there is an indication of a violation or potential violation of law, whether civil, criminal, or regulatory in nature, the record in question may be disseminated to the appropriate agency, federal, state, local, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing such law;

(2) In the course of investigating the potential or actual violation of any law, whether civil, criminal, or regulatory in nature, or during the course of a trial or hearing or the preparation for a trial or hearing for such violation, a record may be disseminated to a federal, state, local, or foreign agency, or to an individual, if there is reason to believe that such agency or individual possesses information relating to the investigation, trial, or hearing and the dissemination is reasonably necessary to elicit such information or to obtain the cooperation of a witness or an informant;

(3) Records or extracts thereof relating to a case or matter may be disseminated to a defendant or his attorney or to the appropriate federal, state, local, or foreign, court or grand jury in accordance with established constitutional, substantive, or procedural law or practice;

(4) A record relating to a case or matter may be disseminated to a federal, state, or local administrative or regulatory proceeding or hearing in accordance with the procedures governing such proceeding or hearing;

(5) A record relating to a case of matter may be disseminated to an actual or potential party or his attorney for the purpose of negotiations or discussion on such matters as settlement of the case or matter, plea bargaining, or informal discovery proceedings;

(6) A record relating to a case or matter that has been referred for investigation may be disseminated to the referring agency to notify such agency of the status of the case or matter or of any decision or determination that has been made;

(7) A record relating to a person held pending arraignment, trial or sentence, or after conviction, may be disseminated to a federal, state, local, or foreign prison, probation, parole, bail or pardon authority, or to any agency or individual concerned with the custody maintenance, transportation, or release of such a person;

(8) A record relating to a case or matter may be disseminated to a foreign country pursuant to an international treaty or convention entered into and ratified by the United States;

(9) A record may be disseminated to a federal, state, local, or foreign law enforcement agency to assist in the general crime prevention and detection efforts of the recipient agency, or to provide investigative leads to such agency;

(10) A record may be disseminated to a federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information relates to the requesting agency's decision on the matter; and

(11) A record may be accessed by volunteer student workers and students working under a college work-study program, as is necessary to enable them to perform their function.

(12) Release of information to the news media: Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available from systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

(13) Release of information to Members of Congress. Information contained in systems of records maintained by the Department of Justice, not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and at the request of the individual who is the subject of the record and;

(14) Release of information to the National Archives and Records Administration (NARA) and to the General Services Administration (GSA): A record from a system of records may be disclosed as a routine use to NARA and GSA in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Information maintained in the system is stored electronically in the Department of Justice Juris System.

Retrievability:

Information is retrieved primarily by referencing the individuals' names who participated in the business transactions.

Safeguards:

Information contained in this system is protected as though it was classified as confidential. It is accessible only to holders of the entry code: the only holders of the code are the U.S. Attorney's Offices for the District of Columbia and Maryland.

Retention and disposal:

The records are to be retained for the period of usefulness as determined by the U.S. Attorney's Office.

System manager(s) and address:

Chief, Fraud Division; U.S. Attorney's Office, Judiciary Center Bldg. 55 4th Street NW, Washington D.C. 20001.

Notification procedure:

All inquiries should be addressed to the System Manager.

Record access procedures:

The major part of the information maintained in this system is exempt from this requirement under 5 U.S.C. 552a. (j)(2), (k)(l), and/or (k)(2). To the extent that this system is not subject to exemption, it is subject to access. A determination as to exemption shall be made at the time a request for access is received. A request for success to a record from this system shall be made in writting, with the envelope and the letter clearly marked "Privacy Access Request." Include in the request the general subject matter of the document or its file number. The requestor will also provide a return address for transmitting the information. Access requests will be directed to the System Manager listed above.

Contesting record procedures:

The major part of the information maintained in this system is exempt from this requirement under 5 U.S.C. 552a (j)(2), (k)(1), and/or (k)(2). To the extent that this system is not subject to exemption, it is subject to contest. A determination as to exemption shall be made at the time a request for contest is received. Individuals desiring to contest or amend information maintained in the system should direct their request to the System Manager listed above, stating clearly and concisely what information is being contested, the reasons for contesting it, and the proposed amendment to the information sought.

Record source categories:

Source of information contained in this system are individuals who have cooperated with the U.S. Attorney's Office in the investigation of criminal activity.

Systems exempted from certain provisions of the act:

The Attorney General has exempted this system from subsections (c)(3) and (4), (d), (e)(1), (2) and (3), (e)(4)(G), and (H), (e)(5), and (8), (f), (g), and (h) of the Privacy Act pursuant to 5 U.S.C. 552a (j)(2), and (k)(1) and (2). Rules have been promulgated in accordance with the requirements of 5 U.S.C. 553 (b), (c), and (e) and have been published in the Federal Register.

JUSTICE/USA—010

System name:

Major Crimes Division Investigative Files.

System location:

U.S. Attorney's Office, Judiciary Center Bldg., 555 4th St., NW, Washington, D.C. 20001.

Categories of individuals covered by the system:

The individuals on whom records are maintained in the Major Crimes Division Investigative Files may be broadly classified in four categories: (1) Those individuals who have been charged with Federal and D.C Code violations; (2) those individuals who are currently under investigation for violations of Federal and D.C. Code; (3) those individuals upon whom investigations were conducted, but no prosecution was initiated; and (4) other informants.

Categories of records in the system:

In addition to the standard files maintained in accordance with the U.S. Attorney's Manual and the Department of Justice Docket and Reporting System, there are also maintained in the Major Crimes Division of this office certain investigative and intelligence files. The type of information maintained is identifying data, criminal records, intelligence compiled for the purpose of investigation of criminal offenses, criminal investigative reports, informant debriefing summaries, and information provided in confidence during investigative and prosecutive states of criminal cases.

Authority for maintenance of the system:

5. U.S.C. 301, 28 U.S.C. 547.23 D.C. Code 101(c).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

A record maintained in this system of records may be disseminated as a routine use of such record as follows:

(1) In any case in which there is an indication of a violation or potential violation of law, whether civil, criminal or regulatory in nature, the record in question may be disseminated to the appropriate agency, federal, state local, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing such law;

(2) In the course of investigating the potential or actual violation of any law, whether civil, criminal or regulatory in nature, or during the course of a trial or hearing or the preparation for a trial or hearing for such violation, a record may be disseminated to a federal, state, local, or foreign agency, or to an individual, if there is reason to believe that such agency or individual possesses information relating to the investigation, trial, or hearing and the dissemination is reasonably necessary to elicit such information or to obtain the cooperation of a witness or an informant.

(3) Records or extracts thereof relating to a case or matter may be disseminated to a defendant or his attorney or to the appropriate federal, state, local or foreign, court or grand jury in accordance with established constitutional, substantive, or procedural law or practice;

(4) A record relating to a case or matter may be disseminated to a federal, state, or local administrative or regulatory proceeding or hearing in accordance with the procedures governing such proceeding or hearing;

(5) A record relating to a case or matter may be disseminated to an actual or potential party or his attorney for the purpose of negotiation or discussion on such matters as settlement of the case or matter, plea bargaining, or informal discovery proceedings;

(6) A record relating to a case or matter that has been referred for investigation may be disseminated to the referring agency to notify such agency of the status of the case or matter or of any decision or determination that has been made;

(7) A record relating to a person held pending arraignment, trial or sentence, or after conviction, may be disseminated to a federal, state, local, or foreign prison, probation, parole, bail or pardon authority,

or to any agency or individual concerned with the custody maintenance, transportation, or release of such a person;

(8) A record relating to a case or matter may be disseminated to a foreign country pursuant to an international treaty or convention entered into and ratified by the United States;

(9) A record may be disseminated to a federal, state, local, or foreign law enforcement agency to assist in the general crime prevention and detection efforts of the recipient agency or to provide investigative leads to such agency;

(10) A record may be disseminated to a federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information relates to the requesting agency's decision on the matter; and

(11) A record may be accessed by volunteer student workers and students working under a college work-study program, as is necessary to enable them to perform their function.

(12) Release of information to the news media: Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available from systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

(13) Release of information to Members of Congress: Information contained in systems of records maintained by the Department of Justice, not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and at the request of the individual who is the subject of the record and;

(14) Release of information to the National Archives and Records Administration (NARA) and to the General Services Administration (GSA): A record from a system of records may be disclosed as a routine use to NARA and GSA in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

The information is maintained in memorandum form in file folders.

Retrievability:

Information is retrieved primarily by the name of a person, complaint number, court docket number, FBI number, Metropolitan Police Department identification number and District of Columbia Department of Corrections number.

Safeguards:

Information contained in the system is both unclassified and classified and is safeguarded and protected by being maintained in tumbler locked file safes in the Major Crimes Division which is manned during all times that it is open and at other times is locked. This room is located in the U.S. Courthouse which is guarded by the Federal Protective Service twenty four hours a day with roving patrols during non-working hours.

Retention and disposal:

Files are retained and disposed of in accordance with Title 8, U.S. Attorney's Manual, pages 70–77.

System manager(s) and address:

Chief, Major Crimes Division, U.S. Attorney's Office: Judiciary Center Bldg., 555 4th Street, NW., Washington, DC 20001.

Notification procedure:

Address inquiries to the System Manager.

Record access procedures:

The major part of the information maintained in this system is exempt from this requirement under 5 U.S.C. 552a(j)(2), (k)(1), and/or (k)(2). To the extent that this system is not subject to exemption, it is subject to access. A determination as to exemption shall be made at the time a request for access is received. A request for access to a record from this system shall be made in writing, with the envelope and the letter clearly marked 'Privacy Access Request.' Include in the request the general subject matter of the document or its file number. The requestor will also provide a return address for trnasmitting the information. Access requests will be directed to the System Manger listed above.

Contesting record procedures:

The major part of the information maintained in this system is exempt from this requirement under 5 U.S.C. 552a (j)(2), (k)(1), and/or (k)(2). To the extent that this system is not subject to exemption, it is subject to contest. A determination as to exemption shall be made at the time a request for contest is received. Individuals desiring to contest or amend information maintained in the system should direct their request to the System Manager listed above, stating clearly and concisely what information is being contested, the reasons for contesting it, and the proposed amendments to the information sought.

Record source categories:

Sources of information contained in this system are investigative reports of federal, state and local law enforcement agencies, statement of witnesses, informants and parties, as well as verbatim transcripts of grand jury proceedings and court proceedings, memoranda and reports from the court and agencies thereof and the work product of Assistant United States Attorneys and legal assistants working on particular cases.

Systems exempted from certain provisions of the act:

The Attorney General has exempted this system from subsection (c) (3) and (4), (d), (e) (1), (2) and (3), (e)(4) (G) and (H), (e) (5) and (8), (f), (g) and (h) of the Privacy Act pursuant to 5 U.S.C. 552a (j)(2) and (k) (1) and (2). Rules have been promulgated in accordance with the requirements of 5 U.S.C. 553 (b), (c) and (e) and have been published in the Federal Register.

JUSTICE/USA—011

System name:

Prosecutor's Management Information System (PROMIS).

System location:

U.S. Attorney's Office: Judiciary Center Bldg., 555 4th Street, NW., Washington, D.C. 20001.

Categories of individuals covered by the system:

The individuals on whom records are maintained in PROMIS are as follows: (1) Those individuals who have been charged with criminal violations: (2) those individuals who are currently under investigation for criminal violations: (3) those individuals upon whom criminal investigations were conducted, but no prosecution was initiated; and (4) the names and addresses of all witnesses and arresting police officers.

Categories of records in the system:

The data in PROMIS fall into six major categories.

1. Information about the accused or defendant. This includes name, alias, sex, race, date of birth, address, facts about prior arrest and convictions, and employment status. If judged appropriate, additional data could be added, such as information about alcohol or drug abuse. Some of this information is used to rate the gravity of the case in terms of the defendant's criminal history.

2. Information about the crime. The date, time, and place of the crime; the number of persons involved in the crime; and a numerical rating reflecting the gravity of the crime in terms of the amount and degree of personal injury, property damage or loss, and intimidation.

3. Information about the arrest. The date, time, and place of the arrest, the type of arrest and identity of the arresting officers.

4. Information about criminal charges. The charges originally placed by the police against the arrestee the charges actually filed in court against the defendant, the reasons for changes in the charges by the prosecutor, the penal statute for the charge, the FBI Uniform Crime Report Code for the charge, and the Project SEARCH Code for the charge.

5. Information about court events. The dates of every court event in a case from arraignment through motion hearing, continuance hearing, final disposition, and sentencing; the names of the principals involved in each event, including the defense and prosecution attorneys and judge; the outcomes of the events and the reasons therefor.

6. Information about witnesses. The names and addresses, the prosecutor's assessment of whether the witnesses are essential to the case, and any indications of reluctance to testify by the witnesses.

Authority for maintenance of the system:

5 U.S.C. 301, 28 U.S.C. 547, 23 D.C. Code 101(c).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

A record maintained in this system of records may be disseminated as a routine use by such records as follows:

(1) In any case in which there is an indication of a violation or potential violation of law, whether civil, criminal, or regulatory in nature, the record in question may be disseminated to the appropriate agency federal, state, local, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing such law;

(2) In the course of investigating the potential or actual violation of any law, whether civil, criminal, or regulatory in nature, or during

the course of a trial or hearing or the preparation for a trial or hearing for such violation, a record may be disseminated to a federal, state, local, or foreign agency, or to an individual, if there is reason to believe that such agency or individual possesses information relating to the investigation, trial, or hearing and the dissemination is reasonably necessary to elicit such information or to obtain the cooperation of a witness or an informant;

(3) Records or extracts thereof relating to a case or matter may be disseminated to a defendant or his attorney or to the appropriate federal, state, local, or foreign, court or grand jury in accordance with established constitutional, substantive, or procedural law or practice;

(4) A record relating to a case or matter may be disseminated to a federal, state, or local administrative or regulatory proceeding or hearing in accordance with the procedures governing such proceeding or hearing;

(5) A record relating to case or matter may be disseminated to an actual or potential party or his attorney for the purpose of negotiation or discussion on such matters as settlement of the case or matter, plea bargaining, or informal discovery proceedings, or to the Public Defender Service in connection with caseload management of other purposes;

(6) A record relating to a case or matter that has been referred for investigation may be disseminated to the referring agency to notify such agency of the status of the case or matter or of any decision or determination that has been made or to assist in eliciting additional information;

(7) A record relating to a person held pending arraignment, trial or sentence, or after conviction, may be disseminated to a federal, state, local or foreign prison, probation, parole, bail or pardon authority, or to any agency or individual concerned with the custody maintenance, transportation, or release of such a person;

(8) A record relating to a case or matter may be disseminated to a foreign country pursuant to an international treaty or convention entered into and ratified by the United States;

(9) A record may be disseminated to a federal, state, local, or foreign law enforcement agency to assist in the general crime prevention and detection efforts of the recipient agency or to provide investigative leads to such agency;

(10) A record may be disseminated to a federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information relates to the requesting agency's decision on the matter; and

(11) A record may be accessed by volunteer student workers and students working under a college work-study program, as is necessary to enable them to perform their function.

(12) This office utilizes it to track the workload of the criminal court process from three separate vantage points. First, the workload is tracked from the vantage point of the crime or criminal incident. This is accomplished by including in PROMIS the complaint number which the police department assigns to a reported crime. With this number, prosecutors can follow the full history of the court actions arising from the crime even though those actions may involve multiple defendants, multiple cases, and multiple trials and dispositions.

(13) PROMIS tracks the court workload from the vantage point of the accused or defendant. This is achieved by incorporating in PROMIS the fingerprint-based number the police department assigns to the individual following his or her arrest. This identfication number is used again by the department if the same individual is subsequently arrested. Through this number, prosecuting attorneys accumulate criminal history files on offenders and note incidents of recidivism.

(14) PROMIS tracks from the vantage point of the court proceedings. This is accomplished by including in PROMIS the docket number the Court assigns to the case pending before it. With this number, prosecutors trace the history of any formal criminal action from arraignment through final disposition and sentencing, and account for the separate fate of each count or charge.

The inclusion of these three numbers is significant. The numbers provide a capability to track the criminal incident, the defendant, or the court actions and provide the basis for the routine communication among the various Federal, state, local, and foreign law enforcement agencies.

(15) PROMIS generates, on a recurring basis, five categories of reports: Misdemeanor calendars, felony calendars, case status reports, workload reports, and special reports. These reports are prepared from information contained in the data base both by persons employed by this office, the Justice Department and persons under contract to the Department for this purpose.

(16) Release of information to the news media: Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available from systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of the particular case would constitute an unwarranted invasion of personal privacy.

(17) Release of information to Members of Congress. Information contained in systems of records maintained by the Department of Justice, not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and at the request of the individual who is the subject of the record; and

(18) Release of information to the National Archives and Records Administration (NARA) and to the General Services Administration (GSA): A record from a system of records may be disclosed as a routine use to NARA and GSA in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

These records are stored on magnetic tapes and discs at the District of Columbia Metropolitan Police Department Computer Center. Printouts from the terminals are stored with case jackets. Status, calendars, and statistical reports are stored in the files and offices of supervisory attorneys.

Retrievability:

This system has an on-line data retrieval capability with respect to certain information continued in the data base. These subsets of information are retrieved on data display terminals which are located at various work stations throughout the office. Certain of these terminals have a printout capability. All information on these subsets is a matter of public record. The system also has the capability for the production of periodic reports. Both the periodic reports and the on-line displays are utilized in accordance with the above listed routine uses.

Safeguards:

The magnetic tapes and discs are maintained in a secure vault at the Metropolitan Police Department Computer Center. In addition to the physical security safeguards, there is a twenty-four hour patrol. The data display terminals are located in semi-public areas of the office (i.e., administrative work stations through which the public must pass on official business). However, only trained operators may retrieve the information, which is of public record. The terminals are not open to the public after working hours.

Retention and disposal:

The files are retained and disposed of in accordance with Title 8, U.S. Attorney's Manual, pages 70–77.

System manager(s) and address:

Administrative Assistant: United States Attorney; Judiciary Center Bldg., 555 4th St. NW., Washington, DC. 20001.

Notification procedure:

Address inquiries to the System Manager.

Record access procedures:

The major part of the information maintained in this system is exempt from this requirement under 5 U.S.C. 552a (j)(2), (k)(1) and/or (j)(2). To the extent that this system is not subject to exemption, it is subject to access. A determination as to exemption shall be made at the time a request for access is received. A request for access to a record from this system shall be made in writing, with the envelope and the letter clearly marked "Privacy Access Request." Include in the request the general subject matter of the document or its file number. The requestor will also provide a return address for transmitting the information. Access requests will be directed to the System Manager listed above.

Contesting record procedures:

The major part of the information maintained in this system is exempt from this requirement under 5 U.S.C. 552a (j)(2), (k)(1) and/or (k)(2). To the extent that this system is not subject to exemption, it is subject to contest. A determination as to exemption shall be made at the time a request for contest is received. Individuals desiring to contest or amend information maintained in the system should direct their request to the System Manager listed above, stating clearly and concisely what information is being contested, the reasons for contesting it, and the proposed amendment to the information sought.

Record source categories:

About 80 percent of the data contained in PROMIS is obtained at the intake and screening stage as the by-product of the case documentation process. Carbon copies of various forms completed immediately before or during the case screening stage serve as input documents for PROMIS.

As a case moves through the subsequent proceedings, additional information about its status is fed to PROMIS. This is achieved through turnaround documents—forms generated by PROMIS in advance of a court event—on which the results of a given processing (e.g., preliminary hearing, sentencing, etc.) are recorded and then entered in PROMIS.

Systems exempted from certain provisions of the act:

The Attorney General has exempted this system from subsections (c) (3) and (4), (d), (e) (1), (2) and (3), (e)(4) (G) and (H), (e) (5) and (8), (f), (g) and (h) of the Privacy Act pursuant to 5 U.S.C. 552a (j)(2) and (k) (1) and (2). Rules have been promulgated in accordance with the requirements of 5 U.S.C. 553 (b), (c) and (e) and have been published in the Federal Register.

JUSTICE/USA-012

System name:

Security Clearance Forms for Grand Jury Reports.

System location:

Ninety-four United States Attorney's Office (See attached Appendix).

Categories of individuals covered by the system:

Proposed Grand Jury Reporters.

Categories of records in the system:

Request for security clearance of grand jury reporter(s) employed by the reporting firm under contract with the Justice Department; carbon copy of "PERSONNEL INFORMATION SHEET—Grand Jury Reporting" on which is listed name of proposed grand jury reporter, home address, date and place of birth, and present business affiliation; and clearance or denial of clearance for the proposed reported from the Department of Justice.

Authority for maintenance of the system:

5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

All uses of this information are internal within the Department of Justice.

Release of information to the news media:

Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available from systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Release of information to members of congress:

Information contained in systems of records maintained by the Department of Justice, not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member or Congress or staff acting upon the Member's behalf when the Member of staff requests the information on behalf of and at the request of the individual who is the subject of the record.

Release of information to the National Archives and Records Administration: A record from a system of records may be disclosed as a routine use to the National Archives and Records Administration (NARA) in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Security clearance forms are kept alphabetically in file cabinets in the Administrative Office.

Retrievability:

Security clearance forms on grand jury reports are retrievable from an alphabetical filing system.

Safeguards:

Security clearance forms are maintained in the Administrative Division in the District Court Building which is manned at all times during working hours and at other times is locked.

Retention and disposal:

Security clearance forms are maintained for five years, at which time they must be renewed. Upon receipt of renewed security clearance, old forms are destroyed.

System manager(s) and address:

Ninety-four United States Attorneys Offices (See attached Appendix).

Notification procedure:

Address inquiries to the System Manager.

Record access procedures:

A request for access to a record from this system shall be made in writing, with the envelope and the letter clearly marked "Privacy Access Request." Include in the request the general subject matter of the document. The requestor will also provide a return address for transmitting the information. Access requests will be directed to the System Manager listed above.

Contesting record procedures:

Individuals desiring to contest or amend information maintained in the system should direct their request to the System Manager listed above, stating clearly and concisely what information is being contested, the reasons for contesting it, and the proposed amendment to the information sought.

Record source categories:

The source of the information contained in these files are the reporter's request for security clearance personnel information sheet and the clearance or denial of clearance.

Systems exempted from certain provisions of the act:

None.

JUSTICE/USA—013

System name:

U.S. Attorney, District of Columbia Superior Court Operations, Criminal Files, including but not limited to the following subsystems: (a) Criminal File Folder (USA-S1), (b) Criminal File Folder (USA-33), (c) Criminal Docket Card (USA-T7), and (d) Index.

System location:

U.S. Attorney's Office, Judiciary Center Bldg., 555 4th St. NW., Washington, D.C. 20001

Categories of individuals covered by the system:

The individuals on whom records are maintained may be broadly classified in three categories (1) Those individuals who have been charged with criminal violations; (2) those individuals who are currently under investigation for criminal violations; and (3) those individuals upon whom criminal investigations were conducted, but no prosecution was initiated.

Categories of records in the system:

This system of records, consisting of numbered Criminal File Folders, (USA-S1 and USA-33), contains criminal investigative reports about named individuals submitted to this office by federal, state, local and foreign law enforcement agencies involved with the investigation of suspected violations as well as by complaints made by private parties. Those matters which become cases either by way of indictment or information in addition to the data contained in the investigative reports, also contain copies of indictments, informations, complaints, and all pleadings submitted to the court in connection with the actual prosecution of the case. These files also contain communications between the Court and agencies thereof, and the United States Attorney, and all correspondence relative to the case or matter. The files further contain psychiatric, chemical and other forensic reports, documentary evidence and the work product and internal memoranda of the Assistant United States Attorney in charge of the investigation compiled in preparation for the prosecution of each case. In those cases which have gone through trial and appeal, the file would further reflect transcripts of the trial, all pleadings and correspondence between the attorneys and the Court of Appeals, and copies of briefs submitted in the prosecution of the Appeal.

A synopsis record of a matter or case is maintained by means of a criminal docket card (USA-T7), for all actions through sentencing. A synopsis record of a case on appeal is maintained on an Appellate Docket Card (USA-9X-199), Appellate Proceedings). All of these subsystems comprise an internal cross-reference record keeping system of the criminal business at the office. Through the medium of forms and on-line data input, certain of this information is conveyed to a computer center for inclusion in the Prosecutor's Management Information System (a system which will be reported on separately), from which status and statistical reports are issued and distributed back to this office either in the form of computer printouts or on data display terminals which contain much of the same information as the files in different format.

Because of the number of diverse functions which must be performed with respect to each case; and because of the large volume of cases and because operations are conducted in three separate buildings, there are a number of file folder locator mechanisms and cross references utilized to constantly track a file folder when it is not physically located in file control. These indexes or locators are maintained in the form of 'out cards,' log books index card files, etc. They are referenced by name, number, and other identifiers. In themselves, they are not separate systems of records, but indexes or references to the primary system.

Authority for maintenance of the system:

5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

A record maintained in this system of records may be disseminated as a routine use of such record as follows:

(1) In any case in which there is an indication of a violation or potential violation of law, whether civil, criminal, or regulatory in nature, the record in question may be disseminated to the appropriate agency, federal, state, local, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing such law;

(2) In the course of investigating the potential or actual violation of any law, whether civil, criminal, or regulatory in nature, or during the course of a trail or hearing or the preparation for a trial or hearing for such violation, a record may be disseminated to a federal, state, local, or foreign agency, or to an individual, if there is reason to believe that such agency or individual possesses information relating to the investigation, trial, or hearing and the dissemination is reasonably necessary to elicit such information or to obtain the cooperation of a witness or an informant;

(3) Records or extracts thereof relating to a case or matter may be disseminated to a defendant or his attorney or to the appropriate federal, state, local, or foreign, court or grand jury in accordance with established constitutional, substantive, or procedural law or practice;

(4) A record relating to a case or matter may be disseminated to a federal, state, or local administrative or regulatory proceeding or hearing in accordance with the procedures governing such proceeding or hearing;

(5) A record relating to a case or matter may be disseminated to an actual or potential party or his attorney for the purpose of negotiation or discussion on such matters as settlement of the case or matter, plea bargaining, or informal discovery proceedings;

(6) A record relating to a case or matter that has been referred for investigation may be disseminated to the referring agency to notify such agency of the status of the case or matter or of any decision or determination that has been made or to assist in eliciting additional information;

(7) A record relating to a person held pending arraignment, trial or sentence, or after conviction, may be disseminated to a federal, state, local, or foreign prison, probation, parole, bail or pardon authority, or to any agency or individual concerned with the custody, maintenance, transportation or release of such a person;

(8) A record relating to a case or matter may be disseminated to a foreign country pursuant to an international treaty or convention entered into and ratified by the United States;

(9) A record may be disseminated to a federal, state, local, or foreign law enforcement agency to assist in the general crime prevention and detection efforts of the recipient agency or to provide investigative leads to such agency;

(10) A record may be disseminated to a federal agency, in response to its request, in connection with the hiring or retention of employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information relates to the requesting agency's decision on the matter; and

(11) A record may be assessed by volunteer student workers and students working under a college work-study program, as is necessary to enable them to perform their function;

(12) Release of information to the news media: Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available for systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy;

(13) Release of information to Members of Congress. Information contained in systems of records maintained by the Department of Justice, not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests for information on behalf of and at the request of the individual who is the subject of the record; and

(14) Release of information to the National Archives and Records Administration (NARA) and to the General Services Administration (GSA): A record from a system of records may be disclosed as a routine use to NARA and GSA in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

The information in the various indexes is maintained on index cards, log books, out cards, etc. The criminal files themselves are maintained in criminal file folders (USA-S1 and USA-33). The synopsis information is maintained on a Criminal Docket Card (USA-T7) and Appellate Proceedings (USA-9X-199).

Retrievability:

Information is retrieved primarily by the name of a person, complaint number, court docket number, FBI number, Metropolitan Police Department identification number and District of Columbia Department of Corrections number.

Safeguards:

Information contained in the system is both unclassified and classified and is safeguarded and protected by being maintained in filerooms which are manned during all times that they are open and at other times are locked. These rooms are located in the Superior Court for the District of Columbia, Buildings B and G which are guarded by the federal protective service twenty four hours a day with roving patrols during non-working hours. Files which are not in the filerooms but which are checked out to attorneys are maintained in locked offices after working hours.

Retention and disposal:

The files are retained and disposed of in accordance with Title 8, U.S. Attorney's Manual, pages 70–77.

System manager(s) and address:

Administtrative Officer; U.S. Attorney's Office; Superior Court Operations, 555 4th Street. NW., Washington, DC 20001.

Notification procedure:

Address inquiries to the System Manager.

Record access procedures:

The major part of the information maintained in this system is exempt from this requirement under 5 U.S.C. 552a (j)(2), (k)(1) and/or (k)(2). To the extent that this system is not subject to exemption, it is subject to access. A determination as to exemption shall be made at the time a request for access is received. A request for access to a record from this system shall be made in writing, with the envelope and the latter clearly marked "Privacy Access Request." Include in the request the general subject matter of the document or its file number. The requester will also provide a return address for transmitting the information. Access requests will be directed to the System Manager listed above.

Contesting record procedures:

The major part of the information maintained in this system is exempt from this requirement under 5 U.S.C. 552a(j)(2), (k)(1) and/or (k)(2). To the extent that this system is not subject to exemption, it is subject to contest. A determination as to exemption shall be made at the time a request for contest is received. Individuals desiring to contest or amend information maintained in the system should direct their request to the System Manager listed above, stating clearly and concisely what information is being contested, the reasons for contesting it, and the proposed amendment to the information sought.

Record source categories:

Sources of information contained in this system include but are not limited to investigative reports of federal, state and local law enforcement agencies, forensic reports, statements of witnesses and parties, as well as verbatim transcripts of grand jury proceedings and court proceedings, memoranda and reports from the court and agencies thereof and work product of Assistant United States Attorney and legal assistants working on particular cases.

Systems exempted from certain provisions of the act:

The Attorney General has exempted this system from subsections (c) (3) and (4), (d), (e) (1), (2) and (3), (e)(4) (G) and (H), (e) (5) and (8), (f), (g), and (h) of the Privacy Act pursuant to 5 U.S.C. 552a (j)(2) and (k) (1) and (2). Rules have been promulgated in accordance with the requirements of 5 U.S.C. 533 (b), (c) and (e) and have been published in the Federal Register.

JUSTICE/USA-014

System name:

Pre-Trial Diversion Program Files.

System location:

Ninety-four United States Attorneys' Offices (See attached Appendix).

Categories of individuals covered by the system:

Individuals referred to in potential or actual pre-trial diversion cases.

Categories of records in the system:

(a) USA Form 184—Referral letter to Probation Service; (b) USA Form 185—Letter to defendant; (c) USA Form 186—Agreement for Pre-Trial Diversion; (d) USA Form 187—Pre-Trial Diversion Report Form; (e) USA Form 188—Certification of Completion of Program; (f) USA Form 189—Defendant Application Form; (g) Telephone Records; (h) Miscellaneous Correspondence; and (i) Files Unique to a District.

Authority for maintenance of the system:

This system is established and maintained pursuant to 5 USC 301 and 44 USC 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

A record maintained in this system of records may be disseminated as a routine use of such record as follows:

(a) In any case in which there is an indication of a violation or potential violation of law criminal or regulatory in nature, the record in question may be disseminated to the appropriate Federal, state, local, or foreign agency charged with the responsibility for investigating or prosecuting such violation or charged with enforcing or implementing such law;

(b) In the course of investigating the potential or actual violation of any law, criminal, or regulatory in nature, or during the course of a trial or hearing or the preparation for a trial or hearing for such violation, a record may be disseminated to a Federal, state, local, or foreign agency, or to an individual or organization, if there is reason to believe that such agency, individual, or organization possesses information relating to the investigation, trial, or hearing and the dissemination is reasonably necessary to elicit such information or to obtain the cooperation of a witness or an informant;

(c) A record relating to a case or matter may be disseminated in an appropriate Federal, state, local, or foreign court or grand jury proceeding in accordance with established constitutional, substantive, or procedural law or practice;

(d) A record relating to a case or matter may be disseminated to a Federal, state, or local administrative or regulatory proceeding or hearing in accordance with the procedures governing such proceeding or hearing;

(e) A record relating to a case or matter be disseminated to an actual or potential party or his attorney for the purpose of negotiation or discussion on such matters as settlement of the case or matter, plea bargaining, or informal discovery proceedings;

(f) A record relating to a case or matter that has been referred by an agency for investigation prosecution or enforcement, or that involves a case or matter within the jurisdiction of an agency, may be disseminated to such agency to notify the agency of the status of the case or matter of any decision or determination that has been made, or to make such other inquiries and reports as are necessary during the processing of the case or matter;

(g) A record relating to a person held in custody pending or during arraignment, trial, sentence, or extradition proceedings, or after conviction or after extradition proceedings, may be disseminated to a Federal, state, local, or foreign prison, probation, parole, or pardon authority, or to any other agency or individual concerned with the maintenance, transportation, or release of such a person;

(h) A record relating to a case or matter may be disseminated to a foreign country pursuant to an international treaty or convention entered into and ratified by the United States or to an executive agreement;

(i) A record may be disseminated to a Federal, state, local, foreign, or international law enforcement agency to assist in the general crime prevention and detection efforts of the recipient agency or to provide investigation leads to such agency;

(j) A record may be disseminated to a Federal agency, in response to its request in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information relates to the requesting agency's decision on the matter;

(k) A record may be disseminated to the public, news media, trade associations, or organized groups, when the purpose of the dissemination is educational or information, such as descriptions of crime trends or distinctive or unique modus operandi, provided that the record does not contain any information identifiable to a specific individual;

(l) A record may be disseminated to a foreign country, through the United States Department of State or directly to the representative of such country, to the extent necessary to assist such country in apprehending and/or returning a fugitive to a jurisdiction which seeks his return.

(m) A record that contains classified national security information and material may be disseminated to persons who are engaged in historical research projects, or who have previously occupied policy making positions to which they were appointed by the President, in accordance with the provisions codified in 28 CFR 17.60; and

(n) A record may be accessed by volunteer student workers and students working under a college work-study program, as is necessary to enable them to perform their function.

Release of information to the National Archives and Records Administration: A record from a system of records may be disclosed as a routine use to the National Archives and Records Administration (NARA) in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

All information, except that specified in this paragraph, is recorded on basic paper/cardboard material, and stored within manila file folders, within metal file cabinets, electric file/card retrievers or safes. Some material is recorded and stored on magnetic tape, card or other data processing type storage matter for reproduction later into conventional formats.

Retrievability:

Information is retrieved by the name of the person, case number or complaint number.

Safeguards:

Information in the system is both confidential and nonconfidential and located in file cabinets in the United States Attorney offices. Some materials are located in locked file drawers and safes, and others in unlocked file drawers. Offices are locked during nonworking hours and are secured by either Federal Protective Service, United States Postal Service, or private building guards.

Retention and disposal:

Records are maintained and disposed of in accordance with Department of Justice retention plans.

System manager(s) and address:

System Manager for the system in each office is the Administrative Officer/Assistant, for the U.S. Attorney for each district. (See attached Appendix.)

Notification procedure:

Address inquiries to the System Manager for the judicial district in which the diversion application or approval was made. (See attached Appendix.)

Record access procedures:

The major part of the information maintained in this system is exempt from this requirement under 5 U.S.C. 552a (j)(2), (k)(1) and/or (k)(2). To the extent that this system is not subject to exemption, it is subject to access. A determination as to exemption shall be made at the time a request for access is received. A request for access to a record from this system shall be made in writing, with the envelope and the letter clearly marked "Privacy Access Request." Include in the request the name of the individual involved, his birth date and place, or any other identifying number or information which may be of assistance in locating the record and the name of the case or matter involved, if known. The requester shall also provide a return address for transmitting the information. Access requests will be directed to the System Manager. (See attached Appendix.)

Contesting record procedures:

The major part of the information maintained in this system is exempt from this requirement under 5 U.S.C. 552a (j)(2), (k)(1) and/or (k)(2). To the extent that this system is not subject to exemption, it is subject to contest. A determination as to exemption shall be made at the time a request for contest is received. Individuals desiring to contest or amend information maintained in the system should direct their request to the System Manager (see attached Appendix) stating clearly and concisely what information is being contested, the reasons for contesting it, and the proposed amendment to the information sought.

Record source categories:

Sources of information contained in this system include, but are not limited to investigative reports of Federal, state and local law enforcement agencies; client agencies of the Department of Justice; other non-Department of Justice investigative agencies; forensic reports; statements of witnesses and parties; verbatim transcripts of Grand Jury and court proceedings; data; memoranda and reports from the Court and agencies thereof; and the work product of Assistant United States Attorneys, Department of Justice attorneys and staff, and legal assistants working on particular cases.

Systems exempted from certain provisions of the act:

The Attorney General has exempted this system from subsections (c) (3) and (4), (d), (e) (1), (2) and (3), (e)(4) (G) and (H), (e) (5) and (8), (f), (g) and (h) of the Privacy Act pursuant to 5 U.S.C. 552a (j)(2) and (k) (1) and (2). Rules have been promulgated in accordance with the requirements of 5 U.S.C. 553 (b), (c) and (e) and have been published in the FEDERAL REGISTER.

JUSTICE/USA-015

System name:

Debt Collection Enforcement System, JUSTICE/USA-015.

System location:

Department of Justice, United States Attorneys, Offices listed below:

—Central District of California, 312 N. Spring Street, Los Angeles, California 90012.
—Eastern District of New York, U.S. Courthouse, 225 Cadman Plaza East, Brooklyn, New York 11201.
—Southern District of Florida, 155 South Miami Avenue, Miami, Florida 33130.
—Eastern District of Michigan, 817 Federal Building, 231 Lafayette, Detroit, Michigan 48226.
—Southern District of Texas, P.O. Box 61129, Houston, Texas 77208.
—District of Columbia, Judiciary Center Building, 555 4th Street, NW, Washington, DC 20001.
—Middle District of Florida, Robert Timberlake Building, Room 410, 500 Zack Street, Tampa, Florida 33602.
—Middle District of Georgia, P.O. Box U, Macon, Georgia 31202.
—Western District of Louisiana, Room 3B12, Federal Building, Shreveport, Louisiana 71101.
—District of New Jersey, Federal Building, 970 Broad Street, Room 502, Newark, New Jersey 07102.

Categories of individuals covered by the system:

Persons indebted to the United States who have allowed their debts to become delinquent and whose delinquent debts have been assigned by the Department's Justice Management Division (JMD) to a U.S. Attorney (USA) or contract private counsel for settlement or enforced collection through litigation.

Categories of records in the system:

This system of records contains records relating to the negotiation, compromise, settlement, and litigation of indebtedness owed the United States. Records consist of a case file and automated support data.

The case file includes such documents as the Claims Collection Litigation Report; Certificate of Indebtedness; Satisfaction of Judgment or Certificate of Discharge; Court and related legal documents such as consent judgments, orders, briefs, pleadings and settlement agreements; status reports, and correspondence, and any other documentation developed during the negotiation, compromise, settlement and/or litigation of the indebtedness.

The automated data base contains data extracted from the case file and any data generated or developed to support the administrative operations of the debt collection program. Information may include personal data, e.g., name, social security number, date of birth, and locator information; claim information, e.g., type of claim such as benefit overpayment, loan default, bankruptcy, etc.; payment demand information, compromise offered, etc.; account information, e.g., debtor payments including principal, penalties, interests, and balances, etc.; information regarding debtor's employment, ability to pay, property liens, etc.; value of claim, name of source agency which provided the loan or benefit; information on the status and disposition of cases at various intervals of time; and any other information related to the negotiation, compromise, settlement, or litigation of indebtedness owed the United States, or to the administrative management of the debt collection program.

Authority for maintenance of the system:

The Federal Debt Recovery Act of 1986, 31 U.S.C. 3718(b).

Purpose(s):

The Federal Debt Recovery Act authorizes the Attorney General to contract with private counsel to assist the USAs in the collection of consumer and commercial debts owed the United States on a pilot project basis. Accordingly, the Department is participating in a pilot program in ten judicial districts and has established this system of records to implement the program. This system of records is maintained under contract on behalf of the Department by selected private counsel in the ten judicial districts who, along with the Department's USAs, maintain records and furnish legal services in the negotiation, settlement, and litigation of indebtedness owed the United States. A separate system of records entitled "Debt Collection Management System, JUSTICE/JMD-006" has been established to cover records maintained by JMD to provide automated litigation support to and administrative management of the program.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

In the course of its collection and enforcement activities, the Department will release client Federal agency case files and any related records or information created by the Department to contract private counsel to negotiate, settle, and litigate indebtedness owed the United States.

In the course of its collection and enforcement activities, or during the course of a trial or hearing or preparation for a trial or hearing, the Department through contract private counsel in the selected judicial districts, or through its own USAs in those districts, may disclose records or information from this system as follows:

(a) In any case in which there is an indication of a violation or potential violation of law, civil or regulatory in nature—to the appropriate Federal, State, local or foreign agency charged with the responsibility of investigating, defending or pursuing such violation, civil claim or remedy, or charged with enforcing, defending or implementing such law.

(b) To a Federal, State, local, or foreign agency or to an individual or organization, if there is reason to believe that such agency, individual, or organization possesses information relating to the debt, the debtor's ability to pay, or relating to any other matter which is relevant and necessary to the settlement, effective litigation and enforced collection of the debt, or relating to the civil action trial or hearing, and the disclosure is reasonably necessary to elicit such information or to obtain the cooperation of a witness or an agency.

(c) To an actual or potential party, or to his or her attorney, for the purpose of negotiation or discussion on such matters as settlement of the case or matter, or informal discovery proceedings.

(d) To client agencies who have referred debt collection cases to the Department for settlement or litigation and enforced collection to notify such agencies of the status of the case or of any decision or determination that has been made, or to make such other inquiries and reports as are necessary during the processing of the case.

(e) To a Federal agency in response to its request and in connection with hiring or retention of an employee, the issuance of the required security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information relates to the requesting agency's decision on the matter.

(f) To volunteer student workers and students working under a college work-study program as is necessary to enable them to perform their duties.

(g) To employees or to contract personnel to access the records for Privacy Act training purposes.

(h) In a proceeding before a court or adjudicative body before which the Department or contract private counsel is authorized to appear when any of the following is a party to litigation or has an interest in litigation and such records are determined by the Department or contract private counsel to be arguably relevant to the litigation: (1) The Department, or any subdivision thereof, or contract private counsel, or (2) any employee of the Department or contract private counsel in his or her official capacity or (3) any employee of the Department or contract private counsel in his or her individual capacity where the Department has agreed to represent the employee, or (4) the United States, where the Department or contract private counsel determines that the litigation is likely to affect the Department or any of its subdivisions.

(i) In a proceeding before a court or adjudicative body before which the Department or contract private counsel is authorized to appear, when the United States, or any agency or subdivision thereof, is a party to litigation or has an interest in litigation and such records are determined by the Department or contract private counsel to be arguably relevant to the litigation.

(j) To (1) a Federal agency which employs the individual to enable the employing agency to offset the individual's salary; (2) a Federal, State, local or foreign agency, an organization, including a consumer reporting agency, or individual to elicit information to assist the Department in the settlement or effective litigation and enforced collection of the overdue debt; and (3) the Internal Revenue Service (IRS) to enable that agency to offset the individual's tax refund. Records provided to the IRS may be used in a computer matching program to identify individuals who are entitled to refunds against which such offset for overdue debts would be appropriate.

(k) To the news media and the public pursuant to 28 CFR 50.2 unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

(l) To a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and at the request of the individual who is the subject of the record.

(m) To the National Archives and Records Administration and to the General Services Administration in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Disclosure to consumer reporting agencies:

Notice of Disclosure Under Subsection (b)(12) of the Privacy Act: Records relating to individuals who owe a past-due debt to the United States may be disseminated to consumer reporting agencies to encourage payment of the past-due debt.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Case files are stored in locked rooms; automated data is stored on magnetic tape.

Retrievability:

Data is retrieved by name of debtor.

Safeguards:

Access to records is restricted to those Department and contract employees who must have access to perform their settlement or litigation and enforced collection activities, and/or administrative responsibilities. Case files are maintained separately in locked rooms during non-duty hours. Access to automated data requires the use of the proper password and user identification code. Access by contract private counsel is restricted to those cases assigned.

Retention and disposal:

Case files will be destroyed and automated information will be erased ten years after close of case. (Pending approval of the National Archives and Records Administration.)

System manager(s) and address:

System Manager is the Administrative Officer/Assistant for the U.S. Attorney in each of the ten judicial districts named under "System Locations."

Notification procedure:

Address inquiries to the System Manager of the judicial district in which collection efforts have been initiated. (See "System Locations.")

Record access procedures:

Address requests for access to the System Manager of the judicial district in which collection efforts have been initiated. (See "System Locations.") Clearly mark the envelope "Privacy Access Request." Include in the request the debtor's name, date of birth, address, and any other identifying information which may be of assistance in locating the record, e.g., name of the case or Federal agency to whom the debtor is indebted. In addition, include notarized signature of the debtor as well as the name and address of the individual to receive the information if other than the debtor.

Contesting record procedures:

Address requests to the System Manager of the judicial district in which collection efforts have been initiated. (See "System Locations.") State clearly and concisely the information being contested, the reasons for contesting it, and the proposed amendment to the information.

Record source categories:

The individuals covered by the system; client agencies of the Department to whom the individual is indebted; an attorney or other representative for the debtor and/or payor; any Federal, State, local, foreign, private organization or individual who may have information relating to the debt, the debtor's ability to pay or any other information relevant and necessary to assist in settlement or effective litigation and enforced collection of the debt.

Systems exempted from certain provisions of the act:

None.

JUSTICE/USA-999

System name:

Appendix of United States Attorney Office locations: (Written requests for access to records in any of the following U.S. Attorney's offices except the District of Columbia may be addressed to:

FOIA/Privacy Unit, Patrick Henry Building, 601 D Street NW., Room 6410, Washington, D.C. 20530.

Requests for access to records in the District of Columbia may be addressed to:

FOIA/Privacy, United States Attorney's Office, for the District of Columbia, Judiciary Center Building, 555 4th Street NW., Washington, D.C. 20001.

Systems are located as listed below:

Alabama, N.
200 Federal Building
1800 Fifth Avenue North
Birmingham, Alabama 35203
Alabama, M.
306 U.S. Post Office & Courthouse Building
15 Lee Street
Montgomery, Alabama 36104
Alabama, S.
Rm. 305, U.S. Courthouse Bldg. 113 St. Joseph Center Mobile, Alabama 36602-3685
Alaska
Fed. Bldg. & U.S. Courthouse
Rm. C-252, Mail Box 9
701 C Street
Anchorage, Alaska 99513
Arizona
4000 U.S. Courthouse
230 North First Avenue
Phoenix, AZ 85025
Arkansas, E
331 P.O. & Courthouse Bldg.
600 West Capitol
Little Rock, Arkansas 72201
Arkansas, W
6th & Rogers
U.S. Post Office & Courthouse Bldg.
Fort Smith, Arkansas 72901
California, N
450 Golden Gate Avenue
San Francisco, Calif. 94102
California, E
3305 Federal Building
650 Capitol Mall
Sacramento, Calif. 95814
California, C
312 N. Spring Street Los Angeles, Calif. 90012
California, S
940 Front Street
Rm. 5-N-19
U.S. Courthouse
San Diego, Calif. 92189
Colorado
1961 Stout Street
Suite 1200—Drawer 3615
Federal Office Bldg.
Denver, Colorado 80294
Connecticut
United States Courthouse
141 Church Street
New Haven, Connecticut 06510
Delaware
J. Caleb Boggs Fed. Bldg.
844 King Street, Rm. 5110
Wilmington, Del. 19801
D.C.
Judiciary Center Bldg.
555 4th Street NW.
Washington, D.C. 20001
Florida, N
227 N. Bronough Street
Suite 4014

Tallahassee, Florida 32301
Florida, M
Robert Timberlake Bldg., Rm. 410
500 Zack Street
Tampa, Florida 33602
Florida, S
155 South Miami Avenue
Miami, Florida 33130
Georgia, N
Suite 1800 Richard Russell Bldg.
75 Spring Street, SW.
Atlanta, Georgia 30335
Georgia, M
Old. P.O. Bldg., Rm 303
Mulberry & 3rd Streets
Macon, Georgia 31202
Georgia, S
U.S. Courthouse, Room 237
125 Bull Street
Savannah, Georgia 31412
Guam
Suite 502-A, PDN Bldg.
238 O'Hara Street
Agana, Guam 96910
Hawaii
Rm. C-242, PJKK Federal Bldg.
Box 50183, 300 Ala Moana Blvd.
Honolulu, Hawaii 96850
Idaho
Rm. 328 Federal Building
Box 037, 550 W Fort Street
Boise, Idaho 83724
Illinois, N
Everett McKinley Dirksen Bldg.
Rm. 1500 S, 219 S. Dearborn Street
Chicago, Illinois 60604
Illinois, S
Rm. 330
750 Missouri Avenue
East St. Louis, Illinois 62201
Illinois, C
Rm. 312, USPO & Federal Bldg.
600 East Monroe Street
Springfield, Illinois 62705
Indiana N
4th Floor, Federal Building
507 State Street
Hammond, Ind 46320
Indiana, S
274 U.S. Courthouse
46 E. Ohio Street
Indianapolis, Ind 46204
Iowa, N
425 2nd Street, Suite 950
The Center
Cedar Rapids, Iowa 52401
Iowa, S
115 U.S. Courthouse
E 1st & Walnut Streets
Des Moines, Iowa 50309
Kansas
385 Federal Building
444 Quincy Street
Topeka, Kansas 66683
Kentucky, E
Fourth Floor
Federal Building
Limestone & Barr Streets
Lexington, Kentucky 40507
Kentucky, W
Bank of Louisville Bldg.
510 West Broadway, 10th Floor
Louisville, Kentucky 40202
Louisiana, E
Hale Boggs Fed. Bldg.
500 Camp Street
New Orleans, LA 70130
Louisiana, M
352 Florida Street
Baton Rouge, LA 70801
Louisiana, W
Rm. 3B12, Fed. Bldg.
500 Fannin Street
Shreveport, LA 71101
Maine
East Tower—6th Floor
100 Middle Street Plaza
Portland, Maine 04101
Maryland
8th Floor, U.S. Courthouse
101 W. Lombard Street
Baltimore, MD 21201
Massachusetts
1107 John W. McCormack Fed. Bldg.
USPO & Courthouse
Boston, Mass 02109
Michigan, E
817 Federal Building
231 W. Lafayette
Detroit, Michigan 48226
Michigan, W
399 Federal Building
Grand Rapids, Michigan 49503
Minnesota
234 U.S. Courthouse
110 South 4th Street
Minneapolis, Minn. 55401
Mississippi, N
Rm. 255 Federal Building
911 West Jackson Avenue
Oxford, Miss. 38655
Mississippi, S
245 East Capitol St., Rm. 324
Jackson, Miss. 39205
Missouri, E
Rm. 414, U.S. Court & Custom House
1114 Market Street
St. Louis, MO 63101
Missouri, W
549 U.S. Courthouse
811 Grand Avenue
Kansas City, MO 64106
Montana
5043 Federal Building
26th Street & 3rd Avenue, N
Billings, Montana 59103
Nebraska
Room 8000, USPO & Courthouse
215 N 17th Street
Omaha, Nebraska 68101
Nevada
Phoenix Bldg., Seventh Floor
330 South Third Street
Las Vegas, Nevada 89101
New Hampshire
55 Pleasant Street, Rm. 439
Fourth Floor, Federal Bldg.
Concord, New Hampshire 03301
New Jersey
Federal Building
970 Broad Street, Rm. 502
Newark, N.J. 07102
New Mexico
U.S. Courthouse, Rm. 12020
500 Gold Avenue, S.W.
Albuquerque, New Mex. 87103
New York, N
Rm. 369 U.S. Courthouse & Fed. Bldg.
100 South Clinton Street
Syracuse, N.Y. 13260
New York, S
One St. Andrews Plaza
New York, N.Y. 10007
New York, E
U.S. Courthouse
225 Cadman Plaza East
Brooklyn, N.Y. 11201
New York, W
502 U.S. Courthouse
Court & Franklin Streets
Buffalo, N.Y. 14202
N. Carolina, E
874 Federal Building
310 New Bern Avenue
Raleigh, N.C. 27611

N. Carolina, M
326 Federal Bldg., & P.O. Bldg.
324 West Market Street
Greensboro, N.C. 27402
N. Carolina, W
Rm. 306, U.S.P.O. & Courthouse
Post & Otis Streets
Asheville, N.C. 28802
N. Dakota
219 Federal Building
655 1st Avenue, North
Fargo, N.D. 58108
Ohio, N
Suite 500
1404 East Ninth Street
Cleveland, Ohio 44114
Ohio, S
200 U.S. Courthouse
85 Marconi Boulevard
Columbus, Ohio 43215
Oklahoma, N
3600 U.S. Courthouse
333 West Fourth Street
Tulsa, Okla 74103
Oklahoma, E
333 Federal Courthouse & Office Bldg.
Fifth & Okmulgee
Muskogee, Okla 74401
Oklahoma, W
Room 4434
U.S. Courthouse & Fed. Office Bldg.
Oklahoma City, Okla 73102
Oregon
312 U.S. Courthouse
620 S.W. Main Street
Portland, Oregon 97205
Penn. E
3310 U.S. Courthouse
Independence Mall West
601 Market Street
Philadelphia, PA 19106
Penn. M
Suite 309, Federal Building
Washington & Linden Streets
Scranton, PA 18501
Penn. W
633 U.S.P.O. & Courthouse
47th Avenue & Grant Street
Pittsburgh, PA 15219
Puerto Rico
Rm. 101, Fed. Office Bldg.
Carlos E. Chardon Avenue
Hato Rey, P.R. 00918
Rhode Island
Westminster Square Building
10 Dorrance Street
Providence, R.I. 02903
South Carolina
Federal Building
1100 Laurel Street
Columbia, S.C. 29201
S. Dakota
135 Fed. Bldg., & U.S. Courthouse
400 S. Phillips Avenue
Sioux Falls, S.D. 57102
Tennessee, E
509 Main Street
Knoxville, TN 37901
Tennessee, M
Room 879, U.S. Courthouse
801 Broadway
Nashville, TN 37203
Tennessee, W
1026 Fed. Office Bldg.
167 North Main Street
Memphis, TN 38103
Texas, N
310 U.S. Courthouse
10th & Lamar Streets
Ft. Worth, TX 76102
Texas, S
Courthouse & Federal Bldg.
515 Rusk Avenue, 3rd Floor
Houston, TX 77002
Texas, E
700 North Street, Suite 600
Beaumont, TX 77701
Texas, W
727 E. Durango Blvd.
Suite A-601
San Antonio, TX 78206
Utah
U.S. Courthouse, Room 466
350 South Main Street
Salt Lake City, UT 84101
Vermont
Federal Building
11 Elmwood Avenue, 6th Floor
Burlington, VT 05401
Virgin Islands
Federal Bldg., & U.S. Courthouse
Veteans Drive, Rm. 260
Charlotte Amalie
St. Thomas, V.I. 00802
Virginia, E
1101 King Street
Suite 502
Alexandria, VA 22314
Virginia, W
Room 456, Poff Federal Bldg.
210 Franklin Road, SW.
Roanoke, VA 24011
Washington, E
851 U.S. Courthouse
West 920 Riverside
Spokane, WA 99201
Washington, W
3600 Seafirst 5th Ave., Plaza
800 Fifth Avenue
Seattle, WA 98104
West Virginia, N
Room 247, Federal Building
1125-1141 Chapline Street
Wheeling, WV 26003
West Virginia, S
Room 4106, Federal Building
500 Quarrier Street
Charleston, WV 25301
Wisconsin, E
330 Federal Building
517 East Wisconsin Avenue
Milwaukee, WI 53202
Wisconsin, W
120 N. Henry Street, Room 420
Madison, WI 53703
Wyoming
J.C. O'Mahoney Fed. Building
Room 2141, 2120 Capitol Avenue
Cheyenne, WV 82001
North Mariana Islands
c/o U.S. Attorney's Office
6th Floor, Naura Bldg.
P.O. Box 377
Saipan, CM 96950

UNITED STATES MARSHALL SERVICE

JUSTICE/USM-001

System name:

U.S. Marshals Service Badge & Credentials File.

System location:

Property Management Division, U.S. Marshals Service; 600 Army Navy Drive, Arlington, Virginia 22202-4210.

Categories of individuals covered by the system:

U.S. Marshals Service (USMS) Personnel.

Categories of records in the system:

Personnel data system established to control issuance of badges and credentials to USMS personnel which contains photographs of all employees and hand receipts showing the employee's name, title, duty location, badge and credential numbers, and date of issuance.

Authority for maintenance of the system:

5 U.S.C. 301 and 44 U.S.C. 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

This file serves as a record of issuance of credentials. Information from this file may be disclosed (a) to various law enforcement agencies, e.g., FBI, Secret Service, states, county and Municipal police. (b) in a proceeding before a court or adjudicative body before which the USMS is authorized to appear when any of the following is a party to litigation or has an interest in litigation and such records are determined by the USMS to be arguably relevant to the litigation: The USMS or any of its subdivisions; any USMS employee in his or her official capacity, or in his or her individual capacity where the Department of Justice agrees to represent the employee; or the United States where the USMS determines that the litigation is likely to affect it or any of its subdivisions. (c) to the news media and the public pursuant to 28 CFR 50.2 unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy. (d) to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and at the request of the individual who is the subject of the record. (e) to the National Archives and Records Administration and to the General Services Administration in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are kept in standard file folders.

Retrievability:

Indexed by name of individual and numerical order of badges and credentials.

Safeguards:

Access restricted to personnel of the Property Management Division. Records are maintained in metal filing cabinets which are locked during non-duty hours.

Retention and disposal:

Records are kept for duration of employee's tenure in the Service.

System manager(s) and address:

Chief, Property Management Division, United States Marshals Service, U.S. Department of Justice, 600 Army Navy Drive, Arlington, Virginia 22202–4210.

Notification procedure:

Same as System Manager.

Record access procedures:

A request for access to a record from this system shall be made in writing with the envelope and the letter clearly marked "Privacy Access Request." It should clearly indicate name of requester, the nature of the record sought and approximate dates covered by the record. The requester shall also Provide the required verification of identity (28 CFR 16.41(d)) and provide a return address for transmitting the information. Access requests will be directed to the System Manager listed above, Attention: FOI/PA Officer.

Contesting record procedures:

Individuals desiring to contest or amend information maintained in the system should direct their request to the System Manager listed above, stating clearly and concisely what information is being contested, the reasons for contesting it, and the proposed amendment to the information sought.

Record source categories:

Record of Notification of Employment by U.S. Marshals Service Personnel Division.

Systems exempted from certain provisions of the act:

None.

JUSTICE/USM-002

System name:

Internal Inspections System.

System location:

United States Marshals Service, Department of Justice, 600 Army Navy Drive, Arlington, Virginia 22202–4210.

Categories of individuals covered by the system:

United States Marshals Service (USMS) employees.

Categories of records in the system:

The Internal Inspections System contains reports prepared by the Office of Internal Inspections. United States Marshals Service on findings of alleged misconduct of U.S. Marshals, Service employees.

Authority for maintenance of the system:

28 U.S.C. 509, 510 and 569; 5 U.S.C. 301; 44 U.S.C. 3101; and 28 CFR 0.111(n).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Records of information may be disclosed (a) to U.S. Marshals Service personnel in disciplinary proceedings against employees. (b) to the extent that investigations reveal actual or potential violations of criminal or civil laws, to other Federal law enforcement agencies for further investigations. (c) in a proceeding before a Court or adjudicative body before which the USMS is authorized to appear when any of the following is a party to litigation or has an interest in litigation and such records are determined by the USMS to be arguably relevant to the litigation: The USMS or any of its subdivisions; any USMS employee in his or her official capacity, or in his or her individual capacity, where the Department of Justice agrees to represent the employee; or the United States where the USMS determines that the litigation is likely to affect it or any of its subdivisions. (d) to the news media and the public pursuant to 28 CFR 50.2 unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy. (e) to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and at the request of the individual who is the subject of the record. (f) to the National Archives and Records Administration and to the General Services Administration in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Originals stored in standard file folders.

Retrievability:

Information is retrieved by name of employee.

Safeguards:

Records are stored in locked safe.

Retention and disposal:

Records are retained for 24 months and then referred to Federal Records Center.

System manager(s) and address:

Chief, Office of Internal Inspections, U.S. Marshals Service, U.S. Department of Justice, 600 Army Navy Drive, Arlington, Virginia 22202–4210.

Notification procedure:

Same as the System Manager.

Record access procedures:

To the extent that this system is not subject to exemption, it is subject to access and contest. A determination as to exemption shall be made at the time a request for access is received. A request for access to a record from this system shall be made in writing, with the envelope and the letter clearly marked "Privacy Access Request." It should clearly indicate name of the requestor, the nature of the record sought and approximate dates covered by the record. The requestor shall also provide the required verification of identity (28 CFR 16.41(d)) and provide a return address for transmitting the information. Access requests will be directed to the System Manager listed above. Attention: FOI/PA Officer.

Contesting record procedures:

Individuals desiring to contest or amend information maintained in the system should direct their request to the System Manager listed above, stating clearly and concisely what information is being contested, the reasons for contesting it, and the proposed amendment to the information sought.

Record source categories:

Information derived from investigation of alleged malfeasance, by U.S. Marshals Service Office of Internal Inspections.

Systems exempted from certain provisions of the act:

The Attorney General has exempted this system from subsections (c)(3) and (4), (d), (e)(2) and (3), (e)(4) (G) and (H), (f) and (g) of the Privacy Act pursuant to 5 U.S.C. 552a(k)(5). To the extent that investigations reveal actual or potential criminal or civil violations, this system is additionally exempt from subsection (e)(8) of the Privacy Act pursuant to 5 U.S.C. 552a(j)(2). Rules have been promulgated in accordance with the requirements of 5 U.S.C. 553(b), (c) and (e) and have been published in the Federal Register.

JUSTICE/USM-003

System name:

U.S. Marshals Service Prisoner Transportation System.

System location:

Prisoner Transportation Division, U.S. Marshals Service (USMS), Department of Justice; 911 Walnut Street, Kansas City, Missouri 64106.

Categories of individuals covered by the system:

Prisoners taken into U.S. Marshal custody.

Categories of records in the system:

D.J. 100's Compilation of identifying information for each prisoner taken into U.S. Marshal custody, when and where the prisoner is taken into custody, what he is charged with and where he is moved to. These files provide a ready reference source on the prisoner for purposes of arranging prisoner transportation.

Authority for maintenance of the system:

28 U.S.C. 509, 510 and 569; 5 U.S.C. 301; 44 U.S.C. 3101; and 28 CFR 0.111(k).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used in the transporting of prisoners, by USMS, Bureau of Prisons and other federal, state and local law enforcement officials.

Records or information may be disclosed as a routine use as follows: (a) In a proceeding before a Court or adjudicative body before which the USMS is authorized to appear when any of the following is a party to litigation or has an interest in litigation and such records are determined by the USMS to be arguably relevant to the litigation: The USMS or any of its subdivisions; any USMS employee in his or her official capacity, or in his or her individual capacity where the Department of Justice agrees to represent the employee; or the United States where the USMS determines that the litigation is likely to affect it or any of its subdivisions.

(b) To the news media and the public pursuant to 28 CFR 50.2 unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

(c)To a Member of Congress or staff acting upon the Member's behalf where the Member or staff requests the information on behalf of and at the request of the individual who is the subject of the record.

(d) To the National Archives and Records Administration and to the General Services Administration in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Information is stored in standard file cabinets. Duplicate copies of paper records are stored on magnetic discs.

Retrievability:

Information is retrieved by name of prisoner and number.

Safeguards:

Access restricted to Operations Personnel. File cabinets are locked during non-duty hours.

Retention and disposal:

Records are disposed of after 24 months.

System manager(s) and address:

Chief, Prisoner Transportation Division, United States Marshals Service, U.S. Department of Justice, 911 Walnut Street, Kansas City, Missouri 64106.

Notification procedure:

Same as System Manager.

Record access procedures:

A request for access to a record from this system shall be made in writing, with the envelope and the letter clearly marked "Privacy Access Request." It should clearly indicate name of requester, the nature of the record sought and approximate dates covered by the record. The requestor shall also provide the required verification of identity (28 CFR 16.41(d)) and provide a return address for transmitting the information. Access requests will be directed to the System Manager listed above, Attention: FOI/PA Officer.

Contesting record procedures:

Individuals desiring to contest or amend information maintained in the system should direct their request to the System Manager listed above, stating clearly and concisely what information is being contested, the reasons for contesting it, and the proposed amendment to the information sought.

Record source categories:

Identifying material of each prisoner taken into custody by the U.S. Marshal.

Systems exempted from certain provisions of the act:

None.

JUSTICE/USM-004

System name:

Special Deputy File.

System location:

United States Marshals Service (USMS), Department of Justice, 600 Army Navy Drive, Arlington, Virginia 22202-4210.

Categories of individuals covered by the system:

Special Deputies, who are selected law enforcement officers or employees of the U.S. Government.

Categories of records in the system:

Special Deputization file contains oath of office of persons utilized as deputy marshals.

Authority for maintenance of the system:

28 CFR Subpart T. Section 0.112, 28 U.S.C. 562.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Records or information may be disclosed :

(a) To Federal agencies for whom the Marshals Service has deputized employees.

(b) In a proceeding before a Court or adjudicated body before which the USMS is authorized to appear when any of the following is a party to litigation or has an interest in litigation and such records are determined by the USMS to be arguably relevant to the litigation: The USMS or any of its subdivisions; any USMS employee in his or her official capacity, or in his or her individual capacity where the Department of Justice agrees to represent the employee; or the United States where the USMS determines that the litigation is likely to affect it or any of its subdivisions.

(c) To the news media and the public pursuant to 28 CFR 50.2 unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

(d) To a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and at the request of the individual who is the subject of the record.

(e) To the National Archives and Records Administration and to the General Services Administration in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are filed in standard file cabinets. Duplicate copies of paper record are stored on magnetic discs.

Retrievability:

Files are indexed by name and by government department.

Safeguards:

Records are kept in a locked file.

Retention and disposal:

Records are retained indefinitely.

System manager(s) and address:

Deputy Director, U.S. Marshals Service, U.S. Department of Justice, 600 Army Navy Drive, Arlington, Virginia 22202-4210.

Notification procedure:

Address inquiries to: System Manager.

Record access procedures:

A request for access to a record from this system shall be made in writing with the envelope and letter clearly marked "Privacy Access Request." The requestor shall also provide the required verification of identity (28 CFR 16.41(d)) and provide a return address for transmitting the information. Access requests will be directed to the System Manager listed above, Attention: FOI/PA Officer.

Contesting record procedures:

Individuals desiring to contest or amend information maintained in the system should direct their request to the System Manager listed above, stating clearly and concisely what information is being contested, the reason for contesting it and the proposed amendment to the information sought.

Record source categories:

Federal agencies requesting special deputations provide all necessary information required by the Marshals Service in making the special deputations.

Systems exempted from certain provisions of the act:

None.

JUSTICE/USM-005

System name:

Special Detail System.

System location:

United States Marshals Service (USMS), Department of Justice, One Tysons Corner Center, McLean, Virginia 22102. Each of the 94 district offices maintain their own files.

Categories of individuals covered by the system:

Deputy United States Marshals.

Categories of records in the system:

Records maintained in this system include a compilation of deputies' special assignments; e.g., civil disturbances, special trials, witness security, process serving, etc.

Authority for maintenance of the system:

28 U.S.C. 509, 510, and 569; 5 U.S.C. 301; 44 U.S.C. 3101; and, 28 CFR 0.111 (a) through (g).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The Special Detail System provides background data on what details were made; who went where, etc. This information may be used in Civil Service Commission hearings and court cases involving the Marshals Service or its personnel.

Records or information may be disclosed as a routine use in a proceeding before a Court or adjudicative body before which the USMS is authorized to appear when any of the following is a party to litigation or has an interest in litigation and such records are determined by the USMS to be arguably relevant to the litigation: The USMS or any of its subdivisions; any USMS employee in his or her official capacity, or in his or her individual capacity where the Department of Justice agrees to represent the employee; or the United States where the USMS determines that the litigation is likely to affect it or any of its subdivisions.

Release of information to the news media:

Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available from systems of records maintained by the Department of Justice unless it is determined that released of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Release of Information to Members of Congress:

Information contained in systems of records maintained by the Department of Justice, not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and at the request of the individual who is the subject of the record.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Release of information to the National Archives and Records Administration. A record from a system of records may be disclosed as a routine use to the National Archives and Records Administration (NARA) in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are kept in standard file folders.

Retrievability:

Records are retrieved by name of deputy.

Safeguards:

Records are kept in a locked file cabinet.

Retention and disposal:

Dispose after 10 years; transfer to Federal Records Center after 3 years.

System manager(s) and address:

Chief, Office of Special Assignments, U.S. Marshal Service, U.S. Department of Justice, One Tysons Corner Center, McLean, Virginia 22102.

Notification procedure:

Address inquiries to: System Manager.

Record access procedures:

A request for access to a record from this system shall be made in writing with the envelope and the letter clearly marked "Privacy Access Request." It should clearly indicate name of the requestor, the nature of the record sought and approximate dates covered by the record. The requestor shall also provide a return address for transmitting the information. Access requests will be directed to the System Manager listed above.

Contesting record procedures:

Individuals desiring to contest or amend information maintained in the system should direct their request to the System Manager listed above, stating clearly and concisely what information is being contested, the reasons for contesting it, and the proposed amendment to the information sought.

Record source categories:

Information provided by designated U.S. Marshals Service Personnel in each district who work on special details.

Systems exempted from certain provisions of the act:

None.

JUSTICE/USM-006

System name:

United States Marshals Service Training Files (Justice/USM-006).

System location:

a. Primary system: Associate Director for Administration, U.S. Marshals Service (USMS), 600 Army Navy Drive, Arlington, Virginia 22202-4210.

b. Decentralized segments: Individual training files and the Fitness in Total (FIT) Program training assessment files, identified as items (1) and (3) under "Category of Records in the System," are located also at the USMS Training Academy, Department of Justice, Building 70, Glynco, Georgia 31524. Each district office of the USMS maintains FIT files only on their respective participants in the FIT Program (See Appendix).

Categories of individuals covered by the system:

USMS employees.

Categories of records in the system:

(1) Individual training files contain information on the individual's educational background and employee training history, and an individual career development plan: (2) Skills files identify languages and other special skills possessed by the individual USMS employee: and (3) individual FIT Program training assessment files contain records on physical and medical examinations, blood tests, health histories, physical assessments, and administrative records on participation, goal setting and progress while in the program. The Certificate of Medical Examination (SF-78) is maintained in the primary system at USMS Headquarters only unless obtained and placed in the district file by the individual FIT participant.

Authority for maintenance of the system:

28 U.S.C. 509, 510 and 569; 5 U.S.C. 301; 44 U.S.C. 3101; and 28 CFR 0.111(h).

Purpose(s):

Individual training files are used to make employment, promotion, or retention determinations for all Deputy U.S. Marshals; to develop training histories; and to determine training and/or promotion eligibility. In addition, FIT Program training assessment files are used to make hiring/retention determinations for Deputy U.S. Marshal personnel entering on duty as of July 1, 1984 and later; to determine employees' eligibility to participate in the program; to tailor an individual fitness program for each employee; to chart employee progress in the program; to determine the need for and to chart progress toward weight reduction; to develop physical fitness standards for performance appraisal purposes; and to examine statistically the physical fitness level of the USMS workforce against law enforcement populations and the general population of the United States. Skills files are used to identify special skills and language abilities possessed by personnel to aid in staffing special assignments which require such skills.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Records or information may be disclosed as a routine use

(a) In a proceeding before a court or adjudicative body before which the USMS is authorized to appear when any of the following is a party to litigation or has an interest in litigation and such records are determined by the USMS to be arguably relevant to the litigation: The USMS or any of its subdivisions; any USMS employee in his or her official capacity, or in his or her individual capacity where the Department of Justice agrees to represent the employee; or the United States where the USMS determines that the litigation is likely to affect it or any of its subdivisions.

(b) To the news media and the public pursuant to 28 CFR 50.2 unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

(c) To congressional members or staff on behalf of constitutents.

(d) To the National Archives and Records Administration and to the General Services Administration in records management inspections conducted under the authority of Title 44 of the United States Code.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Originals of paper records contained in this system are kept in standard file cabinets. Skills files, summaries of FIT Program training assessment records, and duplicates of paper records are stored on magnetic discs.

Retrievability:

Records are retrieved by name of employee.

Safeguards:

Records are maintained in metal filing cabinets which are locked during nonduty hours. Entry to headquarters is restricted by 24-hour guard service to employees with official and electronic identification. Entry to the Training Academy and district offices is restricted generally to trainees/employees with official identification. Access to computerized records in this system is restricted to the responsible headquarters employees by assigned code.

Retention and disposal:

Files are maintained until the employee leaves the USMS at which time paper records are shredded and magnetic discs are erased.

System manager(s) and address:

The system manager is the Associate Director for Administration, U.S. Marshals Service, 600 Army Navy Drive, Arlington, Virginia 22202–4210.

Notification procedure:

Direct inquires to the system manager identified above, Attention: FOI/PA Officer. Clearly mark the letter and envelope "Freedom of Information/Privacy Act Request."

Record access procedures:

Make all requests for access in writing and clearly mark letter and envelope "Freedom of Information Act/Privacy Act Request." Clearly indicate name of the requester, nature of the record sought, approximate dates of the records, and provide the required verification of identity (28 CFR 16.41(d)). Direct all requests to the system manager identified above, Attention; FOI/PA Officer, and provide a return address for transmitting the information.

Contesting record procedures:

Direct all requests to contest or amend information to the system manager listed above. State clearly and concisely the information being contested, the reasons for contesting it, and the proposed amendment to the information sought. Clearly mark the letter and envelope "Freedom of Information Act/Privacy Act Request."

Record source categories:

Information contained in this system is collected from the individual, training personnel, the Combined Federal Law Enforcement Training Academy, examining physicians, fitness coordinators, and personnel records.

Systems exempted from certain provisions of the act:

None.

JUSTICE/USM–007

System name:

Warrant-Information System.

System location:

Primary System: Enforcement Operations Division, U.S. Marshals Service (USMS), 600 Army Navy Drive, Arlington, Virginia 22202–4210.

Decentralized Segments: Each district office of the U.S. Marshals Service (USMS) maintains their own files. See Appendix.

Categories of individuals covered by the system:

Individuals for whom Federal warrants have been issued.

Categories of records in the system:

The warrant and other court records and internal correspondence related to the warrant; biographical data including physical description, photograph and criminal history; wanted flyers/posters and investigative reports reflecting patterns of activity, leads developed, statements of witnesses and other persons cooperating with USMS fugitive investigations. Investigative reports and criminal record information from other Federal, State, local and foreign law enforcement agencies participating in or cooperating with USMS fugitive investigations and apprehension efforts are also included in this system.

Authority for maintenance of the system:

28 USC 509, 510 and 569; 28 CFR 0.111(a).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Records of information may be disclosed (a) to public and private organizations, individuals, and Federal, State, local, and foreign agencies to the extent necessary to obtain information or cooperation in USMS fugitive investigations and apprehension efforts; (b) upon request, to the appropriate Federal, State, local, or foreign law enforcement agency responsible for investigating, prosecuting, enforcing, defending, or implementing a status, rule, regulation, or order, to the extent that the information is relevant to the recipient's function; (c) without a request, to an appropriate Federal, State or local law enforcement agency where there is an indication of an actual or potential violation of civil or criminal laws, statutes, rules, or regulations within the jurisdiction of the recipient agency; (d) in a proceeding before a court or adjudicative body before which the USMS is authorized to appear when any of the following is a party to litigation or has an interest in litigation and such records are determined by the USMS to be arguably relevant to the litigation: The USMS or any of its subdivisions; any USMS employee in his or her official capacity, or in his or her individual capacity where the Department of Justice agrees to represent the employee; or the United States where the USMS determines that the litigation is likely to affect it or any of its subdivisions; (e) to the news media and the public pursuant to 28 CFR 50.2 unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy; (f) to a Member of Congress of staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and at the request of the individual who is the subject of the record; (g) to the National Archives and Records Administration and to the General Services Administration in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are stored on Roladex Cards and in standard file folders. Duplicate copies of paper records are stored on magnetic discs.

Retrievability:

Records are retrieved by individual names.

Safeguards:

Access is restricted to personnel in the Enforcement Operations Division and in each district's U.S. Marshals office. Records are maintained in metal file cabinets within supervised areas of the U.S. Marshal's Offices. District Offices are locked during working and non-duty hours and entry is restricted to employees with official identification.

Retention and disposal:

Records are kept in operating file until warrant is executed and then transferred to closed files, where they are indefinitely kept.

System manager(s) and address:

Chief, Enforcement Operations Division, U.S. Marshals Service, U.S. Department of Justice, 600 Army Navy Drive, Arlington, Virginia 22202–4210.

Record source categories:

Information is obtained from the courts, Federal, State, local and foreign law enforcement agencies, public and private organizations, witnesses, informants and other persons interviewed during the course of the fugitive investigation.

Systems exempted from certain provisions of the act:

The Attorney General has exempted this system from subsection (c)(3) and (4), (d), (e) (1), (2) and (3), (e)(4) (G) and (H), (e)(5), (e)(8), (f) and (g) of the Privacy Act pursuant to 5 U.S.C. 552a(j). (2) Rules have been promulgated in accordance with the requirements of 5 U.S.C. 553(b), (c) and (e) and have been published in the Federal Register.

JUSTICE/USM-008

System name:

Witness Security Files Information System.

System location:

Witness Security Division, United States Marshals Service (USMS), Department of Justice, 600 Army Navy Drive, Arlington, Virginia 22202-4210.

Categories of individuals covered by the system:

Government witnesses who are participants in the Federal Witness Security Program.

Categories of records in the system:

(1) Request to enter program; (2) background information (education, experience, medical history, names, relatives, etc); (3) funding information; (4) moving information; (5) documentation of all the above.

Authority for maintenance of the system:

Authority for the Witness Security Program is 28 U.S.C. 509, 510 and 569; 5 U.S.C. 301; 44 U.S.C. 3101; 28 CFR 0.111(c); 28 U.S.C. 524; 18 U.S.C. 3521.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Records may be used by U.S. Marshals Service personnel as working files to plan and accomplish major functions of witness security e.g. protection of government witnesses and their families. Records or information may be disclosed as follows:

(a) In a proceeding before a Court or adjudicative body before which the USMS is authorized to appear when any of the following is a party to litigation or has an interest in litigation and such records are determined by the USMS to be arguably relevant to the litigation: The USMS or any of its subdivisions; any USMS employee in his or her official capacity, or in his or her individual capacity where the Department of Justice agrees to represent the employee; or the United States where the USMS determines that the litigation is likely to affect it or any of its subdivisions.

(b) To the news media and the public pursuant to 28 CFR 50.2 unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

(c) To a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and at the request of the individual who is the subject of the record.

(d) The National Archives and Records Administration and to the General Services Administration in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are kept in file folders.

Retrievability:

Filed according to ID special number.

Safeguards:

Locked files limited access—(Witness Security Personnel).

Retention and disposal:

All records at this time are being indefinitely maintained.

System manager(s) and address:

Chief Witness Security Division, U.S. Marshals Service, U.S. Department of Justice, 600 Army Navy Drive, Arlington, Virginia 22202-4210.

Record access procedures:

All identifying background criteria of individual; (1) education; (2) job history; (3) medical history; (4) history of residence; (5) relatives, etc.

Systems exempted from certain provisions of the act:

The Attorney General has exempted this system from subsections (c) (3) and (4), (d), (e) (2) and (3), (e)(4) (G) and (H), (e)(8), (f)(2) and (g) of the Privacy Act pursuant to 5 U.S.C. 552a(j)(2). Rules have been promulgated in accordance with the requirements of 5 U.S.C. 553 (b), (c) and (e) and have been published in the Federal Register.

JUSTICE/USM-009

System name:

U.S. Marshals Service Threat Analysis Information System.

System location:

Threat Analysis, Division, U.S. Marshals Service (USMS), 600 Army Navy Drive, Arlington, Virginia 22202-4210.

Categories of individuals covered by the system:

Individuals who have directly threatened or pose a violent threat to Government witnesses, U.S. Attorneys and their assistants, Federal Jurists and other court officials, U.S. Marshals, deputies and other law enforcement officers; to courtroom security; and to Federal property and buildings.

Categories of records in the system:

Manual and automated indices contain abbreviated data, e.g., case number, name, social security number, known aliases, address, telephone number, descriptive physical data, an indication of the means by which the threat was issued, and the date of the threat. In addition to the abbreviated data named above, the complete file may contain criminal record information—in particular, known history of violence and skills related to the nature of the threat, associations with dangerous/outlaw gangs or violent extremist groups; and threat-related, investigative information furnished by other Federal, State and local law enforcement agencies.

Authority for maintenance of the system:

28 U.S.C. 509, 510, and 569; 5 U.S.C. 301; 44 U.S.C. 3101; and 28 CFR 0.111(c) through (f).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

USMS officials responsible for conducting threat analysis and for planning and carrying out security operations access this information. Records or information may be disclosed:

(a) To other appropriate Federal, State and local law enforcement agencies in connection with actual or potential violation of criminal or civil laws, statutes, or regulations, or in conjunction with investigative or litigative responsibilities of the recipient agency, or to the extent that disclosure is necessary to obtain additional threat-related information or to develop protective measures.

(b) To other law enforcement agencies to develop protective measures where a specific threat is posed to their members; and to an individual or organization where the recipient is or could become the target of a specific threat.

(c) In a proceeding before a court or adjudicative body before which the USMS is authorized to appear when any of the following is a party to litigation or has an interest in litigation and such records are determined by the USMS to be arguably relevant to the litigation; the USMS or any of its subdivisions; any USMS employee in his or her official capacity or in his or her individual capacity where the Department of Justice agrees to represent the employee; or the United States where the USMS determines that the litigation is likely to affect it or any of its subdivisions.

(d) To the news media and the public pursuant to 28 CFR 50.2 unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

(e) As is necessary to appropriately respond to congressional inquiries on behalf of constituents.

(f) To the National Archives and Records Administration and to the General Services Administration in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

An index record is stored on index cards and magnetic disks. Original paper records are kept in file folders.

Retrievability:

Records are indexed and retrieved by name.

Safeguards:

Access to computerized records is restricted to Threat Analysis Division personnel by assigned code. In addition, records are stored in locked metal filing cabinets during off-duty hours. The records are located in a restricted area and USMS Headquarters is under 24-hour guard protection with entry controlled by official and electronic identification.

Retention and disposal:

Records are maintained indefinitely until a detailed records retention plan and disposal schedule is developed by MARA and the USMS.

System manager(s) and address:

Chief, Threat Analysis Division, U.S. Marshals Service, 600 Army Navy Drive, Arlington, Virginia 22202-4210.

Notification procedure:

Direct all inquiries to the system manager identified above. Clearly mark the letter and envelope "Freedom of Information/Privacy Act Request."

Record access procedures:

Make all requests for access in writing and clearly mark letter and envelope "Freedom of Information/Privacy Act Request." Clearly indicate name of the requester, nature of the record sought, approximate date of the record, and provide the required verification of identity (28 CFR 16.4(d)). Direct all requests to the system manager identified above. Attention: FOI/PA Officer, and provide a return address for transmitting the information.

Contesting record procedures:

Direct all requests to contest or amend information to the system manager identified above. State clearly and concisely the information being contested, the reason for contesting it, and the proposed amendment to the information sought. Clearly mark the letter and envelope "Freedom of Information/Privacy Act Request."

Record source categories:

Information is obtained from public and confidential sources and from Federal, State and local law enforcement agencies.

Systems exempted from certain provisions of the act:

The Attorney General has exempted this system from subsections (c) (3) and (4), (d), (e) (1), (2) and (3), (e)(4) (G) and (H), (e)(5), (e)(8), (f) and (g) of the Privacy Act pursuant to 5 U.S.C. 552a(j)(2). Rules have been promulgated in accordance with the requirements of 5 U.S.C. 553(b), (c) and (e) and have been published in the Federal Register.

JUSTICE/USMS-010

System name:

Judicial Facility Security Index System.

System location:

Court Security Division, U.S. Marshals Service, (USMS), 600 Army Navy Drive, Arlington, Virginia 22202-4210.

Categories of individuals covered by the system:

Individuals employed, or offered employment as contract court security officers (CSO's) by companies contracting with the USMS to provide judicial area security in Federal courthouses.

Categories of records in the system:

An alphabetical index contains the name, date of birth and social security number of the contracting security firm (employer), completion dates and cost data for limited background investigation and orientation, district of employment, dates contract performance started and ended, posts and hours of duty and the status of employment, i.e., active or inactive. For inactive CSO's; the index contains the reason for inaction, e.g. CSO resigned; applicant rejected based on the preliminary records check; CSO removed base of Office of Personnel Management (OPM) background investigation; etc. In addition to providing abbreviated data, the index assists in locating records on the court security officer related to the initial screening process for eligibility, e.g., application and preliminary checks for arrest records, which are filed under the contract number and name of the contracting security firm (employer). The index also assists in locating files containing OPM reports on the limited background investigation and internal suitability memoranda which are segregated by the categories "active" and "inactive."

Authority for maintenance of the system:

28 U.S.C. 509, 510, and 569; 5 U.S.C. 301; 44 U.S.C. 3101 and 28 CFR 0.111 (c) through (f).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Contracting personnel and court security program officers within the USMS use this system to make security/suitability determinations in the hiring of contract court security officers, to monitor orientation completed, to track costs related to background investigations and attendance at Government-sponsored orientation, to monitor orientation completed, and to monitor contractor performance. Records may be disclosed as follows: Individual cost data may be disclosed to the contractor (employer) in connection with billing and recovering reimbursable costs. In addition, records or information also may be disclosed as follows:

(a) To an appropriate Federal, State or local law enforcement agency to the extent necessary to obtain information on arrests, or to the extent relevant to an actual or potential, criminal or civil investigation, litigation or enforcement proceedings of that agency.

(b) in a proceeding before a court or adjudicative body before which the USMS is authorized to appear when any of the following is a party to litigation or has an interest in litigation and such records are determined by the USMS to be arguably relevant to the litigation: The USMS or any of its subdivisions; any USMS employee in his or her official capacity or in his or her individual capacity where the Department of Justice agrees to represent the employee; or the United States where the USMS determines that the litigation is likely to affect it or any of its subdivisions.

(c) To the news media and the public pursuant to 28 CFR 50.2 unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

(d) To congressional members or staff on behalf of constituents.

(e) To the National Archives and Records Administration and to the General Services Administration in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

An index record is stored on magnetic disks and original paper records are kept in file folders.

Retrievability:

Records are retrieved by name of the contract court security officer.

Safeguards:

Records are stored in locked metal filing cabinets during off-duty hours. Access to computerized records is controlled by restricted code to personnel on a need-to-know basis. Entry to USMS Headquarters is restricted by 24-hour guard service to employees with official and electronic identification.

Retention and disposal:

Records are maintained indefinitely until a detailed records retention plan and disposal schedule is developed by the NARA and the USMS.

System manager(s) and address:

Chief, Court Security Division, U.S. Marshals Service, 600 Army Navy Drive, Arlington, Virginia.

Notification procedure:

Direct all inquiries to the system manager identified above. Clearly mark the letter and envelope "Freedom of Information/Privacy Act Request."

Record access procedures:

Make all requests for access in writing and clearly mark letter and envelope "Freedom of Information/Privacy Act Request." Clearly indicate name of the requester, nature of the record sought, approximate dates of the record, and provide the required verification of identity (28 CFR 16.41(d)). Direct all requests to the system manager identified above. Attention: FOI/PA Officer, and provide a return address for transmitting the information.

Contesting record procedures:

Direct all requests to contest or amend information to the system manager listed above. State clearly and concisely the information being contested, the reasons for contesting it, and the proposed amendment to the information sought. Clearly mark the letter and envelope "Freedom of Information/Privacy Act Request."

Record source categories:

Information contained in this system is collected from the individual, USMS orientation records, other law enforcement agencies, OPM, and from the contractor (employer).

Systems exempted from certain provisions of the act:

The Attorney General has exempted this system from subsections (c)(3) and (d) of the Privacy Act pursuant to 5 U.S.C. 552a(k)(5). Rules have been promulgated in accordance with the requirements of 5 U.S.C. 553 (b), (c) and (e) and have been published in the Federal Register.

JUSTICE/USM-011

System name:

Judicial Protection Information System.

System location:

Court Security Division, U.S. Marshals Service, (USMS), 600 Army Navy Drive, Arlington, Virgina 22202-4210.

Categories of individuals covered by the system:

Individuals who have been directly threatened or are subject to violent threat by virtue of their responsibilities within the judicial system, e.g., U.S. Attorneys and their assistants, Federal jurists and other court officials.

Categories of records in the system:

Manual and automated indices contain abbreviated data, e.g., case number, name of protectee, name of control district and district number, an indication of the type and source of threat, and the means by which the threat was made. In addition to the abbreviated data named above, the complete file may contain descriptive physical data of the protectee, and other information to identify security risks and plan protective measures in advance of or during periods of active protection, e.g., individual practices and routines, including associational memberships. Information regarding the expenditure of funds and allocation of resources assigned to the protectee may also be included in the file to enable officials to develop operating plans to counteract threat situations.

Authority for maintenance of the system:

28 U.S.C. 509, 510 and 569; 5 U.S.C. 301; 44 U.S.C. 3101; and 28 CFR 0.111(c) through (f).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Records or information may be disclosed:

(a) To USMS officials responsible for planning and carrying out security operations.

(b) To other Federal, State and local law enforcement agencies to the extent that disclosure is necessary to develop and/or implement protective measures.

(c) In a proceeding before a court or adjudicative body before which the USMS is authorized to appear when any of the following in a party to litigation and such records are determined by the USMS to be arguably relevant to the litigation: The USMS or any of its subdivisions; any USMS employee in his or her official capacity or in his or her individual capacity where the Department of Justice agrees to represent the employee; or the United States where the USMS determines that the litigation is likely to affect it or any of its subdivisions.

(d) To the news media and the public pursuant to 28 CFR 50.2 unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

(e) Congressional members or staff on behalf of constituents.

(f) To the National Archives and Records Administration and to the General Services Administration in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

An index record is stored on index cards and magnetic tape. Original paper records are kept in file folders.

Retrievability:

Records are indexed and retrieved by name of protectee.

Safeguards:

Access to computerized records is restricted to Court Security Division personnel by assigned user code and password. In addition, records are stored in locked metal cabinets during off-duty hours. The records are located in a restricted area, and USMS Headquarters is under 24-hour guard protection with entry controlled by official and electronic identification.

Retention and disposal:

Records are maintained indefinitely until a detailed records retention plan and disposal schedule is developed by NARA and the USMA.

System manager(s) and address:

Chief, Court Security Division, U.S. Marshals Service, 600 Army Navy Drive, Arlington, Virginia 22202–4210.

Notification procedure:

Direct all inquiries to the system manager identified above. Clearly mark the letter and envelope "Freedom of Information/Privacy Act Request."

Record access procedures:

Make all requests for access in writing and clearly mark letter and envelope "Freedom of Information/Privacy Act Request." Clearly indicate name of the requester, nature of the record sought, approximate dates of the record, and provide the required verification of identity (28 CFR 16.41(d)). Direct all requests to the system manager identified above, Attention: FOI/PA Officer, and provide a return address for transmitting the information.

Contesting record procedures:

Direct all requests to contest or amend information to the system manager identified above. State clearly and concisely the information being contested, the reason for contesting it, and the proposed amendment to the information sought. Clearly mark the letter and envelope "Freedom of Information/Privacy Act Request."

Record source categories:

Information is obtained from individual protectees. Where information is maintained in this system on identified threat sources to a particular protectee, such information is obtained from public and confidential sources and from Federal, State and local law enforcement agencies, and is not retrievable by name or other identifying particular assigned to the threat source.

Systems exempted from certain provisions of the act:

None.

JUSTICE/USM–012

System name:

U.S. Marshals Service Freedom of Information Act/Privacy Act (FOIA/PA) Files.

System location:

Office of Legal Counsel, U.S. Marshals Service, 600 Army Drive, Arlington, Virginia 22202–4210.

Categories of individuals covered by the system:

Individuals who request disclosure of U.S. Marshals Service (USMS) records pursuant to the Freedom of Informations Act (FOIA); individuals who request access to or correction of records maintained in USMS systems of records pursuant to the Privacy Act (PA); and individuals whose FOIA or PA requests have been referred to the USMS by another Department of Justice component or another agency.

Categories of records in the system:

Alphabetical and chronological indices are maintained to aid in the orderly processing of requests and to compile statistical data for annual reports. Indices include such data items as the name and address of the requester; the type of requests; dates on which the request was received, acknowledged and answered; type or final responses; and exemptions used to deny access to records, when applicable. Identifying data, i.e., date and place of birth and social security number, is maintained on PA requesters to verify their identity and ensure proper disclosure. Files contain a record of the FOIA/PA request, along with the response, copies of documents which have been requested, and internal memoranda or other records related to the initial processing of such request, subsequent appeals and/or litigation.

Authority for maintenance of the system:

5 U.S.C. 301 and 44 U.S.C. 3101 to implement the provisions of 5 U.S.C. 552 and 5 U.S.C. 552a.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

A record maintained in this system may be disseminated as a routine use:

(a) To any Department of Justice component for consideration in connection with an FOIA or PA request, appeal, or civil suit pursuant to the Acts,

(b) To a Federal, State or local agency which furnished the record to permit that agency to make a decision as to access or correction, or to consult with that agency to enable the USMS to determine the propriety access or correction.

(c) In a proceeding before a court or adjudicative body before which the USMS is authorized to appear when any of the following is a party to litigation or has an interest in litigation and such records are determined by the USMS to be arguably relevant to the litigation: The USMS or any of its subdivisions, any USMS employee in his or her official capacity or in his or her individual capacity where the Department of Justice agrees to represent the employee; or the United States where the USMS determines that the litigation is likely to affect it or any of its subdivisions. In addition, records or information which is relevant to the subject matter involved in a pending judicial or administrative proceeding may be disclosed in response to a request for discovery or for appearance of a witness.

(d) To the news media and the public pursuant to 28 CFR 50.2 unless it is determined that release of specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

(e) To congressional members or staff on behalf of constituents.

(f) To the National Archives and Records Administration and to the General Services Administration in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Index cards are stored in standard card file boxes. Requests files are stored in standard cabinets. Duplicate copies of paper records are maintained on magnetic discs.

Retrievability:

Records are retrieved by name of requester.

Safeguards:

Access to computerized records is restricted to Office of Legal Counsel personnel. In addition, request files are stored in locked metal filing cabinets within the Office of Legal Counsel, USMS headquarters, during off-duty hours. Access to USMS headquarters is controlled by 24-hour guard service.

Retention and disposal:

Records are destroyed 6 years after final response or appeal determination by the Department of Justice. Office of Information and Privacy; or 3 years after final adjudication by the courts.

System manager(s) and address:

General Counsel, Office of Legal Counsels, U.S. Marshals Service, 600 Army Navy Drive, Arlington, Virginia 22202-4210.

Notification procedure:

Address inquiries to the system manager identified above. Attention: FOIA/PA Officer. Clearly mark the letter and envelope "Freedom of Information Act/Privacy Act Request."

Record access procedures:

Make all requests for access in writing and clearly mark letter and envelope "Freedom of Information/Privacy Act Request." Clearly indicate name of the requester, nature of the record sought, approximate dates of the record, and provide the required verification of identity (28 CFR 16.41(d)). Direct all requests to the system manager identified above. Attention FOI/PA Officer, and provide a return address for transmitting the information.

Contesting record procedures:

Direct all requests to contest or amend information to the system manager listed above. State clearly and concisely what information is being contested, the reasons for contesting it, and the proposed amendment to the information sought. Clearly mark the letter and envelope "Freedom of Information Act/Privacy Act Request."

Record source categories:

The sources of information contained in this system are the individuals making requests, the systems of records searched in the process of responding to requests and other agencies who have referred to the USMS those requests for access to or correction of USMS records.

Systems exempted from certain provisions of the act:

The Attorney General has exempted certain categories of records in this system from subsections (c)(3) and (4); (d); (e)(1), (2) and (3); (e)(4) (G) and (H); (e)(5); (e)(8); (f) and (g) of the Privacy Act pursuant to 5 U.S.C. 552a (j)(2), (k)(2) and (k)(5). The system is exempted pursuant to subsections (j)(2) and (k)(2) only to the extent that the records there reflect criminal and civil law enforcement and investigative information. The system is exempted pursuant to subsection (k)(5) only to the extent necessary to protect confidential sources. Rules have been promulgated in accordance with the requirements of 5 U.S.C. 553(b), (c) and (e) and have been published in the Federal Register.

JUSTICE/USM-013

System name:

U.S. Marshals Service Administrative Proceedings, Claims and Civil Litigation Files.

System location:

Office of Legal Counsel, U.S. Marshals Service (USMS), 600 Army Navy Drive, Arlington, Virginia 22202-4210.

Categories of individuals covered by the system:

Individuals who have filed tort and employee claims against the USMS; individuals who have initiated administrative proceedings against the USMS; individuals who have filed civil suits naming the USMS and/or personnel as defendants, including those suits arising from authorized criminal law enforcement activities; and individuals named as defendants in Federal Court actions initiated by the USMS.

Categories of records in the system:

In addition to the names of individuals covered by the system and the titles of cases, index cards contain certain summary data, e.g., a summary of correspondence and pleadings received in a case, names of parties involved; name of attorney handling the case or matter, court in which action is brought, civil action number, and an indication of whether the case is open or closed, thereby facilitating location of the complete file. Cases or matters include adverse actions, grievances, unfair labor practice charges, tort claims, Equal Employment Opportunity and other employee claims, and suits against USMS employees in their official capacities, etc. Files contain correspondence/claim forms submitted by claimants and internal reports and related documents concerning the merits of the claim, attorney or staff recommendations and findings related to claim; records on actions taken by USMS giving rise to appeals, attorney notes, recommendations and strategy for defending appeals; copies of civil actions filed and criminal investigative records related to the action e.g., criminal investigative reports relating the underlying criminal matter which relates to or constitutes the basis of the claim or suit (including those from non-Federal law enforcement participants in USMS criminal or civil law enforcement activities), witness statements, reports of interviews, exhibits, attorney notes, pleadings, and recommendations and strategy for defending civil actions.

Authority for maintenance of the system:

5 U.S.C. 301 and 44 U.S.C. 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Records maintained in this system of records may be disseminated as follows:

(a) To any component of the Department of Justice for consideration in connection with the case or matter to which the record relates;

(b) To the appropriate Federal, State or local agency responsible for investigating, prosecuting or defending an action where there is an indication of actual or potential violation of criminal or civil laws or regulations or civil liability of any government action;

(c) To any Federal, State or local agency, organization or individual to the extent necessary to elicit information or witness cooperation if there is reason to believe the recipient possesses information related to the case or matter;

(d) In a proceeding before a court or adjudicative body before which the USMS is authorized to appear when any of the following is a party to litigation or has an interest in litigation and such records are determined by the USMS to be arguably relevant to the litigation: The USMS or any of its subdivisions; any USMS employee in his or her individual capacity where the Department of Justice agrees to represent the employee; or the United States where the USMS determines that the litigation is likely to affect it or any of its subdivisions;

(e) To a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the conducting of a security or suitability investigation of an individual, the classifying of jobs, the letting of a contract or the issuance of a grant, license or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter;

(f) To respond to a request for discovery or for appearance of a witness when the information is relevant to the subject matter involved in a pending judicial or administrative proceeding.

(g) To the news media and the public pursuant to 28 CFR 50.2 unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

(h) To congressional members or staff on behalf of constituents.

(i) To the National Archives and Records Administration and to the General Services Administration in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Index cards are stored in standard card file boxes. Administrative claim appeal and litigation files are stored in standard file cabinets. Duplicate copies of paper records are stored on magnetic discs.

Retrievability:

Records are retrieved by name of claimant or litigant, or by caption of civil action or administrative proceeding.

Safeguards:

Access to computerized records is restricted to Office of Legal Counsel personnel. In addition, files are stored in locked metal filing cabinets within the Office of Legal Counsel, USMS headquarters, during off-duty hours. Access to USMS headquarters in controlled by 24-hour guard service.

Retention and disposal:

Index cards are retained indefinitely. Claim files are destroyed after 7 years. Litigation files are destroyed after 10 years. Cases designated by the General Counsel as significant or precedential are retained indefinitely.

System manager(s) and address:

General Counsel, Office of Legal Counsel, U.S. Marshals Service, 600 Army Navy Drive, Arlington, Virginia 22202-4210.

Notification procedure:

Address inquiries to the system manager identified above, Attention: FOI/PA Officer. Clearly mark the letter and envelope "Freedom of Information/Privacy Act Request."

Record access procedures:

Make all requests for access in writing and clearly mark letter and envelope "Freedom of Information/Privacy Act Request." Clearly indicate name of the requester, nature of the record sought, approximate dates of the records, and provide the required verification of identity (28 CFR 16.41(d)). Direct all requests to the system manager identified above. Attention: FOI/PA Officer, and provide a return address for transmitting the information.

Contesting record procedures:

Direct all requests to contest or amend information to the system manager listed above. State clearly and concisely what information is being contested, the reason for contesting it, and the proposed amendment to the information sought. Clearly mark the letter and envelope "Freedom of Information Act/Privacy Act Request."

Record source categories:

The sources of information contained in this system are the individual claimant/litigant, USMS officials, law enforcement agencies, statements of witnesses and parties, transcripts of depositions and court proceedings, administrative hearings and arbitrations, and work product of staff attorneys and legal assistants working on a particular case or matter.

Systems exempted from certain provisions of the act:

The Attorney General has exempted certain categories of records in this system from subsections (c) (3) and (4); (d); (e) (2) and (3); (e)(4) (G) and (H); (e)(8); (f) and (g) of the Privacy Act pursuant to 5 U.S.C. 552a (j)(2) and (k)(5). The system is exempted pursuant to subsection (j)(2) only to the extent that information in a record pertaining to a particular individual relates to a criminal investigation which relates to or constitutes the basis of a particular suit or claim. The system is exempted pursuant to subsection (k)(5) only to the extent necessary to protect a confidential source. Rules have been promulgated in accordance with the requirements of 5 U.S.C. 553 (b), (c) and (e) and have been published in the Federal Register.

JUSTICE/USM-999

Appendix to U.S. Marshals Service Systems of Records, Official Addresses of United States Marshals.

Northern Alabama
1729 5th Avenue, North, Room 240, Birmingham, Alabama 35203
Middle Alabama
P.O. Drawer 4249, Montgomery, Alabama 36103
Southern Alabama
P.O. Box 343, Mobile, Alabama 36601
District of Alaska
U.S. Courthouse & Federal Building, 222 W. 7th Avenue, No. 28, Anchorage, Alaska 99513-7568
District of Arizona
8204 U.S. Courthouse, 230 North First Avenue, Phoenix, Arizona 85025
Eastern Arkansas
P.O. Box 8, Little Rock, Arkansas 72203
Western Arkansas
P.O. Box 2625, Fort Smith, Arkansas 72902
Northern California
20005 U.S. Courthouse, 450 Golden Gate Avenue, San Francisco, California 94102
Eastern California
1020 U.S. Courthouse, 750 Capitol Mall, Sacramento, California 95814
Central California
U.S. Courthouse, 312 North Spring Street G-23, Los Angeles, California 90012-4798
Southern California
LLB-71 U.S. Courthouse, 940 Front Street, San Diego, California 92189
District of Colorado
Drawer 3599, Denver, Colorado 80294
District of Connecticut
P.O. Box 904, New Haven, Connecticut 06504
District of Delaware
4311 U.S. Courthouse, 844 King Street, Wilmington, Delaware 19801
District of Columbia
1103 U.S. Courthouse, 3rd & Constitution Avenue, N.W., Washington, D.C. 20001
District of Columbia Superior Court
Superior Courthouse, 500 Indiana Avenue, N.W., Room C-250, Washington, D.C. 20001
Northern Florida
P.O. Box 10229, Tallahassee, Florida 32302
Middle Florida
P.O. Box 2907, Tampa, Florida 33601-2907
Southern Florida
205 Federal Courthouse Square, 301 North Miami Avenue, Miami, Florida 33218-7785
Northern Georgia
1669 Federal Building, 75 Spring Street, S.W., Atlanta, Georgia 30303
Middle Georgia
P.O. Box 7, Macon, Georgia 31202
Southern Georgia
P.O. Box 9765, Savannah, Georgia 31412
District of Guam
507 Pacific News Building, 238 Archbishop Flores Street, Agana, Guam 96910
District of Hawaii
P.O. Box 50184, Honolulu, Hawaii 96850
District of Idaho
741 U.S. Courthouse, 550 West Fort Street, Boise, Idaho 83724
Northern Illinois
219 S. Dearborn Street, Room 2444, Chicago, Illinois 60604
Southern Illinois
127 U.S. Courthouse, 750 Missouri Avenue, East St. Louis, Illinois 62201
Central Illinois
P.O. Box 156, Springfield, Illinois 62705
Northern Indiana
233 Federal Building, 204 South Main Street, South Bend, Indiana 46624
Southern Indiana
P.O. Box 44803, Indianapolis, Indiana 46244
Northern Iowa
320 Federal Building, 101 1st Street SE, Cedar Rapids, Iowa 52401
Southern Iowa
208 U.S. Courthouse, East First & Walnut Streets, Des Moines, Iowa 50309
District of Kansas
456 Federal Building, 444 Southeast Quincy, Topeka, Kansas 66683
Eastern Kentucky
P.O. Box 30, Lexington, Kentucky 40501
Western Kentucky
114 U.S. Courthouse, 601 West Broadway, Louisville, Kentucky 40202
Eastern Louisiana
C-600 U.S. Courthouse, 500 Camp Street, New Orleans, Louisiana 70130
Middle Louisiana
P.O. Box 3653, Baton Rouge, Louisiana 70821
Western Louisiana
P.O. Box 53, Shreveport, Louisiana 71161-0053
District of Maine
P.O. Box 349 DTS, Portland, Maine 04112
District of The Northern Mariana Islands
P.O. Box 570, Susupe, Saipan 96950
District of Maryland
605 U.S. Courthouse, 101 West Lombard Street, Baltimore, Maryland 21201
District of Massachusetts
P.O. Box 352, Boston, Massachusetts 02101
Eastern Michigan
120 Federal Building, 231 West Lafayette Street, Detroit, Michigan 48226
Westen Michigan
514 Federal Building, 110 Michigan Avenue, Grand Rapids, Michigan 49503
District of Minnesota
523 U.S. Courthouse, 110 South 4th Street, Minneapolis, Minnesota 55401
Northern Mississippi
P.O. Box 887, Oxford, Mississippi 38655

Southern Mississippi
P.O. Box 959, Jackson, Mississippi 39205
Eastern Missouri
108 U.S. Courthouse, 1114 Market Street, St. Louis, Missouri 63101
Western Missouri
509 U.S. Courthouse, 811 Grand Avenue, Kansas City, Missouri 64106
District of Montana
5110 Federal Building, 316 North 26th Street, Billings, Montana 59101-1362
District of Nebraska
P.O. Box 1477, Omaha, Nebraska 68101
District of Nevada
P.O. Box 16039, Las Vegas, Nevada 89101
District of New Hampshire
P.O. Box 1435, Concord, New Hampshire 03302
District of New Jersey
P.O. Box 186, Newark, New Jersey 07101
District of New Mexico
P.O. Box 444, Albuquerque, New Mexico 87103
Northern New York
213 Federal Building, 10 Broad Street, Utica, New York 13501
Eastern New York
172 U.S. Courthouse, 225 Cadman Plaza East, Brooklyn, New York 11201
Southern New York
114 U.S. Courthouse Annex, 1 St. Andrew's Plaza, New York, New York 10007
Western New York
129 U.S. Courthouse, 68 Court Street, Buffalo, New York 14202
Eastern North Carolina
P.O. Box 25640, Raleigh, North Carolina 27611
Middle North Carolina
P.O. Box 1528, Greensboro, North Carolina 27402
Western North Carolina
P.O. Box 710, Ashevile, North Carolina 28802
District of North Dakota
P.O. Box 2425, Fargo, North Dakota 58108-2425
Northern Ohio
B-1 U.S. Courthouse, 201 Superior Avenue, Cleveland, Ohio 44114
Southern Ohio
P.O. Box 688, Cincinnati, Ohio 45201
Northern Oklahoma
P.O. Box 1097, Tulsa, Oklahoma 74101
Eastern Oklahoma
P.O. Box 738, Muskogee, Oklahoma 74402
Western Oklahoma
P.O Box 886, Oklahoma City, Oklahoma 73101
District of Oregon
420 U.S. Courthouse, 620 Southeast Main Street, Portland, Oregon 97205-3087
Eastern Pennsylvania
2110 U.S. Courthouse, 601 Market Street, Philadelphia, Pennsylvania 19106
Middle Pennsylvania
P.O. Box 310, Scranton, Pennsylvania 18501
Western Pennsylvania
539 U.S. Courthouse, 7th & Grant Streets, Pittsburgh, Pennsylvania 15219
District of Puerto Rico
P.O. Box 3748, San Juan, Puerto Rico 00904
District of Rhode Island
P.O. Box 1524, Providence, Rhode Island 02901
District of South Carolina
P.O. Box 1774, Columbia, South Carolina 29202
District of South Dakota
P.O. Box 1193, Sioux Falls, South Dakota 57101
Eastern Tennessee
P.O. Box 551, Knoxville, Tennessee 37901
Middle Tennessee
866 U.S. Courthouse, 801 Broadway, Nashville, Tennessee 37203
Western Tennessee
1029 Federal Building, 167 North Main Street, Memphis, Tennessee 38103
Northern Texas
1100 Commerce Street, 16F47 Federal Building, Dallas, Texas 75242
Eastern Texas
P.O. Box 299, Tyler, Texas 75710
Southern Texas
P.O. Box 61608, Houston, Texas 77208
Western Texas
235 U.S. Courthouse, 655 East Durango Boulevard, San Antonio, Texas 78206
District of Utah
P.O. Box 1234, Salt Lake City, Utah 84110
District of Vermont
621 Federal Building, Elmwood Avenue & Pearl Street, Burlington, Vermont 05402
Eastern Virginia
104 Federal Building, P.O. Box 20227-22320, 200 South Washington Street, Alexandria, Virginia 22312
Western Virgina
P.O. Box 2280, Roanoke, Virginia 24009
District of the Virgin Islands
P.O. Box 9018, St. Thomas, Virgin Islands 00801
Eastern Washington
P.O. Box 1463, Spokane, Washington 99210
Western Washington
300 U.S. Courthouse, 1010 5th Avenue, Seattle, Washington 98104-1188
Northern West Virginia
P.O. Box 1454, Elkins, West Virginia 26241
Southern West Virginia
P.O. Box 2667, Charleston, West Virginia 25330
Eastern Wisconsin
310 Federal Building, 517 East Wisconsin Avenue, Milwaukee, Wisconsin 53202
Western Wisconsin
440 Federal Courthouse, 120 N. Henry Street, Madison, Wisconsin 53703-2559
District of Wyoming
P.O. Box 768, Cheyenne, Wyoming 82003

UNITED STATES TRUSTEES

JUSTICE/UST-001

System name:

Bankruptcy Case Files and Associated Records.

System location:

The Executive Office for United States Trustees and various offices of the United States Trustees depending upon the judicial district where a case is pending or was administered. (See appendix of addresses identified as JUSTICE/UST-999.)

Categories of individuals covered by the system:

Individuals involved in bankruptcy proceedings (under Chapters 7, 11 and 13 of 11 U.S.C.) subsequent to September 30, 1979, including but not limited to debtors, creditors, bankruptcy trustees, agents representing debtors, creditors, and trustees.

Categories of records in the system:

(a) Petitions/orders for relief, (b) schedules of assets and liabilities of bankrupts, (c) lists of creditors, (d) statements of debtors' financial affairs, (e) docket cards (UST-001, 002, 003, and any alterations thereof), (f) alphabetical cross-reference index cards, (g) general correspondence regarding cases, (h) miscellaneous investigative records, (i) copies of certain petitions, pleadings or other papers filed with the court, including UST recommendations to court for appointment of trustee or examiner in Chapter 11, recommendations for dismissal or conversion, recommendations as to dischargeability, (j) appraisal reports, (k) names of approved despositories and amounts of funds deposited therein, (l) names of sureties and amounts of trustees' bonds, (m) tape or other recordings of creditors meetings called pursuant to Section 341 of Title 11, U.S.C., for the purpose of examination of debtors by creditors, trustee and others, (n) plans filed under Chapter 11 or 13, (o) lists of persons serving as counsel, trustee, or other functionaries in bankruptcy cases, including compensation earned or sought by each, (p) lists of attorneys representing creditors in bankruptcy cases.

Authority for maintenance of the system:

These systems are established and maintained pursuant to 26 U.S.C. 586 and 11 U.S.C., especially Chapter 15 thereof.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The records are used by personnel of the Executive Office and the United States Trustee field offices to determine the existence of a case, to ascertain the status of actions with respect to a case, and to ensure that timely action is taken as appropriate, and to determine the involvement by agents or other representatives of parties in such cases.

As provided in 11 U.S.C. 107, a paper filed in a case and the dockets of the bankruptcy court are public records and open to examination except when the court acts to protect an entity with respect to a trade secret or confidential research, development, or commercial information; or to protect a person with respect to scandalous or defamatory matter contained in a paper filed in a case under title 11. If the court enters such a protective order, that portion of the record is only available upon the consent of the entity, so protected.

In addition, except when the court has moved to protect an entity, the records will be disseminated as a routine use of such records as follows: (1) A record, or any facts derived therefrom, may be disseminated in a proceeding before a court, an adjudicative body or any proceeding relevant to the administration of a case or any proceeding relevant to the administration of a case filed under title 11 of the United States Code in which the United States Trustees are authorized to appear, when (i) the United States Trustees, or (ii) any employee of the United States Trustees in his or her official capacity, or (iii) any employee of the United States Trustees in his or her individual capacity where the Department of Justice has agreed to represent the employee, or (iv) the United States, where the United States Trustees determine that the litigation is likely to affect it or any of its subdivisions, is a party to litigation or has an interest in litigation and such records are determined by the United States Trustees to be arguably relevant to the litigation; (2) a record, or any facts derived therefrom, may be disseminated in a proceeding before a court, an adjudicative body or any proceeding relevant to the administration of a case filed under title 11 of the United States Code in which the United States Trustee is authorized to appear, when the United States, or any agency or subdivision thereof, is a party to litigation or has an interest in litigation and such records are determined by the United States Trustees to be arguably relevant to the litigation.

Release of information to the news media: Information permitted to be released to the news media and the public pursuant to 28 CFR 50.2 may be made available from systems of records maintained by the Department of Justice unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Release of information to Members of Congress: Information contained in systems of records maintained by the Department of Justice, not otherwise required to be released pursuant to 5 U.S.C. 552 et seq., may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and at the request of the individual who is the subject of the record.

Release of Information to the National Archives and Records Administration (NARA) and the General Services Administration (GSA): A record from the system of records may be disclosed to the NARA and GSA for records management inspections conducted under the authority of 44 U.S.C. Secs. 2904 and 2906.

Release of information to law enforcement or regulatory agencies: Information obtained by the U.S. Trustees will be transmitted to appropriate state, local, Federal or other law enforcement or regulatory agencies whenever a U.S. Trustee or the Director, Executive Office for U.S. Trustees or his designee believes that such transmittal in public interest except to the extent that such transmittal would conflict with any immunity granted by a court of competent jurisdiction in accordance with the provisions of Title 11, U.S.C.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

All information, except that specified below in this paragraph is recorded on basic paper/cardboard material and maintained within metal file boxes, file cabinets, electric file/card retrievers or safes. Certain information from the documents, forms, lists and reports described under "categories of records in the system" will be entered into an automated information system and stored on magnetic disks for reproduction in report form at various times. This includes the case number, debtor's names, case status, type of case, assets of estate, dates of reports filed, trustee bonds, debtor's attorney's name and fees, calendar of meetings and hearings, creditor's committee status, plan and schedule due dates, and trustee/examiner names and dates appointed.

Retrievability:

Banks, is maintained alphabetically. (Case files maintained in the Executive Office are assigned sequential file numbers and are cross referenced alphabetically by name of the debtor.) Automated information is retrieved by case number or report number.

Safeguards:

Information contained in the system is unclassified. It is safeguarded and protected in accordance with Departmental rules and procedures governing the handling of office records and computerized information. During duty hours access to this system is monitored and controlled by U.S. Trustee office personnel. During nonduty hours offices are locked.

Retention and disposal:

Maintenance and diposition schedules are being developed within the Executive Office for U.S. Trustees. There is presently no authority to destroy any information within this system except those documents which are duplicates of records for which the bankruptcy courts maintain the official record copies.

System manager(s) and address:

System manager for the system in each office is the U.S. Trustee and in the Executive Office, the Chief, Management and Budget Section. (See appendix of addresses identified as JUSTICE/UST-999.)

Notification procedure:

Address inquiries to the System Manager for the Judicial district in which the case is pending, or was administered. (See appendix of addresses identified as JUSTICE/UST-999.)

Record access procedures:

A request for access to record from this system shall ordinarily be made in person at the U.S. Trustee office in which the case is filed.

Contesting record procedures:

Individual desiring to contest or amend information maintained in the system should direct their request to the System Manager (see appendix of addresses identified as JUSTICE-UST-999), stating clearly and concisely what information is being contested, the reasons for contesting it, and the proposed amendment to the information.

Record source categories:

Sources of information contained in this record are generally limited to debtors, creditors, trustees, examiners, attorneys, and other agents participating in the administration of a case, judges of the bankruptcy courts and employees of the U.S. Trustee offices.

Systems exempted from certain provisions of the act:

None.

JUSTICE/UST-002

System name:

Panel Trustee Application File.

System location:

The Executive Office for United States Trustees and various offices of the United States Trustees depending upon the judicial district where the trustee has made application to the panel. (See appendix of addresses identified as JUSTICE/UST-999.)

Categories of individuals covered by the system:

All applicants for membership on the private panels of trustees eligible to serve as trustees in Chapter 7 bankruptcy cases.

Categories of records in the system:

Panel Trustee Application File (UST-002), may also include resumes, letters of recommendation, notes reflecting oral checking of references, school transcripts, and other supporting information provided by applicants or developed by the U.S. Trustee.

Authority for maintenance of the system:

The systems are established and maintained pursuant to 28 U.S.C. 588(a).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records are used by the individual U.S. Trustee office in which they are maintained. Their sole purpose is for determining the qualifications and eligibility of persons applying to serve as trustees in Chapter 7 bankruptcy cases. The records are reviewed by the Executive Office for U.S. Trustees.

Release of information to members of congress

Information contained in systems of records maintained by the Department of Justice, not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on bahalf of and at the request of the individual who is the subject of the record.

Release of information to the National Archives and Records Administration (NARA) and the General Services Administration (GSA):

A record from the system of records may be disclosed to the NARA and GSA for records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

These records are filed in paper folders in metal filing cabinets.

Retrievability:

Folders are filed alphabetically by the applicant's name.

Safeguards:

Information contained in the system is unclassified. It is safeguarded and protected in accordance with Departmental rules and procedures governing the handling of official records. During duty hours access to this system is monitored and controlled by U.S. Trustee office personnel. During nonduty hours offices are locked.

Retention and disposal:

Maintenance and disposition schedules are being developed within the Executive Office for U.S. Trustees. There is presently no authority to destroy any information within this system.

System manager(s) and address:

System Manager for the System in each office, is the U.S. Trustee and in the Executive Office, the Deputy Director, (See appendix of addresses identified as JUSTICE-UST-999.)

Notification procedure:

Address inquires to the System Manager.

Record access procedures:

A request for access to a record from this system shall be made in writing with the envelope and letter clearly marked "Privacy Access Request".

Contesting record procedures:

Individuals desiring to contest or amend information maintained in the system should direct their request to the System Manager stating clearly and concisely what information is being contested, the reasons for contesting it, and the proposed amendment(s) to the information.

Record source categories:

Information contained in the system is provided by the applicant the applicant's references, and interested third parties.

Systems exempted from certain provisions of the act:

None.

JUSTICE/UST-003

System name:

U.S. Trustee Timekeeping System.

System location:

The Executive Office for United States Trustees and various offices of the United States Trustees depending upon where an employee has been assigned for duty. (See appendix of addresses identified as JUSTICE/UST-999.)

Categories of individuals covered by the system:

Nonclerical employees of the U.S. Trustees' offices.

Categories of records in the system:

The system includes employees' names and a record of their work time by program activity.

Authority for maintenance of the system:

This system is established and maintained pursuant to 11 U.S.C., and 28 U.S.C. 552.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

This system consists of a record of the work time, by program activity, of nonclerical employees of the U.S. Trustee pilot program. The system is used by the EOUST to analyze workload as a basis for requesting and allocating personnel and other resources. This information is compiled in each of the 13 field offices and forwarded to EOUST for analysis.

Release of information to Members of Congress: Information contained in systems of records maintained by the Department of Justice, not otherwise required to be released pursuant to 5 U.S.C. 552, may be made available to a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of and at the request of the individual who is the subject of the record.

Release of Information to the National Archives and Records Administration (NARA) and the General Services Administration (GSA): A record from the system of records may be disclosed to the NARA and GSA for records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are kept on forms UST-4a, UST-4b, UST-4c and UST-4d, which are filed in metal cabinets.

Retrievability:

Information is maintained alphabetically by the name of the employee. In EOUST, duplicate records are maintained and organized by district.

Safeguards:

Information contained in the system is unclassified. It is safeguarded and protected in accordance with Departmental rules and procedures governing the handling of official records. During duty hours access to this system is monitored and controlled by U.S. Trustee office personnel. During nonduty hours offices are locked.

Retention and disposal:

Maintenance and disposition schedules are being developed within the Executive Office for U.S. Trustees. There is presently no authority to destroy any document within this system.

System manager(s) and address:

System Manager for the system in each office, is the U.S. Trustee and in the Executive Office, the Deputy Director. (See appendix of addresses identified as JUSTICE/UST-999.)

Notification procedure:

Address inquiries to the System Manager.

Record access procedures:

A request for access to a record from this system shall be made in writing with the envelope and letter clearly marked "Privacy Access Request".

Contesting record procedures:

Individuals desiring to contest or amend information maintained in the system should direct their request to the System Manager stating clearly and concisely what information is being contested, the reasons for contesting it, and the proposed amendment(s) to the information.

Record source categories:

Nonclerical employees of the U.S. Trustee's offices.

Systems exempted from certain provisions of the act:

None.

JUSTICE/UST-004

System name:

United States Trustee Program Case Referral System, JUSTICE/UST-004.

System location:

Executive Office for United States Trustees (EOUST), United States Department of Justice, Room 812, 320 First Street, NW., Washington, DC 20530. Records may also be located in the various field offices. (See Appendix identified as JUSTICE/UST-999.)

Categories of individuals covered by the system:

This system encompasses entities and individuals involved in the bankruptcy process who are suspected of having engaged in criminal conduct or of having violated other Federal laws, and whose activities have been reported by the U.S. Trustees or EOUST to a U.S. Attorney pursuant to 18 U.S.C. 3057, or to other law enforcement authorities for investigation.

Categories of records in the system:

Records consist of any information about a case filed under Title 11 of the U.S. Code which is the subject of, or is associated with, a referral to law enforcement authorities. Records will consist of any information pertaining to the subject of the referral who may be the debtor himself, or any other individual associated with the bankruptcy case who is suspected of having engaged in criminal conduct or having violated other Federal laws. The information may include the subject's name, address, date of birth, or social security number; a chronological account of the incident(s); the source of the information; names and addresses of witnesses; the law enforcement agency to whom the referral is made; and the status or final disposition of the referral. The system may also contain information about the bankruptcy case with which the subject of the referral is associated. Such information may include the debtor's name, address, social security number; case number and case chapter; the trustee's name, address and phone number; the judge assigned to the case; and such other case data as may be filed in the records of the court or of the U.S. Trustee.

Authority for maintenance of the system:

28 U.S.C. 586, 18 U.S.C. 3057.

Purpose(s):

The purposes of this system are to assist the U.S. Trustees: (1) In supervising the administration of cases and trustees in cases filed under Chapters 7, 11 and 13 of Title 11, U.S. Code, as codified by Title I of the Bankruptcy Reform Act of 1978 (11 U.S.C. 101, et seq.); (2) in carrying out their congressional mandate "to serve as bankruptcy watch-dogs to prevent fraud, dishonesty, and overreaching in the bankruptcy arena" (H.R. Rep. No. 595, 95th Cong., 2d Sess. 88 (1978)); and (3) in complying with 18 U.S.C. 3057 which directs trustees to report for investigation any instance where there are reasonable grounds for believing that there has been a violation of Federal laws relating to insolvent debtors or reorganization plans. The U.S. Trustees and EOUST will inform the appropriate law enforcement authorities when fraud or other violations of Federal law are suspected or discovered in a bankruptcy case and will maintain records thereof described under "Categories of Records in the System." The data will be used for program-wide evaluation purposes, for statistical purposes, and to track the number, type, and outcome of cases referred for investigation.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records may be disclosed to the news media and the public pursuant to 28 CFR 50.2 unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of privacy or would impede an ongoing law enforcement proceeding.

These records may be disclosed to a Member of Congress or staff acting on the Member's behalf when the Member or staff requests the information on behalf of, and at the request of, the individual to whom the records pertain.

These records may be disclosed to members of the judicial branch of the Federal Government where disclosure appears relevant to the authorized function of the recipient judicial office or court system.

These records may be disclosed to any civil or criminal law enforcement authorities, whether Federal, State, local or foreign, for investigation of suspected violations of Federal or State laws. Records may also be disclosed to these law enforcement authorities to assist in ongoing investigations. These records may be disclosed to the National Archives and Records Administration (NARA) and the General Services Administration (GSA) in records management inspections conducted under the authority of Title 44 of the U.S. Code.

These records may be disclosed to a trustee in a case filed under Chapter 7, 11 or 13 of Title 11, U.S. Code, when the U.S. Trustee determines that the release of information is necessary to enable the trustee to properly administer the case and to perform the duties and responsibilities of a case trustee set forth in Title 11 and in 18 U.S.C. 3057.

These records may be disclosed, except when the bankruptcy court has moved to protect an entity as provided in 11 U.S.C. 107, in a proceeding before a court or adjudicative body or any proceeding relevant to the administration of a case filed under Title 11 in which the U.S. Trustee is authorized to appear when (a) the U.S. Trustee, or (b) any employee of the U.S. Trustee in his or her official capacity, or (c) any employee of the U.S. Trustee in his or her individual capacity, where the Department of Justice has agreed to represent the employee, or (d) the United States, or any agency or subdivision thereof, is a party to litigation or has an interest in litigation and such records are determined by the U.S. Trustee to be arguably relevant to the litigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

All records are stored in paper folders in cabinets. All records are also stored on computer disks.

Retrievability:

Computerized records will be retrievable by using any one or various combinations of the assigned case referral number, the judicial district or U.S. Trustee's field office from which the referral is generated, the date of the referral, the debtor's name, the case chapter, the name, social security or employer identification number and date of birth of the individual who is the subject of the referral, the subject's relationship to the debtor, the general nature of the charges and/or the status of the referral. Records stored in paper folders will be filed chronologically by the case referral number.

Safeguards:

Paper folders are stored in a file cabinet which is located inside a room with a bolt lock. The computer disks are located in the same room. Only those persons with a need to know have access to the records.

Retention and disposal:

A detailed records retention plan and disposal schedule is being developed by NARA and EOUST.

System manager(s) and address:

Deputy Director for Legal Services, Executive Office for United States Trustees, United States Department of Justice, Room 812, 320 First Street NW., Washington, DC 20530.

Notification procedure:

Address all inquiries to the system manager. These records will be exempted from subsections (c) (3) and (4); (d); (e) (1), (2) and (3) (e)(4) (G) and (H), (e) (5) and (8); (f) and (g) of the Privacy Act pursuant to 5 U.S.C. 552a (j)(2) and (k)(2).

Record access procedures:

Make all requests for access to records from this system in writing to the system manager and clearly mark both the letter and the envelope "Privacy Act Request." Provide the full name and notarized signature of the individual who is the subject of the request, and a return address.

Contesting record procedures:

Make all requests to correct a record in writing to the system manager. The request must identify the particular record in question, state the correction sought and set forth the justification for correcting or contesting it. These procedures are in accordance with Department regulations (28 CFR 16.50) Federal Register, March 29, 1984, page 12258.

Record source categories:

The records will contain information obtained by or furnished to the U.S. Trustee or EOUST (1) from Federal or State court records; (2) from debtors or debtors' principals, agents or representatives; and (3) from informants and interested third parties.

Systems exempted from certain provisions of the act:

The Attorney General has exempted this system from subsections (c) (3) and (4); (d); (e) (1), (2) and (3), (e)(4) (G) and (H), (e) (5) and (8), (f) and (g) of the Privacy Act pursuant to 5 U.S.C. 552a (j)(2) and (k)(2). Rules have been promulgated in accordance with the requirements of 5 U.S.C. 553 (b), (c) and (e) and have been published in the FEDERAL REGISTER.

JUSTICE/UST-999

System name:

U.S. Trustee Appendix 1—List of Record Retention Addresses:

Executive Office for U.S. Trustees, 320 First Street, N.W., HOLC Building, Room 812, Washington, D.C. 20530
California, Central District: 300 North Los Angeles, Room 3101, Federal Building, Los Angeles, California 90012 and Civic Center Plaza Towers, 600 West Santa Ana Boulevard, Suite 501, Santa Ana, California 92701
Colorado: 1845 Sherman Street, Room 202, Columbine Building, Denver, Colorado 80203
Connecticut: James English Building, 105 Court Street, Room 402, New Haven, Connecticut 06510
Florida, Southern District: Federal Building, 51 Southwest First Avenue, Room 904, Miami, Florida 33130
Florida, Middle and Northern Districts: One Memorial Center, 4921 Memorial Highway, Suite 340, Tampa, Florida 33634
Georgia, Northern and Middle Districts: Russell Federal Building, 75 Spring Street, S.W., Suite 1418, Atlanta, Georgia 30303
Geogia, Southern District: 12 West State Street, P.O. Box 10487, Savannah, Georgia 31412
Illinois, Northern District: 175 West Jackson Bouelvard, Room A-1335, Chicago, Illinois 60604
Iowa, Northern District: The Transportation Center, 426 Second Street, S.E., Room 675, Cedar Rapids, Iowa 52401
Iowa, Southern District: 210 Walnut Street, Suite 517, Des Moines, Iowa 50309
Kansas: 401 North Market Street, United States Courthouse, Room 501, Wichita, Kansas 67202
Maine: 66 Pearl Stret, Room 322, Portland, Maine 04101
Maryland: Flllon Federal Building, 31 Hopkins Plaza, Room G-13, Baltimore, Maryland 21201

Massachusetts, New Hampshire and Rhode Island: Boston Federal Office Building, 10 Causeway Street, Room 472, Boston, Massachusetts 04101 and 595 Main Street, Worcester, Massachusetts 01601
Minnesota, North Dakota, and South Dakota: 110 South Fourth Street, Room 550, United States Courthouse, Minneapolis, Minnesota 55401
New Jersey and Delaware: 60 Park Place, Second Floor, Newark, New Jersey 07102
New Mexico: 320 Central Avenue, S.W, Third Floor, Albuquerque, New Mexico 87103
New York, Southern District: 26 Federal Plaza, Room 306, Federal Building, New York, New York 10007
New York, Northern District and Vermont: P.O. Box 465, United States Post Office and Courthouse, Albany, New York 12201
New York, Western District: 42 Delaware Avenue, Suite 100, Buffalo, New York 14222 and United States Courthouse, 100 State Street, Room 617, Rochester, New York 14614
New York, Eastern District: 825 East Gate Boulevard, Suite 304, Garden City, New York 11530
Oklahoma, Western District: United States Courthouse, 201 Dean A. McGee Avenue, Room 516, Oklahoma City, Oklahoma 73102
Oklahoma, Nortrhern and Eastern Districts: Federal Building, 333 West Forurth Street, Room 3471, Tulsa, Oklahoma 74101
Pennsylvania, Eastern District: United States Customs House, 200 Chestnut Street, Suite 600, Philadelphia, Pennsylvania 10106
Pennsylvania, Western District: Federal Building, 1000 Liberty Avenue, Room 319, Pittsburgh, Pennsylvania 15222
Pennsylvania, Middle District: Federal Building, 228 Walnut Street, Room 1160, Post Office Box 1248, Harisburg, Pennsylvania 17108
Puerto Rico and the Virgin Islands: 105D Chardon Street, Room CH-162, Hato Rey, Puerto Rico 00918
South Carolina: Strom Thurmond Federal Building, 1835 Assembly Street, Room 1272, Columbia, South Carolina 29201
Texas, Northern District: 1100 Commerce Street, United States Courthouse, Room 9C60, Dallas, Texas 75242
Texas, Eastern District: Federal Building, 211 West Ferguson, Suite 208, Tyler, Texas 75701
Utah: Federal Office Building, 125 South State Street, Suite 4425, Salt Lake City, Utah 84138
Virginia, Eastern District: 421 King Street, Room 410, Alexandria, Virginia 22314 and Federal Building, 200 Granby Mall and City Hall Avenue, Suite 744, Norfolk, Virginia 23510
Virginia, Western District: Poff Federal Building, 210 Franklin Road, S.W., Roanoke, Virginia 24011
West Virginia: 22 Capitol Street, First Floor, Charleston, West Virginia 25301
Wisconsin, Western District: 14 West Mifflin Street, Capitol Square, Suite 310, Madison, Wisconsin 53703
Wisconsin, Eastern District: Federal Building, 517 East Wisconsin Avenue, Room 533, Milwaukee, Wisconsin 53202
Wyoming: Federal Office Building, 2121 Capital Avenue, Suite 8010, Chayenne, Wyoming 82003

Title 28-Judicial Administration

Chapter I-Department of Justice

PART 16—PRODUCTION OR DISCLOSURE OF MATERIAL OR INFORMATION

Sec.

Subpart D—Protection of Privacy and Access to Individual Records Under the Privacy Act of 1974

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Subpart E—Exemption of Records Systems Under the Privacy Act

16.70 Exemption of the Office of the Attorney General System—Limited access.
16.71 Exemption of the Office of the Deputy Attorney General System—Limited access.
16.72 Exemption of Office of the Associate Attorney General System—Limited access.
16.73 Exemption of Office of Legal Policy System—limited access.
16.74 Exemption of Office of Intelligence Policy and Review Systems—Limited access.
16.75 [Reserved]
16.76 Exemption of Office of Management and Finance Systems.
16.77 Exemption of United States Trustee Program System—limited access.
16.78 Exemption of the Special Counsel for Immigration-Related, Unfair Employment Practices Systems.
16.79 Exemption of Pardon Attorney Systems.
16.80 Exemption of Office of Professional Responsibility System—limited access.
16.81 Exemption of United States Attorneys Systems—Limited access.
16.82 [Reserved]
16.83 Exemption of the Executive Office for Immigration Review System-Limited access.
16.84 Exemption of Board of Immigration Appeals System.
16.85 Exemption of Board of Parole System—Limited access.
16.86–16.87 [Reserved]
16.88 Exemption of Antitrust Division Systems.
16.89 [Reserved]
16.89 Exemption of Civil Division Systems —limited access.
16.90 Exemption of Civil Rights Division Systems.
16.91 Exemption of Criminal Division Systems—Limited access, as indicated.
16.92 Exemption of Land and Natural Resources Division System—Limited access, as indicated.
16.93 Exemption of Tax Division System—Limited access.
16.94–16.95 [Reserved]
16.96 Exemption of Federal Bureau of Investigation Systems—Limited access.
16.97 Exemption of Bureau of Prisons Systems—Limited access.
16.98 Exemption of Drug Enforcement Administration Systems.
16.99 Exemption of Immigration and Naturalization Service System—Limited access.
16.100 Exemption of Office of Justice Programs—Limited access.
16.101 Exemption of U.S. Marshals Service Systems—Limited access, as indicated.
16.102 Exemption of Drug Enforcement Administration and Immigration and Naturalization Service Joint System of Records.
16.103 Exemption of the INTERPOL-United States National Central Bureau (INTERPOL-USNCB) System.

Authority: 28 U.S.C. 509, 510; 5 U.S.C. 301, 552; 31 U.S.C. 483a unless otherwise noted.

Subpart D—Protection of Privacy and Access to Individual Records Under the Privacy Act of 1974

Source: Order No. 1055–84, 49 FR 12258, Mar. 29, 1984, unless otherwise noted.

§ 16.40 General provisions.

(a) *Purpose and scope.* This subpart contains the regulations of the Department of Justice implementing the Privacy Act of 1974, 5 U.S.C. 552a. The regulations apply to all records which are contained in systems of records maintained by the Department of Justice and which are retrieved by an individual's name or personal identifier. These regulations set forth the procedures by which an individual may seek access under the Privacy Act to records pertaining to him, may request correction of such records, or may seek an accounting of disclosures of such records by the Department. These regulations are applicable to each component of the Department.

(b) *Transfer of law enforcement records.* The head of a component, or his designee, is authorized to make written requests under 5 U.S.C. 552a(b)(7) for transfer of records maintained by other agencies which are necessary to carry out an authorized law enforcement activity of the component.

(c) *Definitions.* As used in this subpart, the following terms shall have the following meanings:

(1) "Agency" has the meaning given in 5 U.S.C. 551(l) and 5 U.S.C. 552a(a)(1).

(2) "Component" means each separate bureau, office, board, division, commission, service, or administration of the Department of Justice.

(3) "Record" means any item, collection, or grouping of information about an individual which is maintained by any component within a system of records and which contains the individual's name, identifying number, symbol, or other identifying particular assigned to the individual, such as a fingerprint, voiceprint, or photograph.

(4) "Request for access" means a request made pursuant to 5 U.S.C. 552a(d)(1).

(5) "Request for correction" means a request made pursuant to 5 U.S.C. 552a(d)(2).

(6) "Request for an accounting" means a request made pursuant to 5 U.S.C. 552a(c)(3).

(7) "Requester" means an individual who makes either a request for access, a request for correction, or a request for an accounting.

(8) "System of records" means a group of any records under the control of any component from which information is retrieved by the name of an individual or by some identifying number, symbol, or other identifying particular assigned to that individual.

§ 16.41 Requests for access to records.

(a) *Procedure for making requests for access to records.* An individual may request access to a record about him by appearing in person or by writing to the component that maintains the record. (Appendix I to this part lists the components of the Department of Justice and their addresses. The "Notice of Records Systems" published by the National Archives and Records Service, General Services Administration, describes the systems of records maintained by all federal agencies, including the Department and its components.) A requester in need of guidance in defining his request may write to the FOIA/PA Section, Justice Management Division, U.S. Department of Justice, 10th Street and Constitution Avenue, NW, Washington, D.C. 20530. A request should be addressed to the component that maintains the requested record. Both the envelope and the request itself should be marked: "Privacy Act Request." Requests for certain historical records of the Department maintained in National Archives and Records Administration must be directed to the General Services Administration in accordance with its regulations.

(b) *Description of records sought.* A request for access to records must describe the records sought in sufficient detail to enable Department personnel to locate the system of records containing the record with a reasonable amount of effort. Whenever possible, a request for access should describe the nature of the record sought, the date of the record or the period in which the record was compiled, and the name or identifying number of the system of records in which the requester believes the record is kept. The Notices the Department publishes in the **Federal Register** describing its components' systems of records may require, in appropriate instances, that requests for access to records describe the records sought with even greater specificity.

(c) *Agreement to pay fees.* The filing of a request for access to a record under this subpart shall be deemed to constitute an agreement to pay all applicable fees charged under § 16.47 up to $25.00. The component responsible for responding to the request shall confirm this agreement in its letter of acknowledgment to the requester. When filing a request, a requester may specify a willingness to pay a greater amount, if applicable.

(d) *Verification of identity.* Any individual who submits a request for access to records must verify his identity in one of the following ways, unless the notice published in the **Federal Register** describing the relevant system of records provides otherwise:

(1) Any requester making a request in writing must state in his request his full name, current address, and date and place of birth. In addition, a requester must provide with his request an example of his signature, which shall be notarized. Sample forms used for such notarized statement of identity may be obtained from the FOIA/PA Section, Justice Management Division, U.S. Department of Justice, 10th Street and Constitution Avenue, NW, Washington, D.C. 20530. In order to facilitate the identification and location of the requested records, a requester may also, at his option, include in his request his Social Security number.

(2) Any requester submitting a request in person may provide to the component a form of official photographic identification, such as a passport or an identification badge. If a requester is unable to produce a form of photographic identification, he may provide to the component two or more acceptable forms of identification (such as a driver's license or credit card) bearing his name and address.

(e) *Verification of guardianship.* The parent or guardian of a minor (or the guardian of a person judicially determined to be incompetent) who submits a request for access to the records of the minor or incompetent must establish:

(1) His own identity and the identity of he subject of the record, as required in paragraph (d) of this section,

(2) That the is the parent or guardian of the subject of the record, which may be proved by providing a copy of the subject's birth certificate showing parentage or by providing a court order establishing the guardianship, and

(3) That he seeks to act on behalf of the subject of the record.

§ 16.42 Responses by components to requests for access to records.

(a) *In general.* Except as otherwise provided in this section, the component that: (1) First receives a request for access to a record, and (2) has possession of the requested record is the component ordinarily responsible for responding to the request.

(b) *Authority to grant or deny requests.* The head of a component, or his designee, is authorized to grant or deny any request for access to a record of that component.

(c) *Initial action by the receiving component.* When a component receives a request for access to a record in its possession, the component shall promptly determine whether another component, or another Government agency, is better able to determine whether the record is exempt, to any extent, from access. If the receiving component determines that it is the component or agency best able to determine whether the record is exempt, to any extent, from access, then the receiving component shall respond to the request. If the receiving component determines that it is not the component or agency best able to determine whether or not the record is exempt from access, the receiving component shall respond to the request, after consulting with the component or agency best able to determine whether or not the record is exempt from access. Under ordinary circumstances, the component or agency that generated or originated a requested record shall be presumed to be the component or agency best able to determine whether or not the record is exempt from access. However, nothing in this section shall prohibit a component that generated or originated a requested record from consulting with another component or agency, if the component that generated or originated the requested record determines that the other component or agency has an interest in the requested record or the information contained therein.

(d) *Law enforcement information.* Whenever a request for access is made for a record containing information which relates to an investigation of a possible violation of criminal law or to a criminal law enforcement proceeding and which was generated or originated by another component or agency, the receiving component shall consult with that other component or agency, as appropriate.

(e) *Classified information.* Whenever a request for access is made for a record containing information which has been classified, or which may be eligible for classification, by another component or agency under the provision of Executive Order 12356 or any other Executive order concerning the classification of records, the receiving component shall refer the responsibility for responding to the request to the component or agency that classified the information or should consider the information for classification. Whenever a record contains information that has been derivatively classified by a component because it contains information classified by another component or agency, the component shall refer the responsibility for responding to the request to the component or agency that classified the underlying information; however, such referral shall extend only to the information classified by the other component or agency.

(f) *Agreements regarding consultations.* No provision of this section shall preclude formal or informal agreements between components, or between a component and another agency, to eliminate the need for consultations concerning requests or classes of requests.

(g) *Processing of requests for access not properly addressed.* A request for access that is not properly addressed as specified in § 16.41(a) of this subpart shall be forwarded to the FOIA/PA Section, Justice Management Division, which shall forward the request to the appropriate component or components for processing. A request not addressed to the appropriate component will be deemed not to have been received by the Department until the FOIA/PA Section has forwarded the request to the appropriate component and that component has received the request, or until the request would have been so forwarded and received with the exercise of reasonable diligence by Department personnel. A component receiving an improperly addressed request from the FOIA/PA Section shall notify the requester of the date on which it received the request.

(h) *Date for determining responsive records.* In determining records responsive to a request for access, a component ordinarily will include only those records within the component's possession and control as of the date of its receipt of the request.

§ 16.43 Form and content of component responses.

(a) *Form of notice granting request for access.* After a component has made a determination to grant a request for access in whole or in part, the component shall so notify the requester in writing. The notice shall describe the manner in which access to the record will be granted and shall inform the requester of any fees to be charged in accordance with § 16.47 of this subpart.

(b) *Form of notice denying request for access.* A component denying a request for access in whole or in part shall so notify the requester in writing. The notice shall be signed by the head of the responsible component, or his designee, and shall include:

(1) The name and title or position of the person responsible for the denial;

(2) A brief statement of the reason or reasons for the denial, including the Privacy Act exemption or exemptions which the component has relied upon in denying the request and a brief explanation of the manner in which the exemption or exemptions apply to each record withheld; and

(3) A statement that the denial may be appealed under § 16.48(a) of this subpart, and a description of the requirements of that subsection.

(c) *Record cannot be located or has been destroyed.* If a requested record cannot be located from the information supplied, or is known or believed to have been destroyed or otherwise disposed of, the component shall so notify the requester in writing.

(d) *Medical records.* When an individual requests medical records pertaining to himself which are not otherwise exempt from individual access, the component may advise the individual that the records will be provided only to a physician, designated by the individual, who requests the records and establishes his identity in writing. The designated physician shall determine which records should be provided to the individual and which records should not be disclosed to the individual because of possible harm to the individual or another person.

§ 16.44 Classified information.

In processing a request for access to a record containing information that is classified or classifiable under Executive Order 12356 or any other Executive order concerning the classification of records, a component shall review the information to determine whether it warrants classification. Information which does not warrant classification shall not be withheld from a requester on the basis of 5 U.S.C. 552a(k)(1). The Office of Information and Privacy shall, upon receipt of any appeal involving classified or classifiable information, take appropriate action to ensure compliance with Part 17 of this chapter.

§ 16.45 Records in exempt systems of records.

(a) *Law enforcement records exempted under subsection (k)(2).* Before denying a request by an individual for access to a law enforcement record which has been exempted from access pursuant to 5 U.S.C. 552a(k)(2), the component must review the requested record to determine whether information in the record has been used or is being used to deny the individual any right, privilege, or benefit for which he is eligible or to which he would otherwise be entitled under federal law. If so, the component shall notify the requester of the existence of the record and disclose such information to the requester, except to the extent that the information would identify a confidential source. In cases where disclosure of information in a law enforcement record could reasonably be expected to identify a confidential source, the record shall not be disclosed to the requester unless the component is able to delete from such information all material which would identify the confidential source.

(b) *Employee background investigations.* When a requester requests access to a record pertaining to a background investigation and the record has been exempted from access pursuant to 5 U.S.C. 552a(k)(5), the record shall not be disclosed to the requester unless the component is able to delete from such record all information which would identify a confidential source.

§ 16.46 Access to records.

(a) *Manner of access.* A component that has made a determination to grant a request for access shall grant the requester access to the requested record either by: (1) Providing the requester with a copy of the record or (2) making the record available for inspection by the requester at a reasonable time and place. The component shall in either case charge the requester applicable fees in accordance with the provisions of § 16.47 of this subpart. If a component provides access to a record by making the record available for inspection by the requester, the manner of such inspection shall not unreasonably disrupt the operations of the component.

(b) *Accompanying person.* A requester appearing in person to review his records may be accompanied by another individual of his own choosing. Both the requester and the accompanying person shall be required to sign a form stating that the Department of Justice is authorized to disclose the record in the presence of both individuals.

§ 16.47 Fees for access to records.

(a) *When charged.* A component shall charge fees pursuant to 31 U.S.C. 9701 and 5 U.S.C. 552a(f)(5) for the copying of records to afford access to individuals unless the component, in its discretion, waives or reduces the fees for good cause shown. A component shall charge fees only at the rate of $0.10 per page. For materials other than paper copies, the component may charge the direct costs of reproduction, but only if the requester has been notified of such costs before they are incurred. Fees shall not be charged where they would amount, in the aggregate, for one request or for a series of related requests, to less than $3.00. However, a component may, in its discretion, increase the amount of this minimum fee.

(b) *Notice of estimated fees in excess of $25.* When a component determines or estimates that the fees to be charged under this section may amount to more than $25, the component shall notify the requester as soon as practicable of the actual or estimated amount of the fee, unless the requester has indicated in advance his willingness to pay a fee as high as that anticipated. (If only a portion of the fee can be estimated readily, the component shall advise the requester that the estimated fee may be only a portion of the total fee.) Where the estimated fee exceeds $25 and a component has so notified the requester, the component will be deemed not to have received the request for access to records until the requester has agreed to pay the anticipated fee. A notice to a requester pursuant to this paragraph shall offer him the opportunity to confer with Department personnel with the object of reformulating his request to meet his needs at a lower cost.

(c) *Form of payment.* Requesters must pay fees by check or money order made payable to the Treasury of the United States.

(d) *Advance deposits.* (1) Where the estimated fee chargeable under this section exceeds $25, a component may require a requester to make an advance deposit of 25 percent of the estimated fee or an advance payment of $25, whichever is greater.

(2) Where a requester has previously failed to pay a fee charged under this part, the requester must pay the component or the Department the full amount owed and make an advance deposit of the full amount of any estimated fee before a component shall be required to process a new or pending request for access from that requester.

§ 16.48 Appeals from denials of access.

(a) *Appeals to the Attorney General.* When a component denies in whole or in part a request for access to records, the requester may appeal the denial to the Attorney General within 30 days of his receipt of the notice denying his request. An appeal to the Attorney General shall be made in writing, addressed to the Office of Information and Privacy, U.S. Department of Justice, 10th Street and Constitution Avenue, NW., Washington, D.C. 20530. Both the envelope and the letter of appeal itself must be clearly marked: "Privacy Act Appeal." An appeal not so addressed and marked shall be forwarded to the Office of Information and Privacy as soon as it is identified as an appeal under the Privacy Act. An appeal that is improperly addressed shall be deemed not to have been received by the Department until the Office of Information and Privacy receives the appeal, or until the appeal would have been so received with the exercise of reasonable diligence by Department personnel.

(b) *Action on appeals by the Office of Information and Privacy.* Unless the Attorney General otherwise directs, the Director, Office of Information and Privacy, under the supervision of the Assistant Attorney General, Office of Legal Policy, shall act on behalf of the Attorney General on all appeals under this section, except that:

(1) In the case of a denial of a request for access by the Assistant Attorney General, Office of Legal Policy, the Attorney General or his designee shall act on the appeal, and

(2) A denial of a request for access by the Attorney General shall constitute the final action of the Department on that request.

(c) *Form of action on appeal.* The disposition of an appeal shall be in writing. A decision affirming in whole or in part the denial of a request for access shall include a brief statement of the reason or reasons for the affirmance, including each Privacy Act exemption relied upon and its relation to each record withheld, and a statement that judicial review of the denial is available in the U.S. District Court for the judicial district in which the requester resides or has his principal place of business, the judicial district in which the requested records are located, or the District of Columbia. If the denial of a request for access is reversed on appeal, the requester shall be so notified and the request shall be processed promptly in accordance with the decision on appeal.

§ 16.49 Preservation of records.

Each component shall preserve all correspondence relating to the requests it receives under this subpart, and all records processed pursuant to such requests, until such time as the destruction of such correspondence and records is authorized pursuant to title 44 of the U.S. Code. Under no circumstances shall records be destroyed while they are the subject of a pending request for access, appeal, or lawsuit under the Act.

§ 16.50 Requests for correction of records.

(a) *How made.* Unless a record is exempted from correction and amendment, an individual may submit a request for correction of a record pertaining to him. A request for correction must be made in writing and must be addressed to the component that maintains the record. (Appendix I to this part lists the components of the Department and their addresses.) The request must identify the particular record in question, state the correction sought, and set forth the justification for the correction. Both the envelope and the request for correction itself must be clearly marked: "Privacy Act Correction Request." If a requester believes that the same record appears in more than one system of records, he should address his request for correction to each component that controls a system of records which contains the record.

(b) *Initial determination.* Within 10 working days of receiving a request for correction, a component shall notify the requester whether his request will be granted or denied, in whole or in part. If the component grants the request for correction in whole or in part, it shall advise the requester of his right to obtain a copy of the corrected record, in releasable form, upon request. If the component denies the request for correction in whole or in part, it shall notify the requester in writing of the denial. The notice of denial shall state the reason or reasons for the denial and advise the requester of his right to appeal.

(c) *Appeals.* When a request for correction is denied in whole or in part, the requester may appeal the denial to the Attorney General within 30 days of his receipt of the notice denying his request. An appeal to the Attorney General shall be made in writing, shall set forth the specific item of information sought to be corrected, and shall include any documentation said to justify the correction. An appeal shall be addressed to the Office of Information and Privacy, U.S. Department of Justice, 10th Street and Constitution Avenue, NW., Washington, D.C. 20530, unless the appeal is from a denial by the Assistant Attorney General, Office of Legal Policy, in which case the appeal shall be addressed to the Attorney General, at the same address. Both the envelope and the letter of appeal itself must be clearly marked: "Privacy Act Correction Appeal."

(d) *Determination on appeal.* The Director, Office of Information and Privacy, under the supervision of the Assistant Attorney General, Office of Legal Policy, or the Attorney General in appropriate cases, shall decide all appeals from denials of requests to correct records. All such appeals shall be decided within 30 working days of receipt of the appeal, unless there is good cause to extend this period. If the denial of a request is affirmed on appeal, the requester shall be so notified in writing and advised of: (1) The reason or reasons the denial has been affirmed, (2) the requester's right to file a Statement of Disagreement, as provided in paragraph (e) of this section, and (3) the requester's right to obtain judicial review of the denial in the U.S. District Court for the judicial district in which the requester resides or has his principal place of business, the judicial district in which the record is located, or the District of Columbia. If the denial is reversed on appeal, the requester shall be so notified and the request for correction shall be remanded to the component that denied the request for processing in accordance with the decision on appeal.

(e) *Statements of disagreement.* A requester whose appeal under this section is denied shall have the right to file a Statement of Disagreement with the Office of Information and Privacy, 10th Street and Constitution Avenue, NW., Washington, D.C. 20530, within 30 days of receiving notice of denial of his appeal. Statements of Disagreement may not exceed one typed page per fact disputed. Statements exceeding this limit shall be returned to the requester for condensation. Upon receipt of a Statement of Disagreement under this section, the Director, Office of Information and Privacy, shall have the statement included in the system of records in which the disputed record is maintained and shall have the disputed record marked so as to indicate (1) that a Statement of Disagreement has been filed, and (2) where in the system of records the Statement may be found.

(f) *Notices of correction or disagreement.* Within 30 working days of the correction of a record, the component that maintains the record shall advise all components or agencies to which it previously disclosed the record that the record has been corrected. Whenever an individual has filed a Statement of Disagreement, a component shall append a copy of the Statement to the disputed record whenever the record is disclosed. The component may also append to the disputed record any written statement it has made giving the component's reasons for denying the request to correct the record.

§ 16.51 Records not subject to correction.

The following records are not subject to correction or amendment as provided in § 16.50 of this subpart:

(a) Transcripts of testimony given under oath or written statements made under oath;

(b) Transcripts of grand jury proceedings, judicial proceedings, or quasi-judicial proceedings which constitute the official record of such proceedings;

(c) Presentence reports which are the property of the courts, but are maintained by a component in a system of records; and

(d) Records duly exempted from correction pursuant to 5 U.S.C. 552a(j) or 552a(k) by notice published in the **Federal Register.**

§ 16.52 Request for accounting of record disclosures.

(a) An individual may request a component that maintains a record pertaining to him to provide him with an accounting of those other agencies to which the component has disclosed the record, and the date, nature, and purpose of each disclosure. A request for an accounting must be made in writing and must identify the particular record for which the accounting is requested. The request also must be addressed to the component that maintains the particular record, and both the envelope and the request itself must clearly be marked: "Privacy Act Accounting Request." (Appendix I to this part lists the components of the Department and their addresses.)

(b) Components shall not be required to provide an accounting to an individual to the extent that the accounting relates to:

(1) Records for which no accounting must be kept pursuant to 5 U.S.C. 552a(c)(1),

(2) Disclosures of records to law enforcement agencies for lawful law enforcement activities, pursuant to written requests from such law enforcement agencies specifying records sought and the law enforcement activities for which the records are sought, under 5 U.S.C. 552a(c)(3) and (b)(7), or

(3) Records for which an accounting need not be disclosed pursuant to 5 U.S.C. 552a (j) or (k).

(c) A denial of a request for an accounting may be appealed to the Attorney General in the same manner as a denial of a request for access, with both the envelope and the letter of appeal itself clearly marked: "Privacy Act Accounting Appeal."

§ 16.53 Notice of subpoenas and emergency disclosures.

(a) *Subpoenas.* When records pertaining to an individual are subpoenaed by a grand jury, court, or quasi-judicial authority, the official served with the subpoena shall be responsible for ensuring that written notice of its service is forwarded to the individual. Notice shall be provided within 10 working days of the service of the subpoena or, in the case of a grand jury subpoena, within 10 working days of its becoming a matter of public record. Notice shall be mailed to the last known address of the individual and shall contain the following information: The date the subpoena is returnable, the court or quasi-judicial authority to which it is returnable, the name and number of the case or proceeding, and the nature of the records sought. Notice of the service of a subpoena is not required if the system of records has been exempted from the notice requirement of 5 U.S.C. 522a(e)(8), pursuant to 5 U.S.C. 552a(j), by a Notice of Exemption published in the **Federal Register.**

(b) *Emergency disclosures.* If the record of an individual has been disclosed to any person under compelling circumstances affecting the health or safety of any person, as described in 5 U.S.C. 552a(b)(8), the individual to whom the record pertains shall be notified of the disclosure at his last known address within 10 working days. The notice of such disclosure shall be in writing and shall state the nature of the information disclosed, the person or agency to whom it was disclosed, the date of disclosure, and the compelling circumstances justifying the disclosure. The officer who made or authorized the disclosure shall be responsible for providing such notification.

§ 16.54 Security of systems of records.

(a) The Assistant Attorney General for Administration, Justice Management Division, shall be responsible for issuing regulations governing the security of systems of records. To the extent that such regulations govern the security of automated systems of records, the regulations shall be consistent with the guidelines developed by the National Bureau of Standards.

(b) Each component shall establish administrative and physical controls to prevent unauthorized access to its systems of records, to prevent the unauthorized disclosure of records, and to prevent the physical damage or destruction of records. The stringency of such controls shall reflect the sensitivity of the records the controls protect. At a minimum, however, each component's administrative and physical controls shall ensure that:

(1) Records are protected from public view,

(2) The area in which records are kept is supervised during business hours to prevent unauthorized persons from having access to the records, and

(3) Records are inaccessible to unauthorized persons outside of business hours.

(c) Each component shall establish rules restricting access to records to only those individuals within the Department who must have access to such records in order to perform their duties. Each component also shall adopt procedures to prevent the accidental disclosure of records or the accidental granting of access to records.

§ 16.55 Contracting record systems.

(a) No component of the Department shall contract for the operation of a record system by or on behalf of the Department without the express approval of the Attorney General, the Deputy Attorney General, or the Assistant Attorney General for Administration.

(b) Any contract which is approved shall contain the standard contract requirements promulgated by the General Services Administration to ensure compliance with the requirements imposed by the Privacy Act. The contracting component shall have responsibility for ensuring that the contracter complies with the contract requirements relating to privacy.

§ 16.56 Use and collection of social security numbers.

(a) Each system manager of a system of records which utilizes Social Security numbers as a method of identification without statutory authorization, or authorization by regulation adopted prior to January 1, 1975, shall take steps to revise the system to avoid future collection and use of the Social Security numbers.

(b) The head of each component shall take such measures as are necessary to ensure that employees authorized to collect information from individuals are advised that individuals may not be required to furnish Social Security numbers without statutory or regulatory authorization and that individuals who are requested to provide Social Security numbers voluntarily must be advised that furnishing the number is not required and that no penalty or denial of benefits will flow from the refusal to provide it.

§ 16.57 Employee standards of conduct.

(a) Each component shall inform its employees of the provisions of the Privacy Act, including the Act's civil liability and criminal penalty provisions. Each component also shall notify its employees that they have a duty to:

(1) Protect the security of records,

(2) Ensure the accuracy, relevance, timeliness, and completeness of records,

(3) Avoid the unauthorized disclosure, either verbal or written, of records, and

(4) Ensure that the component maintains no system of records without public notice.

(b) Except to the extent that the Privacy Act permits such activities, an employee of the Department of Justice shall:

(1) Not collect information of a personal nature from individuals unless the employee is authorized to collect such information to perform a function or discharge a responsibility of the Department;

(2) Collect from individuals only that information which is necessary to the performance of the functions or to the discharge of the responsibilities of the Department;

(3) Collect information about an individual directly from that individual, whenever practicable;

(4) Inform each individual from whom information is collected of:

(i) The legal authority that authorizes the Department to collect such information,

(ii) The principal purposes for which the Department intends to use the information,

(iii) The routine uses the Department may make of the information, and

(iv) The practical and legal effects upon the individual of not furnishing the information;

(5) Maintain all records which are used by the agency in making any determination about any individual with such accuracy, relevance, timeliness, and completeness as to ensure fairness to the individual in the determination;

(6) Except as to disclosures to an agency or pursuant to 5 U.S.C. 552a(b)(2), make reasonable efforts, prior to disseminating any record about an individual, to ensure that such records are accurate, relevant, timely, and complete;

(7) Maintain no record concerning an individual's religious or political beliefs or activities, or his membership in associations or organizations, unless:

(i) The individual has volunteered such information for his own benefit,

(ii) A statute expressly authorizes the Department to collect, maintain, use, or disseminate the information, or

(iii) The individual's beliefs, activities, or membership are pertinent to and within the scope of an authorized law enforcement or correctional activity;

(8) Notify the head of the component of the existence or development of any system of records that has not been disclosed to the public;

(9) When required by the Act, maintain an accounting in the prescribed form of all disclosures of records by the Department to agencies or individual's whether verbally or in writing;

(10) Disclose no record to anyone, except a component, for any use, unless authorized by the Act;

(11) Maintain and use records with care to prevent the inadvertent disclosure of a record to anyone; and

(12) Notify the head of the component of any record that contains information that the Act or the foregoing provisions of this paragraph do not permit the Department to maintain.

(c) Not less than once each year, the head of each component shall review the systems of records maintained by that component to ensure that the component is in compliance with the provisions of the Privacy Act.

§ 16.58 Other rights and services.

Nothing in this subpart shall be construed to entitle any person, as of right, to any service or to the disclosure of any record to which such person is not entitled under 5 U.S.C. 552a.

Appendix A to Subpart D—Delegation of Authority

1. By virtue of the authority vested in me by Section 16.45 of Title 28 of the Code of Federal Regulations, the authority to deny requests under the Privacy Act of 1974 is delegated to the occupant of the position of Chief, Freedom of Information-Privacy Acts Section, Records Management Division, Federal Bureau of Investigation. This same authority is delegated to the occupant of the position of Special Agent in Charge of each of the field offices of the Federal Bureau of Investigation for records in their custody and control.

2. This directive is effective June 9, 1981.

[46 FR 36140, July 14, 1981, as amended at 49 FR 11625, Mar. 27, 1984]

Appendix B to Subpart D—Delegation of Authority

(a) By virtue of the authority vested in me by Section 16.45(a) of Title 28 of the Code of Federal Regulations, I hereby delegate authority to the United States Attorney for the District of Columbia to:

(1) Respond initially to requests;

(2) Grant and deny access to records;

(3) Communicate directly with the Office of Information and Privacy concerning administrative appeals; and

(4) Prepare affidavits, litigation reports, and other necessary documents in preperation for civil litigation in suits pursuant to 5 U.S.C. 552a(g)(1)(B).

(b) This authority is limited to those records which are in the systems of records under the custody and control of the United States Attorney for the District of Columbia. The authority delegated herein may be redelegated.

(c) This directive is effective immediately.

[49 FR 11625, Mar. 27, 1984]

Subpart E—Exemption of Records Systems Under the Privacy Act

Source: Order 645–76, 41 FR 12640, Mar. 26, 1976, unless otherwise noted.

§ 16.70 Exemption of the Office of the Attorney General System—limited access.

(a) The following system of records is exempt from 5 U.S.C. 552a(c) (3) and (4); (d); (e) (1), (2) and (3), (e)(4) (G) and (H), (e)(5); and (g):

(1) General Files System of the Office of the Attorney General (JUSTICE/OAG–001).

These exemptions apply only to the extent that information in the system is subject to exemption pursuant to 5 U.S.C. 552a (j)(2), (k)(1), (k)(2), and (k)(5).

(b) Exemptions from the particular subsections are justified for the following reasons:

(1) From subsection (c)(3) because making available to a record subject the accounting of disclosures from records concerning him/her would reveal

investigative interest on the part of the Department of Justice as well as the recipient agency. This would permit record subjects to impede the investigation, e.g., destroy evidence, intimidate potential witnesses, or flee the area to avoid inquiries or apprehension by law enforcement personnel.

(2) From subsection (c)(4) because this system is exempt from the access provisions of subsection (d) pursuant to subsections (j) and (k) of the Privacy Act.

(3) From subsection (d) because the records contained in this system relate to official Federal investigations. Individual access to these records might compromise ongoing investigations, reveal confidential informants or constitute unwarranted invasions of the personal privacy of third parties who are involved in a certain investigation. Amendment of the records would interfere with ongoing criminal law enforcement proceedings and impose an impossible administrative burden by requiring criminal investigations to be continuously reinvestigated.

(4) From subsections (e) (1) and (5) because in the course of law enforcement investigations, information may occasionally be obtained or introduced the accuracy of which is unclear or which is not strictly relevant or necessary to a specific investigation. In the interests of effective law enforcement, it is appropriate to retain all information that may aid in establishing patterns of criminal activity. Moreover, it would impede the specific investigative process if it were necessary to assure the relevance, accuracy, timeliness and completeness of all information obtained.

(5) From subsection (e)(2) because in a law enforcement investigation the requirement that information be collected to the greatest extent possible from the subject individual would present a serious impediment to law enforcement in that the subject of the investigation would be informed of the existence of the investigation and would therefore be able to avoid detection, apprehension, or legal obligations of duties.

(6) From subsection (e)(3) because to comply with the requirements of this subsection during the course of an investigation could impede the information gathering process, thus hampering the investigation.

(7) From subsections (e)(4) (G) and (H) because this system is exempt from the access provisions of subsection (d) pursuant to subsections (j) and (k) of the Privacy Act.

(8) From subsection (g) because this system is exempt from the access and amendment provisions of subsection (d) pursuant to subsections (j) and (k) of the Privacy Act.

[AAG/A Order No. 32-85, 51 FR 751, Jan. 8, 1986]

§ 16.71 Exemption of the Office of the Deputy Attorney General System—limited access.

(a) The following systems of records are exempt from 5 U.S.C. 552a(d)(1) and (e)(1):

(1) Appointed Assistant United States Attorneys Personnel System (JUSTICE/DAG–002).

(2) Assistant United States Attorneys Applicant Records System (JUSTICE/DAG–003).

(3) Presidential Appointee Candidate Records System (JUSTICE/DAG–006).

(4) Presidential Appointee Records System (JUSTICE/DAG–007).

(5) Special Candidates for Presidential Appointments Records System (JUSTICE/DAG–008).

(6) Miscellaneous Attorney Personnel Records System (JUSTICE/DAG–011).

These exemptions apply only to the extent that information in these systems is subject to exemption pursuant to 5 U.S.C. 552a(k)(5).

(b) Exemptions from the particular subsections are justified for the following reasons:

(1) From subsection (d)(1) because many persons are contacted who, without an assurance of anonymity, refuse to provide information concerning a candidate for a Presidential appointee, Assistant U.S. Attorney, or Department attorney position. Access could reveal the identify of the source of the information and constitute a breach of the promise of confidentiality on the part of the Department of Justice. Such breaches ultimately would restrict the free flow of information vital to a determination of a candidate's qualifications and suitability.

(2) From subsection (e)(1) because in the collection of information for investigative and evaluative purposes, it is impossible to determine in advance what exact information may be of assistance in determining the qualifications and suitability of a candidate. Information which may appear irrelevant, when combined with other seemingly irrelevant information, can on occasion provide a composite picture of a candidate for a position which assists in determining whether that candidate should be nominated for appointment.

(c) The following system of records is exempt from 5 U.S.C. 552a(c) (3) and (4); (d); (3)(1), (2) and (3), (e)(4)(G) and (H), (e)(5); and (g):

(1) General Files System of the Office of the Deputy Attorney General (JUSTICE/DAG–013).

These exemptions apply only to the extent that information in the system is subject to exemption pursuant to 5 U.S.C. 552a (j)(2), (k)(1), (k)(2), and (k)(5).

(d) Exemptions from the particular subsections are justified for the following reasons:

(1) From subsection (c)(3) because making available to a record subject the accounting of disclosures from records concerning him/her would reveal investigative interest on the part of the Department of Justice as well as the recipient agency. This would permit record subjects to impede the investigation, e.g., destroy evidence, intimidate potential witnesses, or flee the area to avoid inquiries or apprehension by law enforcement personnel.

(2) From subsection (c)(4) because this system is exempt from the access provisions of subsection (d) pursuant to subsections (j) and (k) of the Privacy Act.

(3) From subsection (d) because the records contained in this system relate to official Federal investigations. Individual access to these records might compromise ongoing investigations, reveal confidential informants or constitute unwarranted invasions of the personal privacy of third parties who are involved in a certain investigation. Amendment of the records would interfere with ongoing criminal law enforcement proceedings and impose an impossible administrative burden by requiring criminal investigations to be continuously reinvestigated.

(4) From subsections (e) (1) and (5) because in the course of law enforcement investigations information may occasionally be obtained or introduced the accuracy of which is unclear or which is not strictly relevant or necessary to a specific investigation. In the interests of effective law enforcement, it is appropriate to retain all information that may aid in establishing patterns of criminal activity. Moreover, it would impede the specific investigative process if it were necessary to assure the relevance, accuracy, timeliness and completeness of all information obtained.

(5) From subsection (e)(2) because in a law enforcement investigation the requirement that information be collected to the greatest extent possible from the subject individual would present a serious impediment to law

enforcement in that the subject of the investigation would be informed of the existence of the investigation and would therefore be able to avoid detection, apprehension, or legal obligations or duties.

(6) From subsection (e)(3) because to comply with the requirements of this subsection during the course of an investigation could impede the information gathering process, thus hampering the investigation.

(7) For subsections (e)(4)(G) and (H) because this system is exempt from the access provisions of subsection (d) pursuant to subsections (j) and (k) of the Privacy Act.

(8) From subsection (g) because this system of records is exempt from the access and amendment provisions of subsection (d) pursuant to subsections (j) and (k) of the Privacy Act.

[AAG/A Order No. 33–85, 51 FR 753, Jan. 8, 1986]

§ 16.72 Exemption of Office of the Associate Attorney General System—limited access.

(a) The following systems of records are exempt from 5 U.S.C. 552a(c) (3) and (4); (d); (e) (1), (2) and (3), (e)(4) (G) and (H), (e)(5); and (g):

(1) General Files System of the Office of the Associate Attorney General (JUSTICE/AAG–001).

(2) Drug Enforcement Task Force Evaluation and Reporting System of the Office of the Associate Attorney General (JUSTICE/AAG–002).

The exemptions for the General Files System apply only to the extent that information in the system is subject to exemption pursuant to 5 U.S.C. 552a (j)(2), (k)(1), (k)(2), and (k)(5). The exemptions for the Task Force System apply only to the extent that information in the system is subject to exemption pursuant to 5 U.S.C. 552a (j)(2) and (k)(2).

(b) Exemption from the particular subsections are justified for the following reasons:

(1) From subsection (c)(3) because making available to a record subject the accounting of disclosures from records concerning him/her would reveal investigative interest on the part of the Department of Justice as well as the recipient agency. This would permit record subjects to impede the investigation, e.g., destroy evidence, intimidate potential witnesses, or flee the area to avoid inquiries or apprehension by law enforcement personnel.

(2) From subsection (c)(4) because these systems are exempt from the access provisions of subsection (d) pursuant to subsections (j) and (k) of the Privacy Act.

(3) From subsection (d) because the records contained in these systems relate to official Federal investigations. Individual access to these records might compromise ongoing investigations, reveal confidential informants, or constitute unwarranted invasions of the personal privacy of third parties who are involved in a certain investigation. Amendment of the records would interfere with ongoing criminal law enforcement proceedings and impose an impossible administrative burden by requiring criminal investigations to be continuously reinvestigated.

(4) From subsections (e) (1) and (5) because in the course of law enforcement investigations, information may occasionally be obtained or introduced the accuracy of which is unclear or which is not strictly relevant or necessary to a specific investigation. In the interests of effective law enforcement, it is appropriate to retain all information that may aid in establishing patterns of criminal activity. Moreover, it would impede the specific investigative process if it were necessary to assure the relevance, accuracy, timeliness, and completeness of all information obtained.

(5) From subsection (e)(2) because in a law enforcement investigation the requirement that information be collected to the greatest extent possible from the subject individual would present a serious impediment to law enforcement in that the subject of the investigation would be informed of the existence of the investigation and would therefore be able to avoid detection, apprehension, or legal obligations of duties.

(6) From subsection (e)(3) because to comply with the requirements of this subsection during the course of an investigation could impede the information gathering process, thus hampering the investigation.

(7) From subsections (e)(4) (G) and (H) because these systems are exempt from the access provisions of subsection (d) pursuant to subsections (j) and (k) of the Privacy Act.

(8) From subsection (g) because these systems are exempt from the access and amendment provisions of subsection (d) pursuant to subsections (j) and (k) of the Privacy Act.

[AAG/A Order No. 32–85, 51 FR 751, Jan. 8, 1986]

§ 16.73 Exemption of Office of Legal Policy System—limited access.

(a) The following system of records is exempt from 5 U.S.C 552a (d)(1), (2), (3) and (4); (e)(1) and (2), (e)(4)(G) and (H), (e)(5); and (g):

(1) Freedom of Information and Privacy Appeals Index (JUSTICE/OLP-001).

These exemptions apply only to the extent that information in this system is subject to exemption pursuant to 5 U.S.C. 552a(j)(2), (k)(2) and (k)(5).

(b) Exemptions from the particular subsections are justified for the following reasons:

(1) From subsections (d)(1), (2), (3), and (4) to the extent that information in this record system relates to official Federal investigations and matters of law enforcement. Individual access to these records might compromise ongoing investigations, reveal confidential informants or constitute unwarranted invasions of the personal privacy of third parties who are involved in a certain investigation. Amendment of the records would interfere with ongoing criminal law enforcement proceedings and impose an impossible administrative burden by requiring criminal investigations to be continuously reinvestigated.

(2) From subsections (e)(1) and (5) because in the course of law enforcement investigations, information may occasionally be obtained or introduced the accuracy of which is unclear or which is not strictly relevant or necessary to a specific investigation. In the interests of effective law enforcement, it is appropriate to retain all information that may aid in establishing patterns of criminal activity. Moreover, it would impede the specific investigative process if it were necessary to assure the relevance, accuracy, timeliness, and completeness of all information obtained.

(3) From subsection (e)(2) because in a law enforcement investigation the requirement that information be collected to the greatest extent possible from the subject individual would present a serious impediment to law enforcement in that the subject of the investigation would be informed of the existence of the investigation and would therefore be able to avoid detection, apprehension, or legal obligations or duties.

(4) From subsections (e)(4)(G) and (H) because this system is exempt from the access provisions of subsection (d) pursuant to subsections (j) and (k) of the Privacy Act.

(5) From subsection (g) because this system is exempt from the access provisions of subsection (d) pursuant to subsections (j) and (k) of the Privacy Act.

(c) The following system of records is exempt from 5 U.S.C. 552a(d)(1) and (e)(1):

(1) United States Judges Records System (JUSTICE/OLP–002).

These exemptions apply to the extent that information in this system is subject to exemption pursuant to 5 U.S.C. 552a(k)(5).

(d) Exemptions from the particular subsections are justified for the following reasons:

(1) From subsection (d)(1) because many persons are contracted who, without an assurance of anonymity, refuse to provide information concerning a candidate for a judgeship. Access could reveal the identity of the source of the information and constitute a breach of the promised confidentiality on the part of the Department. Such breaches ultimately would restrict the free flow of information vital to the determination of a candidate's qualifications and suitability.

(2) From subsection (e)(1) because in the collection of information for investigative and evaluative purposes, it is impossible to determine advance what exact information may be of assistance in determining the qualifications and suitability of a candidate. Information which may seem irrelevant, when combined with other seemingly irrelevant information, can on occasion provide a composite picture of a candidate which assists in determining whether that candidate should be nominated for appointment.

(e) The following system of records is exempt from U.S.C. 552a(c) (3) and (4); (d); (e)(1), (2) and (3), (e)(4)(G) and (H) (e)(5); and (g):

(1) General Files System of the Office of Legal Policy (JUSTICE/OLP–003).

These exemptions apply only to the extent that information in the system is subject to exemption pursuant to 5 U.S.C. 552a(j)(2), (k)(1), (k)(2), and (k)(5).

(f) Exemptions from the particular subsections are justified for the following reasons:

(1) From subsection (c)(3) because making available to a record subject the accounting of disclosures from records concerning him/her would reveal investigative interest on the part of the Department as well as the recipient agency. This would permit record subjects to impede the investigation, e.g., destroy evidence, intimidate potential witnesses, or flee the area to avoid inquiries or apprehension by law enforcement personnel.

(2) From subsection (c)(4) because this system is exempt from the access provisions of subsection (d) pursuant to subsections (j) and (k) of the Privacy Act.

(3) From subsection (d) because the records contained in this system relate to official Federal investigations. Individual access to these records might compromise ongoing investigations, reveal confidential informants, or constitute unwarranted invasions of the personal privacy of third parties who are involved in a certain investigation. Amendment of records would interfere with ongoing criminal law enforcement proceedings and impose an impossible administrative burden by requiring criminal investigations to be continuously reinvestigated.

(4) From subsections (e) (1) and (5) because in the course of law enforcement investigations, information may occasionally be obtained or introduced the accuracy of which is unclear or which is not strictly relevant or necessary to a specific investigation. In the interests of effective law enforcement, it is appropriate to retain all information since it may aid in establishing patterns of criminal activity. Moreover, it would impede the specific investigation process if it were necessary to assure the relevance, accuracy, timeliness and completeness of all information obtained.

(5) From subsections (e)(2) because in a law enforcement investigation the requirement that information be collected to the greatest extent possible from the subject individual would present a serious impediment to law enforcement in that the subject of the investigation would be informed of the existence of the investigation and would therefore be able to avoid detection, apprehension, or legal obligations and duties.

(6) From subsection (e)(3) because to comply with the requirements of this subsection during the course of an investigation could impede the information gathering process, thus hampering the investigation.

(7) From subsections (e)(4) (G) and (H) because this system is exempt from the access provisions of subsection (d) pursuant to subsections (j) and (k) of the Privacy Act.

(8) From subsection (g) because this system is exempt from the access and amendment provisions of subsection (d) pursuant to subsections (j) and (k) of the Privacy Act.

(g) The following system of records is exempt from 5 U.S.C. 552a(c)(3) and (4); (d); (e)(1), (2) and (3), (e)(4)(G) and (H), (e)(5) and (g):

(1) Declassification Review System (JUSTICE/OLP–004). These exemptions apply only to the extent that information in this system is subject to exemption pursuant to 5 U.S.C. 552a(j)(2), (k)(1), (k)(2), and (k)(5).

(h) Exemptions from the particular subsections are justified for the following reasons:

(1)From subsection (c)(3) because making available to a record subject the accounting of disclosures from records concerning him/her would reveal investigative interest on the part of the Department of Justice as well as the recipient agency. This would permit record subjects to impede the investigation e.g., destroy evidence, intimidate potential witnesses, or flee the area to avoid inquiries or apprehension by law enforcement personnel.

(2) From subsection (c)(4) because the system is exempt from the access provisions of subsection (d) pursuant to subsections (j) and (k) of the Privacy Act.

(3) From subsection (d) to the extent that information in this record system relates to official Federal investigations and matters of law enforcement and/or is properly classified pursuant to Executive Order 12356. Individual access to these records might compromise ongoing investigations, reveal confidential sources or constitute unwarranted invasions of the personal privacy of third parties who are involved in a certain investigation, or jeopardise national security or foreign policy interests. Amendment of the records would interfere with ongoing criminal law enforcement proceedings and impose an impossible administrative burden by requiring criminal investigations to be continuously reinvestigated.

(4) From subsection (e)(1) and (5) because in the course of law enforcement investigations, information may occasionally be obtained or introduced the accuracy of which is unclear or which is not strictly relevant or necessary to a specific investigaation. In the interests of effective law enforcement, it is appropriate to retain all information which may aid in establishing patterns of criminal activity. Moreover, it would impede the specific investigative process if it were necessary to assure the relevance, accuracy, timeliness, and completeness of all information obtained.

(5) From subsection (e)(2) because in a law enforcement investigation the requirement that information be collected to the greatest extent possible from the subject individual would present a serious impediment to law enforcement in that the subject of the investigation would be informed of the existence of the investigation and would

therefore be able to avoid detection, apprehension, or legal obligations or duties.

(6)From subsection (e)(3) because to comply with the requirements of this subsection during the course of an investigation could impede the information gathering process, thus hampering the investigation.

(7) From subsection (e)(4)(G) and (H), and (g) because this system is exempt from the access provisions of subsection (d) pursuant to subsections (j) and (k) of the Privacy Act.

[AAG/A Order No. 34—85, 51 FR 754, Jan. 8, 1986. Redesignated by Order No. 6–86, 51 FR 15476, Apr. 24, 1986 and further redesignated and amended by AAG/A Order No. 19–86, 51 FR 39373, Oct. 28, 1986]

§ 16.74 Exemption of Office of Intelligence Policy and Review Systems—Limited access.

(a) The following systems of records are exempt from 5 U.S.C. 552a(c)(3), (c)(4), (d), (e)(2), (e)(3), (e)(4)(G), (e)(4)(H), (e)(8), (f) and (g):

(1) Policy and Operational Records System (JUSTICE/OIPR–001);

(2) Foreign Intelligence Surveillance Act Records System (JUSTICE/OIPR–002);

(3) Litigation Records System (JUSTICE/OIPR–003); and

(4) Domestic Security/Terrorism Investigations Records System (JUSTICE/OIPR–004).

These exemptions apply only to the extent that information in those systems is subject to exemption pursuant to 5 U.S.C. 552a(j)(2), (k)(1) and (k)(2).

(b) Exemptions from the particular subsections are justified for the following reasons:

(1) From subsection (c)(3) because release of the disclosure accounting would put the target of a surveillance or investigation on notice of the investigation or surveillance and would thereby seriously hinder authorized United States intelligence activities.

(2) From subsections (c)(4), (d), (e)(4)(G), (e)(4)(H), (f) and (g) because these provisions contemplate individual access to records and such access would compromise ongoing surveillances or investigations and reveal the sources and methods of an investigation.

(3) From subsection (e)(2) because, although this office does not conduct investigations, the collection efforts of agencies that supply information to this office would be thwarted if the agency were required to collect information with the subject's knowledge.

(4) From subsections (e)(3) and (e)(8) because disclosure and notice would provide the subject with substantial information which could impede or compromise an investigation. For example, an investigatory subject could, once made aware that an investigation was ongoing, alter his manner of engaging in intelligence or terrorist activities in order to avoid detection.

[AAG/A Order No. 19-86, 51 FR 39374, Oct. 28, 1986]

§ 16.75 [Reserved]

§ 16.76 Exemption of Justice Management Division.

(a) The following system of records is exempt from 5 U.S.C. 552a(d):

(1) Controlled Substances Act Nonpublic Records (JUSTICE/JMD–002).

This exemption applies only to the extent that information in this system is subject to exemption pursuant to 5 U.S.C. 552a(j)(2).

(b) Exemption from subsection (d) is justified for the following reasons:

(1) Pub. L. 91–513 (Controlled Substances Act), Sec. 404(b) states that the nonpublic record "shall be retained by the Department of Justice solely for the purpose of use by the courts in determining whether or not, in subsequent proceedings, such person qualifies under this subsection."

(2) Information in this system consists of arrest records, including those of co-defendants. The records include reports of informants and investigations. Therefore, access could disclose investigative techniques, reveal the identity of confidential sources, and invade the privacy of third parties.

(c) The following system of records is exempt from 5 U.S.C. 552a(d):

(1) Security Clearance Information System (SCIS) (JUSTICE/JMD–008)—Limited access.

This exemption applies only to the extent that information in this system is subject to exemption pursuant to 5 U.S. C. 552a (j)(2) and (k)(5).

(d) Exemption from subsection (d) is justified for the following reason:

(1) Access to records in the system would reveal the identity(ies) of the source(s) of information collected in the course of a background investigation. Such knowledge might be harmful to the source who provided the information as well as violate the explicit or implicit promise of confidentiality made to the source during the investigation. Access may also reveal information relating to actual or potential criminal investigations.

(e) Consistent with the legislative purpose of the Privacy Act of 1974, the Justice Management Division will grant access to nonexempt material in SCIS records which are maintained by the Security Programs Staff. Disclosure will be governed by the Department's Privacy Regulations, but will be limited to the extent that the identity of confidential sources will not be compromised; subjects of an investigation of an actual or potential criminal violation will not be alerted to the investigation; the physical safety of witnesses, informants and law enforcement personnel will not be endangered; the privacy of third parties will not be violated; and that the disclosure would not otherwise impede effective law enforcement. Whenever possible, information of the above nature will be deleted from the requested documents and the balance made available. The controlling principle behind this limited access is to allow disclosures except those indicated above. The decisions to release information from this system will be made on a case-by-case basis."

(f) The following system of records is exempt from 5 U.S.C. 552a(d):

(1) Freedom of Information/Privacy Act Records System (JUSTICE/JMD–019).

These exemptions apply only to the extent that information in this system is subject to exemption pursuant to 5 U.S.C. 552a(k)(2).

(g) Exemptions from the particular subsections are justified for the following reasons:

(1) From subsection (c)(3) because that portion of the Freedom of Information/Privacy Act Records System that consists of investigatory materials compiled for law enforcement purposes is being exempted from access and contest; the provision for disclosure of accounting is not applicable.

(2) From subsection (d) because of the need to safeguard the identity of confidential informants and avoid interference with ongoing investigations or law enforcement activities by preventing premature disclosure of information relating to those efforts.

(h) Consistent with the legislative purpose of the Privacy Act of 1974, the Justice Management Division will grant access to non-exempt material in FOIA/PA records. Exemptions will apply only to the extent that other correspondence or internal memoranda retained with the request file contain investigatory material for law enforcement purposes.

[Order No. 645–76, 41 FR 12640, Mar. 26, 1976, as amended by Order No. 688–77, 42 FR 9999, Feb. 18, 1977; Order No. 899–80, 45 FR 43703, June 30, 1980; AAG/A Order No. 6–86, 51 FR 15476, Apr. 24, 1986]

§ 16.77 Exemption of United States Trustee Program System—limited access.

(a) The following system of records is exempt from 5 U.S.C. 552a (c) (3) and (4); (d); (e) (1), (2) and (3), (e)(4) (G) and (H), (e) (5) and (8); (f) and (g):

(1) United States Trustee Program Case Referral System, JUSTICE/UST–004.

These exemptions apply to the extent that information in this system is subject to exemption pursuant to 5 U.S.C. 552a(j)(2) and (k)(2).

(b) Exemptions from the particular subsections are justified for the following reasons:

(1) From subsection (c)(3) because the release of the disclosure accounting would permit the subject of an investigation to obtain valuable information concerning the nature of that investigation. This would permit record subjects to impede the investigation, e.g., destroy evidence, intimidate potential witnesses, or flee the area to avoid inquiries or apprehension by law enforcement personnel.

(2) From subsection (c)(4) since an exemption being claimed for subsection (d) makes this subsection inapplicable.

(3) From subsection (d) because access to the records contained in this system might compromise ongoing investigations, reveal confidential informants, or constitute unwarranted invasions of the personal privacy of third parties who are involved in a certain investigation. Amendment of the records would interfere with ongoing criminal law enforcement proceedings and impose an impossible administrative burden by requiring criminal investigations to be continuously reinvestigated.

(4) From subsections (e)(1) and (e)(5) because in the course of law enforcement investigations, information may occasionally be obtained or introduced the accuracy of which is unclear or which is not strictly relevant or necessary to a specific investigation. In the interest of effective law enforcement, it is appropriate to retain all information that may aid in establishing patterns of criminal activity. Moreover, it would impede the specific investigative process if it were necessary to assure the relevance, accuracy, timeliness, and completeness of all information obtained.

(5) From subsection (e)(2) because in a criminal investigation the requirement that information be collected to the greatest extent possible from the subject individual would present a serious impediment to law enforcement because the subject of the investigation would be placed on notice as to the existence of the investigation and would therefore be able to avoid detection or apprehension, to influence witnesses improperly, to destroy evidence, or to fabricate testimony.

(6) From subsection (e)(3) because the requirement that individuals supplying information be provided with a form stating the requirements of subsection (e)(3) would constitute a serious impediment to law enforcement in that it would compromise the existence of a confidential investigation or reveal the identity of witnesses or confidential informants.

(7) From subsections (e)(4) (G) and (H) because this system of records is exempt from the access provisions of subsection (d) pursuant to subsections (j) and (k).

(8) From subsection (e)(8) because the individual notice requirement of this subsection could present a serious impediment to law enforcement in that this could interfere with the U.S. Attorney's ability to issue subpoenas.

(9) From subsections (f) and (g) because this system has been exempted from the access provisions of subsection (d).

[AAG/A Order No. 1–87, 52 FR 3631, Feb. 5, 1987]

§ 16.78 Exemption of the Special Counsel for Immigration-Related, Unfair Employment Practices Systems.

(a) The following system of records is exempt from 5 U.S.C. 552a(c)(3) and (d).

(1) Central Index File and Associated Records, JUSTICE/OSC–001.

These exemptions apply to the extent that information in this system is subject to exemption pursuant to 5 U.S.C. 552a(k)(2).

(b) Exemptions from the particular subsections are justified for the following reasons:

(1) From subsection (c)(3) because the release of the disclosure accounting would permit the subject of an investigation to obtain valuable information concerning the nature of that investigation. This would permit record subjects to impede the investigation, e.g., destroy evidence, intimidate potential witnesses, or flee the area to avoid inquiries.

(2) From subsection (d) because access to the records might compromise ongoing investigations, reveal confidential informants, or constitute unwarranted invasions of the personal privacy of third parties who are involved in a certain investigation.

[AAG/Order No. 10–88, 53 FR 7734, Mar. 10, 1988]

§ 16.79 Exemption of Pardon Attorney Systems.

(a) The following systems of records are exempt from 5 U.S.C. 552a(d):

(1) Executive Clemency Files (JUSTICE/OPA–001).

(2) Freedom of Information/Privacy Acts (FOI/PA) Request File (JUSTICE/OPA–003).

These exemptions apply only to the extent that information in these systems is subject to exemption pursuant to 5 U.S.C. 552a(j).

(b) Exemption from subsection (d) is justified for the following reasons:

(1) Executive Clemency Files contain investigatory and evaluative reports relating to applicants for Executive clemency. The FOI/PA Request File contains copies of documents from the Executive Clemency Files which have not been released either in whole or in part pursuant to certain provisions pf the FOI/PA. Release of such information to the subject would jeopardize the integrity of the investigative process, invade the right of candid and confidential communications among officials concerned with recommending clemency decisions to the President, and disclose the identity of persons who furnished information to the Government under an express or implied promise that their identities would be held in confidence.

(2) The purpose of the creation and maintenance of these files is to enable the Pardon Attorney to prepare for the President's ultimate decisions on matters which are within the President's exclusive jurisdiction by reason of Article II, Section 2, Clause 1 of the Constitution, which commits pardons to the exclusive discretion of the President

[AAG/A Order No., 53 FR 51542, Dec. 22, 1988]

§ 16.80 Exemption of Office of Professional Responsibility System—limited access.

(a) The following system of records is exempt from 5 U.S.C. 552a(c)(3) and (4), (d), (e)(1), (2) and (3), (e)(4)(G) and (H), (e)(5) and (8), (f) and (g):

(1) Office of Professional Responsibility Record Index (JUSTICE/OPR–001).

These exemptions apply only to the extent that information in the system is subject to exemption pursuant to 5 U.S.C. 552a(j)(2), (k)(1), (k)(2), and (k)(5).

(b) Exemptions from the particular subsections are justified for the following reasons:

(1) From subsection (c)(3) because release of the disclosure accounting would enable the subject of an investigation to gain information

concerning the existence, nature and scope of the investigation and seriously hamper law enforcement efforts.

(2) From subsections (c)(4), (d), (e)(4)(G) and (H), (f) and (g) because these provisions concern individual access to records and such access might compromise ongoing investigations, reveal confidential informants and constitute unwarranted invasions of the personal privacy of third persons who provide information in connection with a particular investigation.

(3) From subsections (e)(1) and (5) because the collection of information during an investigation necessarily involves material pertaining to other persons or events which is appropriate in a thorough investigation, even though portions thereof are not ultimately connected to the person or event subject to the final action or recommendation of the Office of Professional Responsibility.

(4) From subsection (e)(2) because collecting the information from the subject would thwart the investigation by placing the subject on notice of the investigation.

(5) From subsections (e)(3) and (e)(8) because disclosure and notice would provide the subject with substantial information which could impede or compromise the investigation. For example, an investigatory subject occupying a supervisory position could, once made aware that a misconduct investigation was ongoing, put undue pressure on subordinates so as to preclude their cooperation with investigators.

[Order No. 58–81, 46 FR 3509, Jan. 15, 1981]

§ 16.81 Exemption of United States Attorneys Systems—Limited access.

(a) The following systems of records are exempt from 5 U.S.C. 552a(c) (3) and (4), (d), (e) (1), (2) and (3), (e)(4) (G) and (H), (e) (5) and (8), (f), and (g):

(1) Citizen Complaint Files (JUSTICE/USA–003).

(2) Civil Case Files (JUSTICE/USA–005).

(3) Consumer Complaints (JUSTICE/USA–006).

(4) Criminal Case Files (JUSTICE/USA–007).

(5) Kline-District of Columbia and Maryland-Stock and Land Fraud Interrelationship Filing System (JUSTICE/USA–009).

(6) Major Crimes Division Investigative Files (JUSTICE/USA–010).

(7) Prosecutor's Management Information System (PROMIS) (JUSTICE/USA–011).

(8) United States Attorney, District of Columbia Superior Court Division, Criminal Files (JUSTICE/USA–013).

(9) Pre-trial Diversion Program Files (JUSTICE/USA–014).

These exemptions apply to the extent that information in these systems is subject to exemption pursuant to U.S.C. 552a(j)(2), (k)(1) and (k)(2).

(b) Exemptions from the particular subsections are justified for the following reasons:

(1) From subsection (c)(3) because the release of the disclosure accounting, for disclosures pursuant to the routine uses published for these systems, would permit the subject of a criminal investigation and/or civil case or matter under investigation, litigation, regulatory or administrative review or action, to obtain valuable information concerning the nature of that investigation, case or matter and present a serious impediment to law enforcement or civil legal activities.

(2) From subsection (c)(4) since an exemption is being claimed for subsection (d), this subsection will not be applicable.

(3) From subsection (d) because access to the records contained in these systems would inform the subject of criminal investigation and/or civil investigation, matter or case of the existence of that investigation, provide the subject of the investigation with information that might enable him to avoid detection, apprehension or legal obligations, and present a serious impediment to law enforcement and other civil remedies.

(4) From subsection (e)(1) because in the course of criminal investigations and/or civil investigations, cases or matters, the United States Attorneys often obtain information concerning the violation of laws or civil obligations other than those relating to an active case or matter. In the interests of effective law enforcement and civil litigation, it is necessary that the United States Attorneys retain this information since it can aid in establishing patterns of activity and provide valuable leads for other agencies and future cases that may be brought within the United States Attorneys' offices.

(5) From subsection (e)(2) because in a criminal investigation the requirement that information be collected to the greatest extent possible from the subject individual would present a serious impediment to law enforcement in that the subject of the investigation would be placed on notice of the existence of the investigation and would therefore be able to avoid detection, apprehension or legal obligations and duties.

(6) From subsection (e)(3) because the requirement that individuals supplying information be provided with a form stating the requirements of subsection (e)(3) would constitute a serious impediment to law enforcement in that it could compromise the existence of a confidential investigation, reveal the identity of confidential sources of information and endanger the life and physical safety of confidential informants.

(7) From subsections (e)(4) (G) and (H) because these systems of records are exempt from individual access pursuant to subsections (j) and (k) of the Privacy Act of 1974.

(8) From subsection (e)(5) because in the collection of information for law enforcement purposes it is impossible to determine in advance what information is accurate, relevant, timely, and complete. With the passage of time, seemingly irrelevant or untimely information may acquire new significance as further investigation brings new details to light and the accuracy of such information can only be determined in a court of law. The restrictions of subsection (e)(5) would restrict the ability of trained investigators and intelligence analysts to exercise their judgment in reporting on investigations and impede the development of intelligence necessary for effective law enforcement.

(9) From subsection (e)(8) because the individual notice requirements of subsection (e)(8) could present a serious impediment to law enforcement as this could interfere with the United States Attorneys' ability to issue subpoenas and could reveal investigative techniques and procedures.

(10) From subsection (f) because these systems of records have been exempted from the access provisions of subsection (d).

(11) From subsection (g) because these systems of records are compiled for law enforcement purposes and have been exempted from the access provisions of subsections (d) and (f).

(c) Consistent with the legislative purpose of the Privacy Act of 1974, the Executive Office for United States Attorneys will grant access to nonexempt material in records which are maintained by the United States Attorneys. Disclosure will be governed by the Department's Privacy Regulations, but will be limited to the extent that the identity of confidential sources will not be compromised; subjects of an investigation of an actual or potential criminal, civil or regulatory violation will not be alerted to the investigation; the physical safety of witnesses, informants and law enforcement personnel will not be endangered, the privacy of third parties will not be violated; and that the disclosure would not otherwise impede effective law enforcement. Whenever possible, information of the above nature will be deleted from the requested documents and the balance made available. The controlling principle behind this limited access is to allow disclosures except those indicated above. The decisions to release information from these systems will be made on a case-by-case basis.

(d) The following system of records is exempt from 5 U.S.C. 552a(c) (3) and (4), (d), (e) (1), (2) and (3), (e)(4) (G) and (H), (e) (5) and (8), (f), and (g):

(1) Freedom of Information Act/ Privacy Act Files (JUSTICE/USA–008)

These exemptions apply to the extent that information in this system is subject to exemption pursuant to 5 U.S.C. 552a(j)(2), (k)(1) and (k)(2).

(e) Because this system contains Department of Justice civil and criminal law enforcement, investigatory records, exemptions from the particular subsections are justified for the following reasons:

(1) From subsection (c)(3) because the release of the disclosure accounting would permit the subject of a criminal investigation and/or civil case or matter under investigation, in litigation, or under regulatory or administrative review or action to obtain valuable information concerning the nature of that investigation, case or matter, and present a serious impediment to law enforcement or civil legal activities.

(2) From subsection (c)(4) because an exemption is being claimed for subsection (d) of the Act (Access to Records), rendering this subsection inapplicable to the extent that this system of records is exempted from subsection (d).

(3) From subsection (d) because access to the records contained in these systems would inform the subject of a criminal or civil investigation, matter or case of the existence of such, and provide the subject with information that might enable him to avoid detection, apprehension or legal obligations, and present a serious impediment to law enforcement and other civil remedies. Amendment of the records would interfere with ongoing criminal law enforcement proceedings and impose an impossible administrative burden by requiring criminal investigations to be continuously reinvestigated.

(4) From subsection (e)(1) because in the course of criminal investigations and/or civil investigations, cases or matters, the United States Attorneys often obtain information concerning the violation of laws or civil obligations other than those relating to an active case or matter. In the interests of effective law enforcement and civil litigation, it is necessary that the United States Attorneys retain this information since it can aid in establishing patterns of activity and provide valuable leads for other agencies and future cases that may be brought within the United States Attorneys' offices.

(5) From subsection (e)(2) because to collect information to the greatest extent possible from the subject individual of a criminal investigation or prosecution would present a serious impediment to law enforcement in that the subject of the investigation would be placed on notice of the existence of the investigation and would therefore be able to avoid detection, apprehension, or legal obligations and duties.

(6) From subsection (e)(3) because to provide individuals supplying information with a form stating the requirements of subsection (e)(3) would constitute a serious impediment to law enforcement in that it could compromise the existence of a confidential investigation, reveal the identity of confidential sources of information, and endanger the life and physical safety of confidential informants.

(7) From subsections (e)(4) (G) and (H) because this system of records is exempt from the individual access provisions of subsection (d) and the rules provisions of subsection (f).

(8) From subsection (e)(5) because in the collection of information for law enforcement purposes it is impossible to determine in advance what information is accurate, relevant, timely, and complete. With the passage of time, seemingly irrelevant or untimely information may acquire new significance as further investigation brings new details to light and the accuracy of such information can only be determined in a court of law. The restrictions of subsection (e)(5) would inhibit the ability of trained investigator and intelligence analysts to exercise their judgment in reporting on investigations and impede the development of intelligence necessary for effective law enforcement.

(9) From subsection (e)(8) because the individual notice requirements of subsection (e)(8) could present a serious impediment to law enforcement as this could interfere with the United States Attorneys' ability to issue subpoenas and could reveal investigative techniques and procedures.

(10) From subsection (f) because this system has been exempted from the individual access provisions of subsection (d).

(11) From subsection (g) because the records in this system are generally compiled for law enforcement purposes and are exempt from the access provisions of subsections (d) and (f), rendering subsection (g) inapplicable.

[Order No. 645–76, 41 FR 12640, Mar. 26, 1976, as amended by Order No. 716–77, 42 FR 23506, May 9, 1977; Order No. 738–77, 42 FR 38177, July 27, 1977; AAG/A Order No. 6–86, 51 FR 15475, Apr. 24, 1986]

§§ 16.82 [Reserved]

§ 16.83 Exemption of the Executive Office for Immigration Review System—Limited Access.

(a) The following system of records is exempt from 5 U.S.C. 552a(d):

(1) The Executive Office for Immigration Review's Records and Management Information System (JUSTICE/EOIR–001). This exemption applies only to the extent that information in the system is subject to exemption pursuant to 5 U.S.C. 552a(k) (1) and (2).

(b) Exemption from the particular subsections are justified for the following reasons:

(1) From subsection (d) because access to information which has been properly classified pursuant to an Executive Order could have an adverse effect on the national security. In addition, from subsection (d) because unauthorized access to certain investigatory material could compromise ongoing or potential investigations; reveal the identity of confidential informants; or constitute unwarranted invasions of the personal privacy of third parties.

(2) From subsection (d) (2), (3), and (4 because the record of proceeding constitutes an official record which includes transcripts of quasi-judicial administrative proceedings, investigatory materials, evidentiary materials such as exhibits, decisional memoranda, and other case-related papers. Administrative due process could not be achieved by the ex parte "correction" of such materials by the individual who is the subject thereof.

[AAG/A Order No. 18–86, 51 FR 32305, Sept. 11, 1986]

§ 16.84 Exemption of Board of Immigration Appeals System.

(a) The following system of records is exempt from 5 U.S.C. 552a(d) (2), (3) and (4):

(1) Decisions of the Board of Immigration Appeals (JUSTICE/BIA-001).

This exemption applies only to the extent that information in this system is subject to exemption pursuant to 5 U.S.C. 552a(k).

(b) Exemptions from the particular subsections are justified for the following reasons:

(1) From subsections (d) (2), (3) and (4) because the decisions reflected constitute official records of opinions rendered in quasi-judicial proceedings. Administrative due process could not be achieved by the ex parte "correction" of such opinions by the subject of the opinion.

§ 16.85 Exemption of Parole Commission System—Limited access.

(a) The following systems of records are exempt from 5 U.S.C. 552(c) (3) and (4), (d), (e) (2) and (3), (e)(4) (G) and (H), (e)(8), (f) and (g):

(1) Docket Scheduling and Control System (JUSTICE/PRC–001).

(2) Inmate and Supervision Files System (JUSTICE/PRC–003).

(3) Labor and Pension Case, Legal File, and General Correspondence System (JUSTICE/PRC–004).

(4) Statistical, Educational and Developmental System (JUSTICE/PRC–006).

(5) Workload Record, Decision Result, and Annual Report System (JUSTICE/PRC–007).

These exemptions apply only to the extent that information in these systems is subject to exemptions pursuant to 5 U.S.C. 552a(j)(2).

(b) Exemptions from the particular subsections are justified for the following reasons:

(1) From subsection (c)(3) because revealing disclosure of accountings to inmates and persons on supervision could compromise legitimate law enforcement activities and Parole Commission responsibilities.

(2) From subsection (c)(4) because the exemption from subsection (d) will make notification of disputes inapplicable.

(3) From subsection (d) because this is essential to protect internal processes by which Commission personnel are able to formulate decisions and policies with regard to federal prisoners and persons under supervision, to prevent disclosures of information to federal inmates or persons on supervision that would jeopardize legitimate correctional interests of security, custody, supervision, or rehabilitation, to permit receipt of relevant information from other federal agencies, state and local law enforcement agencies, and federal and state probation and judicial offices, to allow private citizens to express freely their opinions for or against parole, to allow relevant criminal history type information of codefendants to be kept in files, to allow medical, psychiatric and sociological material to be available to professional staff, and to allow a candid process of fact selection, opinion formulation, evaluation and recommendation to be continued by professional staff. The legal files contain case development material and, in addition to other reasons, should be exempt under the attorney-client privilege. Each labor or pension applicant has had served upon him the material in his file which he did not prepare and may see his own file at any time.

(4) From subsection (e)(2) because primary collection of information directly from federal inmates or persons on supervision about criminal sentence, criminal records, institutional performance, readiness for release from custody, or need to be returned to custody is highly impractical and inappropriate.

(5) From subsection (e)(3) because application of this provision to the operations and collection of information by the Commission, which is primarily from sources other than the individual, is inappropriate.

(6) From subsections (e)(4) (G) and (H) because exemption from the access provisions of (d) makes publication of agency procedures under (d) inapplicable.

(7) From subsection (e)(8) because the nature of the Commission's activities renders notice of compliance with compulsory legal process impractical.

(8) From subsection (f) because exemption from the provisions of subsection (d) will render compliance with provisions of this subsection inapplicable.

(9) From subsection (g) because exemption from the provisions of subsection (d) will render the provisions on suits to enforce (d) inapplicable.

(c) Consistent with the legislative purpose of the Privacy Act of 1974 the U.S. Parole Commission will initiate a procedure whereby present and former prisoners and parolees may obtain copies of material in files relating to them that are maintained by the U.S. Parole Commission. Disclosure of the contents will be affected by providing copies of documents to requesters through the mails. Disclosure will be made to the same extent as would be made under the substantive exemptions of the Parole Commission and Reorganization Act of 1976 (18 U.S.C. 4208) and Rule 32 of the Federal Rules of Criminal Procedure. The procedure relating to disclosure of documents may be changed generally in the interest of improving the Commission's system of disclosure or when required by pending or future decisions and directions of the Department of Justice.

[Order No. 645–76, 41 FR 12640, Mar. 26, 1976, as amended by AAG/A Order 14–78, 43 FR 45993, Oct. 5, 1978; Order No. 899–80, 45 FR 43703, June 30, 1980; AAG/A Order No. 6–86, 51 FR 15477, Apr. 24, 1986]

§§ 16.86–16.87 [Reserved]

§ 16.88 Exemption of Antitrust Division Systems—Limited Access.

(a) The following system of records is exempt from 5 U.S.C. 552a (c)(3), (d), (e)(4) (G) and (H), and (f):

(1) Antitrust Caseload Evaluation System (ACES)—Monthly Report (JUSTICE/ATR–006).

These exemptions apply only to the extent that information in this system is subject to exemption pursuant to 5 U.S.C. 552a (k)(2).

(b) Exemption from the particular subsections are justified for the following reasons:

(1) From subsection (c)(3) because information in this system is maintained in aid of ongoing antitrust enforcement investigations and proceedings. The release of the accounting of disclosures made under subsection (b) of the Act would permit the subject of an investigation of an actual or potential criminal or civil violation to determine whether he is the subject of an investigation. Disclosure of the accounting would therefore present a serious impediment to antitrust law enforcement efforts.

(2) From subsection (d) because access to the information retrievable from this system and compiled for law enforcement purposes could result in the premature disclosure of the identity of the subject of an investigation of an actual or potential criminal or civil violation and information concerning the nature of that investigation. This information could enable the subject to avoid detection or apprehension. This would present a serious impediment to effective law enforcement since the subject could hinder or prevent the successful completion of the investigation. Further, confidential business and financial information, the identities of confidential sources of information, third party privacy information, and statutorily confidential information such as grand jury information must be protected from disclosure.

(3) From subsections (e)(4)(G) and (H), and (f) because this system is exempt from the individual access provisions of subsection (d).

(c) The following system of records is exempt from 5 U.S.C. 552a (c)(3), (d), (e)(4)(G) and (H), and (f):

(1) Freedom of Information/Privacy—Requester/Subject Index File (JUSTICE/ATR–008).

These exemptions apply to the extent that information in this system is subject to exemption pursuant to 5 U.S.C. 552a (k)(2).

(d) Because this system contains Department of Justice civil and criminal law enforcement, investigatory records, exemptions from the particular subsections are justified for the following reasons:

(1) From subsection (c)(3) because the release of the accounting of disclosures made under subsection (b) of the Act would permit the subject of an investigation of an actual or potential criminal or civil violation to determine whether he is the subject of an investigation. Disclosure of accounting would therefore present a serious impediment to antitrust law enforcement efforts.

(2) From subsection (d) because access to information in this system could result in the premature disclosure of the identity of the subject of an investigation of an actual or potential criminal or civil violation and information concerning the nature of the investigation. This information could enable the subject to avoid detection or apprehension. This would present a serious impendiment to effective law enforcement since the subject could hinder or prevent the successful completion of the investigation. Further, confidential business and financial information, the identities of confidential sources of information, third party privacy information, and statutorily confidential information such as grand jury information must be protected from disclosure.

(3) From subsections (e)(4)(G) and (H), and (f) because this system is exempt from the individual access provisions of subsection (d).

[AAG/A Order No.2–86, 51 FR 884, Jan. 9, 1986]

§ 16.89 Exemption of Civil Division Systems—limited access.

(a) The following systems of records are exempted pursuant to 5 U.S.C. 552a(j)(2) from subsections (c) (3) and (4), (d), (e)(1), (e)(2), (e)(3), (e)(4) (G) and (H), (e)(5), (e)(8), and (g); in addition, the following systems of records are exempted pursuant to 5 U.S.C. 552a (k)(1) and (k)(2) from subsections (c)(3), (d), (e)(1), (e)(4) (G) and (H):

(1) Civil Division Case File System, JUSTICE/CIV–001.

(2) Freedom of Information/Privacy Acts File System, JUSTICE/CIV–005.

These exemptions apply only to the extent that information in these systems is subject to exemption pursuant to 5 U.S.C. 552a (j)(2), (k)(1) and (k)(2).

(b) Only that information which relates to the investigation, prosecution, or defense of actual or potential criminal or civil litigation, or which has been properly classified in the interest of national defense and foreign policy is exempted for the reasons set forth from the following subsections:

(1) *Subsection (c)(3).* To provide the subject of a criminal or civil matter or case under investigation with an accounting of disclosures of records concerning him or her would inform that individual (and others to whom the subject might disclose the records) of the existence, nature, or scope of that investigation and thereby seriously impede law enforcement efforts by permitting the record subject and others to avoid criminal penalties and civil remedies.

(2) *Subsections (c)(4), (e)(4) (G) and (H), and (g).* These provisions are inapplicable to the extent that these systems of records are exempted from subsection (d).

(3) *Subsection (d).* To the extent that information contained in these systems has been properly classified, relates to the investigation and/or prosecution of grand jury, civil fraud, and other law enforcement matters, disclosure could compromise matters which should be kept secret in the interest of national security or foreign policy; compromise confidential investigations or proceedings; hamper sensitive civil or criminal investigations; impede affirmative enforcement actions based upon alleged violations of regulations or of civil or criminal laws; reveal the identity of confidential sources; and result in unwarranted invasions of the privacy of others. Amendment of the records would interfere with ongoing criminal law enforcement proceedings and impose an impossible administrative burden by requiring criminal investigations to be continuously reinvestigated.

(4) *Subsection (e)(1).* In the course of criminal or civil investigations, cases, or matters, the Civil Division may obtain information concerning the actual or potential violation of laws which are not strictly within its statutory authority. In the interest of effective law enforcement, it is necessary to retain such information since it may establish patterns of criminal activity or avoidance of other civil obligations and provide leads for Federal and other law enforcement agencies.

(5) *Subsection (e)(2).* To collect information from the subject of a criminal investigation or prosecution would present a serious impediment to law enforcement in that the subject (and others to whom the subject might be in contact) would be informed of the existence of the investigation and would therefore be able to avoid detection or apprehension, to influence witnesses improperly, to destroy evidence, or to fabricate testimony.

(6) *Subsection (e)(3).* To comply with this requirement during the course of a criminal investigation or prosecution could jeopardize the investigation by disclosing the existence of a confidential investigation, revealing the identity of witnesses or confidential informants, or impeding the information gathering process.

(7) *Subsection (e)(5).* In compiling information for criminal law enforcement purposes, the accuracy, completeness, timeliness and relevancy of the information obtained cannot always be immediately determined. As new details of an investigation come to light, seemingly irrelevant or untimely information may acquire new significance and the accuracy of such information can often only be determined in a court of law. Compliance with this requirement would therefore restrict the ability of government attorneys in exercising their judgment in developing information necessary for effective law enforcement.

(8) *Subsection (e)(8).* To serve notice would give persons sufficient warning to evade law enforcement efforts.

(c) The following system of records is exempted pursuant to 5 U.S.C. 552a(j)(2) from subsections (c) (3) and (4), (d), (e)(1) and (e)(5); in addition, this system is also exempted pursuant to 5 U.S.C. 552a(k)(2) from subsections (c)(3), (d), and (e)(1).

Consumer Inquiry/Investigatory System, JUSTICE/CIV–006.

These exemptions apply only to the extent that information in this system of records is subject to exemption pursuant to 5 U.S.C. 552a (j)(2) and (k)(2).

(d) Only that information compiled for criminal or civil law enforcement purposes is exempted for the reasons set forth from the following subsections:

(1) *Subsections (c)(3).* This system occasionally contains investigatory material based on complaints of actual or alleged criminal or civil violations. To provide the subject of a criminal or civil matter or case under investigation with an accounting of disclosures of records concerning him/her would inform that individual of the existence, nature, or scope of that investigation, and thereby

seriously impede law enforcement efforts by permitting the record subject and other persons to whom he might disclose the records to avoid criminal penalties and civil remedies.

(2) *Subsections (c)(4).* This subsection is inapplicable to the extent that an exemption is being claimed for subsection (d).

(3) *Subsection (d).* Disclosure of information relating to the investigation of complaints of alleged violation of criminal or civil law could interfere with the investigation, reveal the identity of confidential sources, and result in an unwarranted invasion of the privacy of others. Amendment of the records would interfere with ongoing criminal law enforcement proceedings and impose an impossible administrative burden by requiring criminal investigations to be continuously reinvestigated.

(4) *Subsection (e)(1).* In the course of criminal or civil investigations, cases, or matters, the Civil Division may obtain information concerning the actual or potential violation of laws which are not strictly within its statutory authority. In the interest of effective law enforcement, it is necessary to retain such information since it may establish patterns of criminal activity or avoidance of other civil obligations and provide leads for Federal and other law enforcement agencies.

(5) *Subsection (e)(5).* In compiling information for criminal law enforcement purposes, the accuracy, completeness, timeliness and relevancy of the information obtained cannot always be immediately determined. As new details of an investigation come to light, seemingly irrelevant or untimely information may acquire new significance and the accuracy of such information can often only be determined in a court of law. Compliance with this requirement would therefore restrict the ability of government attorneys in exercising their judgment in developing information necessary for effective law enforcement.

(e) The following system of records is exempt pursuant to 5 U.S.C. 552a (j)(2) and (k)(2) from subsection (d):

Congressional and Citizen Correspondence File, JUSTICE/CIV–007.

This exemption applies only to the extent that information in this system is subject to exemption pursuant to 5 U.S.C 552a (j)(2) and (k)(2).

(f) Only that portion of the Congressional and Citizen Correspondence File maintained by the Communications Office which consists of criminal or civil investigatory information is exempted for the reasons set forth from the following subsection:

(1) *Subsection (d).* Disclosure of investigatory information would jeopardize the integrity of the investigative process, disclose the identity of individuals who furnished information to the government under an express or implied promise that their identities would be held in confidence, and result in an unwarranted invasion of the privacy of others. Amendment of the records would interfere with ongoing criminal law enforcement proceedings and impose an impossible administrative burden by requiring criminal investigations to be continuously reinvestigated.

[AAG/A Order No. 27–88, 54 FR 113, Jan. 4, 1989]

§ 16.90 Exemption of Civil Rights Division Systems.

(a) The following system of records is exempt from 5 U.S.C. 552a(d):

(1) Files on Employment Civil Rights Matters Referred by the Equal Employment Opportunity Commission (JUSTICE/CRT–007).

This exemption applies to the extent that information in this system is subject to exemption pursuant to 5 U.S.C. 552a(k).

(b) Exemptions from the particular subsections are justified for the following reasons:

(1) From subsection (d) because this system contains investigatory material compiled by the Equal Opportunity Commission pursuant to its authority under 42 U.S.C. 2000e–8. 42 U.S.C. 2000e–8(e) and 44 U.S.C. 3508 make it unlawful to make public in any manner whatsoever any information obtained by the Commission pursuant to the authority.

(c) The following systems of records are exempt from 5 U.S.C. 552a (c)(3) and (d):

(1)Central Civil Rights Division Index File and Associated Records (JUSTICE/CRT–001).

These exemptions apply only to the extent that information in these systems is subject to exemption pursuant to 5 U.S.C. 552a(j)(2) and (k)(2).

(d) Exemptions from the particular subsections are justified for the following reasons:

(1) From subsection (c)(3) because the release of the disclosure accounting for disclosure pursuant to the routine uses published for this system may enable the subject of an investigation to gain valuable information concerning the nature and scope of the investigation and seriously hamper law enforcement efforts.

(2) From subsection (d) because freely permitting access to records in this system would compromise ongoing investigations and reveal investigatory techniques. In addition, these records may be subject to protective orders entered by federal courts to protect their confidentiality. Many of the records contained in these systems are copies of documents which are the property of state agencies and where obtained under express or implied promises to strictly protect their confidentiality.

(3) From subsectiion (g) because exemption from the provision of subsection (d) will render the provisions on suits to enforce (d) inapplicable.

(e)The following system of records is exempt from 5 U.S.C. 552a(c)(3), (d), and (g):

(1)Freedom of Information/Privacy Act Records (JUSTICE/CRT–010).

These exemp–tions apply to the extent that information in this system is subject to exemption pursuant to 5 U.S.C. 552a(j)(2) and (k)(2).

(f) Because this system contains Department of Justice civil and criminal law enforcement, investigatory records, exemptions from the particular subsections are justified for the following reasons:

(1) From subsection (c)(3) because the release of the disclosure accounting enable the subject of an investigation to gain valuable information concerning the nature and scope of the investigation and seriously hamper law enforcement efforts.

(2) From subsection (d) because access to records in this system would compromise ongoing investigations and reveal investigative techniques. In addition, certain iof these records may be subject to protective orders entered by Federal courts to protect their confidentiality, and many are copies of documents which are the property of State agencies and were obtained under express or implied promises to strictly protect their confidentiality. This system also contains investigatory material complied by the Equal Opportunity Commission pursuant to its authority under 42 U.S.C.2000e–8. Provisions of 42 U.S.C. 2000e–5(b), 42 U.S.C. 2000e–8(e), and 44 U.S.C. 3508 make it unlawful to make public in any manner whatsoever any information obtained by the Commission pursuant to the authority. Amendment of the records would interfere with ongoing criminal law enforcement proceedings and impose an impossible administrative burden by requiring criminal investigations to be continuously reinvestigated.

(3) From subsection (g) because exemption from subsection (d) will

render the provisions on suits to enforce subsection (d) inapplicable.

[Order No. 645–76, 41 FR 12640, Mar. 26, 1976, as amended by Order No. 688–77, 42 FR 10000, Feb. 18, 1977; Order No. 8–82, 47 FR 44256, Oct. 7, 1982; Order No. 6–86, 51 FR 15477, Apr. 24, 1986]

§ 16.91 Exemption of Criminal Division Systems—Limited access, as indicated.

(a) The following systems of records are exempted pursuant to the provisions of 5 U.S.C. 552a(j)(2) from subsections (c) (3) and (4), (d), (e) (1), (2) and (3), (e)(4) (G), (H) and (I), (e) (5) and (8), (f) and (g) of 5 U.S.C. 552a; in addition, the following systems of records are exempted pursuant to the provisions of 5 U.S.C. 552a (k)(1) and (k)(2) from subsections (c)(3), (d), (e)(1), (e)(4) (G), (H), and (I), and (f) of 5 U.S.C. 552a:

(1) Central Criminal Division, Index File and Associated Records System of Records (JUSTICE/CRM–001)—Limited Access.

(2) General Crimes Section, Criminal Division, Central Index File and Associated Records System of Records (JUSTICE/CRM–004)—Limited Access.

These exemptions apply to the extent that information in those systems are subject to exemption pursuant to 5 U.S.C. 552a (j)(2), (k)(1) and (k)(2).

(b) The systems of records listed under paragraphs (b)(1) and (b)(2) of this section are exempted, for the reasons set forth, from the following provisions of 5 U.S.C. 552a:

(1). (c)(3). The release of the disclosure accounting for disclosures made pursuant to subsection (b) of the Act, including those permitted under the routine uses published for these systems of records, would permit the subject of an investigation of an actual or potential criminal, civil, or regulatory violation to determine whether he is the subject of investigation, or to obtain valuable information concerning the nature of that investigation, and the information obtained, or the identity of witnesses and informants and would therefore present a serious impediment to law enforcement. In addition, disclosure of the accounting would amount to notice to the individual of the existence of a record; such notice requirement under subsection (f)(1) is specifically exempted for these systems of records.

(2). (c)(4). Since an exemption is being claimed for subsection (d) of the Act (Access to Records) this subsection is inapplicable to the extent that these systems of records are exempted from subsection (d).

(3). (d). Access to the records contained in these systems would inform the subject of an investigation of an actual or potential criminal, civil, or regulatory violation of the existence of that investigation, or the nature and scope of the information and evidence obtained as to his activities, of the identity of witnesses and informants, or would provide information that could enable the subject to avoid detection or apprehension. These factors would present a serious impediment to effective law enforcement because they could prevent the successful completion of the investigation, endanger the physical safety of witnesses or informants, and lead to the improper influencing of witnesses, the destruction of evidence, or the fabrication of testimony.

(4). (e)(1). The notices of these systems of records published in the **Federal Register** set forth the basic statutory or related authority for maintenance of this system. However, in the course of criminal or other law enforcement investigations, cases, and matters, the Criminal Division or its components will occasionally obtain information concerning actual or potential violations of law that are not strictly within its statutory or other authority or may compile information in the course of an investigation which may not be relevant to a specific prosecution. In the interests of effective law enforcement, it is necessary to retain such information in these systems of records since it can aid in establishing patterns of criminal activity and can provide valuable leads for federal and other law enforcement agencies.

(5). (e)(2). In a criminal investigation or prosecution, the requirement that information be collected to the greatest extent practicable from the subject individual would present a serious impediment to law enforcement because the subject of the investigation or prosecution would be placed on notice as to the existence of the investigation and would therefore be able to avoid detection or apprehension, to influence witnesses improperly, to destroy evidence, or to fabricate testimony.

(6). (e)(3). The requirement that individuals supplying information be provided with a form stating the requirements of subsection (e)(3) would constitute a serious impediment to law enforcement in that it could compromise the existence of a confidential investigation or reveal the identity of witnesses or confidential informants.

(7). (e)(4) (G) and (H). Since an exemption is being claimed for subsections (f) (Agency Rules) and (d) (Access to Records) of the Act these subsections are inapplicable to the extent that these systems of records are exempted from subsections (f) and (d).

(8). (e)(4)(I). The categories of sources of the records in these systems have been published in the **Federal Register** in broad generic terms in the belief that this is all that subsection (e)(4)(I) of the Act requires. In the event, however, that this subsection should be interpreted to require more detail as to the identity of sources of the records in these systems, exemption from this provision is necessary in order to protect the confidentiality of the sources of criminal and other law enforcement information. Such exemption is further necessary to protect the privacy and physical safety of witnesses and informants.

(9). (e)(5). In the collection of information for criminal law enforcement purposes it is impossible to determine in advance what information is accurate, relevant, timely, and complete. With the passage of time, seemingly irrelevant or untimely information may acquire new significance as further investigation brings new details to light and the accuracy of such information can often only be determined in a court of law. The restrictions of subsection (e)(5) would restrict the ability of trained investigators, intelligence analysts, and government attorneys in exercising their judgment in reporting on information and investigations and impede the development of criminal or other intelligence necessary for effective law enforcement.

(10). (e)(8). The individual notice requirements of subsection (e)(8) could present a serious impediment to law enforcement as this could interfere with the ability to issue warrants or subpoenas and could reveal investigative techniques, procedures, or evidence.

(11). (f). Procedures for notice to an individual pursuant to subsection (f)(1) as to the existence of records pertaining to him dealing with an actual or potential criminal, civil, or regulatory investigation or prosecution must be exempted because such notice to an individual would be detrimental to the successful conduct and/or completion of an investigation or prosecution pending or future. In addition, mere notice of the fact of an investigation could inform the subject or others that their activities are under or may become the subject of an investigation and could enable the subjects to avoid detection or apprehension, to influence witnesses improperly, to destroy evidence, or to fabricate testimony.

Since an exemption is being claimed for subsection (d) of the Act (Access to Records) the rules require pursuant to subsection (f)(2) through (5) are inapplicable to these systems of records to the extent that these systems of records are exempted from subsection (d).

(12). (g). Since an exemption is being claimed for subsections (d) (Access to Records) and (f) (Agency Rules) this section is inapplicable, and is exempted for the reasons set forth for those subsections, to the extent that these systems of records are exempted from subsections (d) and (f).

(13). In addition, exemption is claimed for these systems of records from compliance with the following provisions of the Privacy Act of 1974 (5 U.S.C. 552a) pursuant to the provisions of 5 U.S.C. 552a(k)(1): Subsections (c)(3), (d), (e)(1), (e)(4) (G), (H) and (I) and (f) to the extent that the records contained in these systems are specifically authorized to be kept secret in the interests of national defense and foreign policy.

(c) The following system of records is exempted pursuant to the provisions of 5 U.S.C. 552a(j)(2) from subsection (c)(3) and (4), (d), (e)(1), (2) and (3), (e)(4)(G), (H) and (I), (e)(5) and (8), (f) and (g) of 5 U.S.C. 552a: Criminal Division Witness Security File System of Records (JUSTICE/CRM–002). These exemptions apply to the extent that information in this system is subject to exemption pursuant to 5 U.S.C. 552a(j)(2).

(d) The systems of record listed under paragraph (c) of this section is exempted, for the reasons set forth, from the following provisions of 5 U.S.C. 552a:

(1). (c)(3) The release of the disclosure accounting for disclosures made pursuant to subsection (b) of the Act, including those permitted under the routine uses published for these systems of records, would permit the subject of an investigation of an actual or potential criminal violation, which may include those protected under the Witness Security Program, to determine whether he is the subject of a criminal investigation, to obtain valuable information concerning the nature of that investigation and the information obtained, or the identity of witnesses and informants and the nature of their reports, and would therefore present a serious impediment to law enforcement. In addition, disclosure of the accounting would amount to notice to the individual of the existence of a record; such notice requirement under subsection (f)(1) is specifically exempted for these systems of records. Moreover, disclosure of the disclosure accounting to an individual protected under the Witness Security Program could jeopardize the effectiveness and security of the Program by revealing the methods and techniques utilized in relocating witnesses and could therefore jeopardize the ability to obtain, and to protect the confidentiality of, information compiled for purposes of a criminal investigation.

(2). (c)(4) Since an exemption is being claimed for subsection (d) of the Act (Access to Records) this section is inapplicable.

(3). (d) Access to the records contained in these systems would inform the subject of an investigation of an actual or potential criminal violation, which may include those protected under the Witness Security Program, of the existence of that investigation, of the nature and scope of the information and evidence obtained as to his activities, of the identity of witnesses and informants, or would provide information that could enable the subject to avoid detection or apprehension. These factors would present a serious impediment to effective law enforcement because they could prevent the successful completion of the investigation, endanger the physical safety of witnesses or informants, and lead to the improper influencing of witnesses, the destruction of evidence, or the fabrication of testimony. In addition, access to the records in these systems to an individual protected under the Witness Security Program could jeopardize the effectiveness and security of the Program by revealing the methods and techniques utilized in relocating witnesses and could therefore jeopardize the ability to obtain, and to protect the confidentiality of, information compiled for purposes of a criminal investigation.

(4). Exemption is claimed from subsection (e)(1) for the reasons stated in subsection (b)(4) of this section.

(5). (e)(2) In the course of preparing a Witness Security Program for an individual, much of the information is collected from the subject. However, the requirement that the information be collected to the greatest extent practicable from the subject individual would present a serious impediment to criminal law enforcement because the individual himself may be the subject of a criminal investigation or have been a participant in, or observer of, criminal activity. As a result, it is necessary to seek information from other sources. In addition, the failure to verify the information provided from the individual when necessary and to seek other information could jeopardize the confidentiality of the Witness Security Program and lead to the obtaining and maintenance of incorrect and uninvestigated information on criminal matters.

(6). (e)(3) The requirement that individuals supplying information be provided with a form stating the requirements of subsection (e)(3) would constitute a serious impediment to law enforcement in that it could compromise or reveal the identity of witnesses and informants protected under the Witness Security Program.

(7). (e)(4) (G) and (H). Since an exemption is being claimed for subsections (f) (Agency Rules) and (d) (Access to Records) of the Act these subsections are inapplicable.

(8). (e)(4)(I). The categories of sources of the records in these systems have been published in the **Federal Register** in broad generic terms in the belief that this is all that subsection (e)(4)(I) of the Act requires. In the event, however, that this subsection should be interpreted to require more detail as to the identity of sources of the records in the system, exemption from this provision is necessary in order to protect the confidentiality of the sources of criminal law, enforcement information and of witnesses and informants protected under the Witness Security Program.

(9). Exemption is claimed from subsections (e)(5) and (e)(8) for the reasons stated in subsection (b)(9) and (b)(10) of this section.

(10). Procedures for notice to an individual pursuant to subsection (f)(1) as to the existence of records contained in these systems pertaining to him would inform the subject of an investigation of an actual or potential criminal violation, which may include those protected under the Witness Security Program, of the existence of that investigation, of the nature and scope of the information and evidence obtained as to his activities, of the identity of witnesses and informants, or would provide information that could enable the subject to avoid detection or apprehension. These factors would present a serious impediment to effective law enforcement because they could prevent the successful conduct and/or completion of an investigation pending or future, endanger the physical safety of witnesses or informants, and lead to the improper influencing of witnesses, the destruction of evidence, or the fabrication of testimony. In addition, notices as to the existence of records contained in these systems to an individual protected under the Witness Security Program could jeopardize the effectiveness and security of the Program by revealing the methods and techniques utilized in relocating witnesses and could therefore jeopardize the ability to obtain, and to protect the confidentiality of, information compiled for purposes of a criminal investigation.

Since an exemption is being claimed for subsection (d) of the Act (Access to Records) the rules required pursuant to subsection (f) (2) through (5) are inapplicable.

(11). (g) Since an exemption is being claimed for subsections (d) (Access to Records) and (f) (Agency Rules) this section is inapplicable and is exempted for the reasons set forth for those subsections.

(e) The following system of records is exempted pursuant to the provisions of 5 U.S.C. 552a(j)(2) from subsections (c)(3) and (4), (d), (e)(4)(G), (H), and (I), (f) and (g) of 5 U.S.C. 552a: Organized Crime and Racketeering Section, Intelligence and Special Services Unit, Information Request System of Records (JUSTICE/CRM–014). These exemptions apply to the extent that information in this system is subject to exemption pursuant to 5 U.S.C. 552a(j)(2).

(f) The system of records listed under paragraph (e) of this section is exempted for the reasons set forth, from the following provisions of 5 U.S.C. 552a:

(1). (c)(3). The release of the disclosure accounting for disclosures made pursuant to subsection (b) of the Act, including those permitted under the routine uses published for these systems of records, would permit the subject of an investigation of an actual or potential criminal violation to determine whether he is the subject of a criminal investigation and would therefore present a serious impediment to law enforcement. The records in these systems contain the names of the subjects of the files in question and the system is accessible by name of the person checking out the file and by name of the subject of the file. In addition, disclosure of the accounting would amount to notice to the individual of the existence of a record; such notice requirement under subsection (f)(1) is specifically exempted for these systems of records.

(2). (c)(4). Since an exemption is being claimed for subsection (d) of the Act (Access to Records) this section is inapplicable.

(3). (d). Access to the records contained in these systems would inform the subject of an investigation of an actual or potential criminal violation of the existence of that investigation. This would present a serious impediment to effective law enforcement because it could prevent the successful completion of the investigation, endanger the physical safety of witnesses or informants, and lead to the improper influencing of witnesses, the destruction of evidence, or the fabrication of testimony.

(4). Exemption is claimed from subsections (e)(4) (G), (H) and (I) for the reasons stated in subsections (b)(7) and (b)(8) of this section.

(5). (f). These systems may be accessed by the name of the person who is the subject of the file and who may also be the subject of a criminal investigation. Procedures for notice to an individual pursuant to subsection (f)(1) as to the existence of records pertaining to him, which may deal with an actual or potential criminal investigation or prosecution, must be exempted because such notice to an individual would be detrimental to the successful conduct and/or completion of the investigation or prosecution pending or future. In addition mere notice of the fact of an investigation could inform the subject or others that their activities are under or may become the subject of an investigation and could enable the subjects to avoid detection or apprehension, to influence witnesses improperly, to destroy evidence, or to fabricate testimony.

Since an exemption is being claimed for subsection (d) of the Act (Access to Records) the rules required pursuant to subsection (f) (2) through (5) are inapplicable.

(6). (g). Since an exemption is being claimed for subsections (d) (Access to Records) and (f) (Agency Rules) of the Act this section is inapolicable and is exempted for the reasons set forth for those subsections.

(g) The following system of records is exempted pursuant to the provisions of 5 U.S.C. 552a(j)(2) from subsections (c)(4), (d), (e)(4) (G), (H) and (I), (f) and (g) of 5 U.S.C. 552a.

File of Names Checked to Determine If Those Individuals Have Been the Subject of an Electronic Surveillance System of Records (JUSTICE/CRM–003).

These exemptions apply to the extent that information in this system is subject to exemption pursuant to 5 U.S.C. 552a(j)(2).

(h) The system of records listed under paragraph (g) of this section is exempted, for the reasons set forth, from the following provisions of 5 U.S.C. 552a:

(1). (c)(4). Since an exemption is being claimed for subsection (d) of the Act (Access to Records) this section is inapplicable to the extent that this system of records is exempted from subsection (d).

(2). (d). The records contained in this system of records generally consist of information filed with the court in response to the request and made available to the requestor. To the extent that these records have been so filed, no exemption is sought from the provisions of this subsection. Occasionally, the records contain pertinent logs of intercepted communications and other investigative reports not filed with the court. These records must be exempted because access to such records could inform the subject of an investigation of an actual or potential criminal violation of the existence of that investigation and of the nature of the information and evidence obtained by the government. This would present a serious impediment to effective law enforcement because it could prevent the successful completion of the investigation, endanger the physical safety of witnesses or informants, and lead to the improper influencing of witnesses, the destruction of evidence, or the fabrication of testimony.

(3). Exemption is claimed from subsections (e)(4) (G), (H) and (I) for the reasons stated in subsections (b)(7) and (b)(8) of this section.

(4). (f). The records contained in this system of records generally consist of information filed with the court and made available to the requestor. To the extent that these records have been so filed, no exemption is sought from the provisions of this subsection. Occasionally, the records contain pertinent logs of intercepted communications and other investigative reports not filed with the court. These records must be exempted from a requirement of notification as to their existence because such notice to an individual would be detrimental to the successful conduct and/or completion of a criminal investigation or prosecution pending or future. In addition, mere notice of the existence of such logs or investigative reports could inform the subject or others that their activities are under or may become the subject of an investigation and could enable the subjects to avoid detection or apprehension, to influence witnesses improperly, to destroy evidence, or to fabricate testimony.

Since an exemption is being claimed for subsection (d) of the Act (Access to Records) the rules required pursuant to subsection (f) (2) through (5) are inapplicable to the extent that this system of records is exempted for subsection (d).

(6). (g). Since an exemption is being claimed for subsections (d) (Access to Records) and (f) (Agency Rules) this section is inapplicable, and is exempted for the reasons set forth for those subsections, to the extent that this system of records is exempted from subsections (d) and (f).

(i) The following systems of records are exempted pursuant to the provisions of 5 U.S.C. 552a(j)(2) from subsections (c) (3) and (4), (d), (e) (1), (2), and (3), (e)(4) (G), (H), and (I), (e) (5) and (8), (f) and (g) of 5 U.S.C. 552a:

(1) Information File on Individuals and Commercial Entities Known or Suspected of Being Involved in Fraudulent Activities System of Records (JUSTICE/CRM–006).

(2) The Stocks and Bonds Intelligence Control Card File System of Records (JUSTICE/CRM–021).

(3) Tax Disclosure Index File and Associated Records (JUSTICE/CRM–025).

These exemptions apply only to the extent that information in these systems is subject to exemption pursuant to 5 U.S.C. 552a(j)(2).

(j) The systems of records listed in paragraphs (i)(1), (i)(2), and (i)(3) of this section are exempted, for the reasons set forth, from the following provisions of 5 U.S.C. 552a:

(1)(c)(3) The release of the disclosure accounting for disclosures made pursuant to subsection (b) of the act, including those permitted under the routine uses published for these systems of records, would permit the subject of an investigation of an actual or potential criminal violation to determine whether he is the subject of a criminal investigation, to obtain valuable information concerning the nature of that investigation, and the information obtained, or the identity of witnesses and informants, and would therefore present a serious impediment to law enforcement. In addition, disclosure of the accounting would amount to notice to the individual of the existence of a record; such notice requirement under subsection (f)(1) is specifically exempted for this system of records.

(2)(c)(4) Since an exemption is being claimed for subsection (d) of the act (access to records), this section is inapplicable to the extent that these systems of records are exempted from subsection (d).

(3)(d) Access to the records contained in these systems would inform the subject of an investigation of an actual or potential criminal violation of the existence of that investigation, of the nature and scope of the information and evidence obtained as to his activities, of the identity of witnesses and informants, or would provide information that could enable the subject to avoid detection or apprehension. These factors would present a serious impediment to effective law enforcement because they could prevent the successful completion of the investigation, endanger the physical safety of witnesses or informants, and lead to the improper influencing of witnesses, the destruction of evidence, or the fabrication of testimony.

(4) Exemption is claimed from subsections (e) (1), (2), and (3), (e)(4) (G), (H), and (I), (e)(5) and (e)(8) for the reasons stated in subsections (b)(4), (b)(5), (b)(6), (b)(7), (b)(8), (b)(9), and (b)(10) of this section.

(5)(f) Procedures for notice to an individual pursuant to subsection (f)(1) as to the existence of records pertaining to him dealing with an actual or potential criminal investigation or prosecution must be exempted because such notice to an individual would be detrimental to the successful conduct and/or completion of an investigation or prosecution pending or future. In addition, mere notice of the fact of an investigation could inform the subject or others that their activities are under or may become the subject of an investigation and could enable the subjects to avoid detection or apprehension, to influence witnesses improperly, to destroy evidence, or to fabricate testimony. Since an exemption is being claimed for subsection (d) of the act (access to records), the rules required pursuant to subsection (f) (2) through (5) are inapplicable to these systems of records.

(6)(g) Since an exemption is being claimed for subsections (d) (access to records) and (f) (Agency rules), this section is inapplicable and is exempted for the reasons set forth for those subsections.

(k) The following system of records is exempted pursuant to the provisions of 5 U.S.C. 552a(j)(2) from subsections (c) (3) and (4), (d), (e) (1), (2) and (3), (e)(4) (G), (H) and (I), (e) (5) and (8), (f) and (g) of 5 U.S.C. 552a; in addition, the following systems of records are exempted pursuant to the provisions of 5 U.S.C. 552a(k)(1) from subsections (c) (3), (d), (e)(1), (e)(4) (G), (H) and (I) and (f) of 5 U.S.C. 552a:

Organized Crime and Racketeering Section, Criminal Division, General Index File and Associated Records System of Records (JUSTICE/CRM–012).

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These exemptions apply to the extent that information in this system is subject to exemption pursuant to 5 U.S.C. 552a(j)(2) and (k)(1).

(l) The system of records listed under paragraph (m) of this section is exempted, for the reasons set forth, from the following provisions of 5 U.S.C. 552a:

(1). Exemption is claimed from subsections (c) (3) and (4) and (d) for the reasons stated in subsections (j)(1), (j)(2) and (j)(3) of this section.

(2). (e)(1). The notice for this system of records published in the **Federal Register** sets forth the basic statutory or related authority for maintenance of this system. However, in the course of criminal investigations, cases, and matters, the Organized Crime and Racketeering Section will occasionally obtain information concerning actual or potential violations of law that are not strictly within its statutory or other authority, or may compile information in the course of an investigation which may not be relevant to a specific prosecution. In the interests of effective law enforcement, it is necessary to retain such information in this system of records since it can aid in establishing patterns of criminal activity and can provide valuable leads for federal and other law enforcement agencies.

(3). Exemption is claimed from subsections (e) (2) and (3), (e)(4) (G), (H) and (I), (e) (5) and (8), (f) and (g) for the reasons stated in subsections (b)(5), (b)(6), (b)(7), (b)(8), (b)(9), (b)(10), (b)(11) and (b)(12) of this section.

(4). In addition, exemption is claimed for this system of records from compliance with the following provisions of the Privacy Act of 1974 (5 U.S.C. 552a) pursuant to the provisions of 5 U.S.C. 552a(k)(1): Subsections (c)(3), (d), (e)(1), (e)(4) (G), (H) and (I) and (f) to the extent that the records contained in this system are specifically authorized to be kept secret in the interests of national defense and foreign policy.

(m) The following system of records are exempted pursuant to the provisions of 5 U.S.C. 552a(j)(2) from subsections (c) (3) and (4), (d), (e) (2) and (3), (e)(4) (G), (H) and (I), (e)(8), (f) and (g) of 5 U.S.C. 552a: Requests to the Attorney General For Approval of Applications to Federal Judges for Electronic Interceptions System of Records (JUSTICE/CRM–019). These exemptions apply only to the extent that information in this system is subject to exemption pursuant to 5 U.S.C. 552a(j)(2).

Note: Paragraph (m) was redesignated as paragraph (k) at 44 FR 54046, Sept. 18, 1979.

(n) The system of records listed in paragraph (m) of this section is exempted for the reasons set forth, from the following provisions of 5 U.S.C. 552a:

(1). (c)(3). The release of the disclosure accounting for disclosures made pursuant to subsection (b) of the Act, including those permitted under the routine uses published for these systems of records, would permit the subject of an electronic interception to obtain valuable information concerning the interception, including information as to whether he is the subject of a criminal investigation, by means other than those provided for by statute. Such information could interfere with the successful conduct and/or completion of a criminal investigation, and would therefore present a serious impediment to law enforcement. In addition, disclosure of the accounting would amount to notice to the individual of the existence of a record; such notice requirement under subsection (f)(1) is specifically exempted for these systems of records.

(2). (c)(4). Since an exemption is being claimed for subsection (d) of the Act (Access to Records) this section is inapplicable.

(3). (d). Access to the records contained in these systems would inform the subject of an electronic interception of the existence of such surveillance including information as to whether he is the subject of a criminal investigation by means other than those provided for by statute. This could interfere with the successful conduct and/or completion of a criminal investigation and therefore present a serious impediment to law enforcement.

(4). (e)(2). In the context of an electronic interception, the requirement that information be collected to the greatest extent practicable from the subject individual would present a serious impediment to law enforcement because the subject of the investigation or prosecution would be placed on notice as to the existence of the investigation and this would therefore destroy the efficacy of the interception.

(5). (e)(3). The requirement that individuals supplying information be provided with a form stating the requirements of subsection (e)(3) would constitute a serious impediment to law enforcement in that it could compromise the existence of a confidential electronic interception or reveal the identity of witnesses or confidential informants.

(6). (e)(4) (G) and (H). Since an exemption is being claimed for subsections (f) (Agency Rules) and (d) (Access to Records) of the Act these subsections are inapplicable.

(7). Exemption is claimed from subsections (e)(4)(I) and (e)(8) for the reasons stated in subsections (b)(8) and (b)(10) of this section.

(8). (f). Procedures for notice to an individual pursuant to subsection (f)(1) as to the existence of records pertaining to him dealing with an electronic interception other than pursuant to statute must be exempted because such notice to an individual would be detrimental to the successful conduct and/or completion of an investigation pending or future. In addition, mere notice of the fact of an electronic interception could inform the subject or others that their activities are under or may become the subject of an investigation and could enable the subjects to avoid detection or apprehension, to influence witnesses improperly, to destroy evidence, or to fabricate testimony.

Since an exemption is being claimed for subsection (d) of the Act (Access to Records) the rules required pursuant to subsection (f)(2) through (5) are inapplicable to these systems of records to the extent that these systems of records are exempted from subsection (d).

(9). (g). Since an exemption is being claimed for subsection (d) (Access to Records) and (f) (Agency Rules) this section is inapplicable, and is exempted for the reasons set forth for those subsections, to the extent that these systems of records are exempted from subsection (d) and (f).

(o) The following system of records is exempted pursuant to the provisions of 5 U.S.C. 552a(j)(2) from subsections (c) (3) and (4), (d), (e) (2) and (3), (e) (4) (G), (H), and (I), (e)(8), (f) and (g) of 5 U.S.C. 552a; in addition the following system of records is exempted pursuant to the provisions of 5 U.S.C. 552a(k)(1) and (k)(2) from subsections (c)(3), (d), (e)(4) (G), (H) and (I), and (f) of 5 U.S.C. 552a:

Witness Immunity Records System of Records (JUSTICE/CRM-022).

These exemptions apply only to the extent that information in this system is subject to exemption pursuant to 5 U.S.C. 552a (j)(2) and (k)(1) and (k)(2).

(p) The system of records listed under paragraph (q) of this section is exempted, for the reasons set forth, from the following provisions of 5 U.S.C. 552a:

(1). (c)(3). Release of the accounting of disclosures made pursuant to subsection (b) of the Act, including those permitted under the routine uses published for this system of records, (a) as to a witness for whom immunity has been proposed, would inform the individual of the existence of the proposed immunity prematurely, thus creating a serious impediment to effective law enforcement in that the witness could flee, destroy evidence, or fabricate testimony; and (b) as to a witness to whom immunity has been granted, or for whom it has been denied, would reveal the nature and scope of the activities, if any, of the witness known to the government, which would also create a serious impediment to effective law enforcement.

(2). (c)(4). Since an exemption is being claimed for subsection (d) of the Act (Access to Records) this section is inapplicable to the extent that this system of records is exempted from subsection (d).

(3). (d). Access to the records contained in this system (a) as to a witness for whom immunity has been proposed, would inform the individual of the existence of the proposed immunity prematurely, thus presenting a serious impediment to effective law enforcement in that the witness could flee, destroy evidence, or fabricate testimony; and (b) as to a witness to whom immunity has been granted, or for whom it has been denied, would reveal the nature and scope of the activities, if any, of the witness known to the government, which would also create a serious impediment to effective law enforcement.

(4). (e)(2). In a witness immunity request matter, the requirement that information be collected to the greatest extent practicable from the subject individual would present a serious impediment to law enforcement because the subject of the immunity request and often the subject of the underlying investigation or prosecution would be placed on notice as to the existence of the investigation and would therefore be able to avoid detection or apprehension, to influence witnesses improperly, to destroy evidence, or to fabricate testimony.

(5). Exemption is claimed from subsections (e)(3), (e)(4)(G), (H) and (I), and (e)(8) for the reasons stated in subsections (b)(6), (b)(7), (b)(8) and (b)(10) of this section.

(6). (f). Procedures for notice to an individual pursuant to subsection (f)(1) as to the existence of records pertaining to him (a) as to a witness for whom immunity has been proposed, would inform the individual of the existence of the proposed immunity prematurely, thus presenting a serious impediment to effective law enforcement in that the witness could flee, destroy evidence, or fabricate testimony; and (b) as to a witness to whom immunity has been granted, or for whom it has been denied, would reveal the nature and scope of the activity, if any, of the witness known to the government, which would also create a serious impediment to effective law enforcement.

Since an exemption is being claimed for subsection (d) of the Act (Access to Records) the rules required pursuant to subsection (f)(2) through (5) are inapplicable to this system of records to the extent that this system of records is exempted from subsection (d).

(7). (g). Since an exemption is being claimed for subsections (d) (Access to Records) and (f) (Agency Rules) this section is inapplicable, and is exempted for the reasons set forth for those subsections, to the extent that this system of records is exempted for subsections (d) and (f).

(8). In addition, exemption is claimed for this system of records from compliance with the following provisions of the Privacy Act of 1974 (5 U.S.C. 552a) pursuant to the provisions of 5 U.S.C. 552a(k)(1): Subsections (c)(3), (d), (e)(1), (e)(4) (G), (H) and (I) and (f) to the extent that the records contained in this system are specifically authorized to be kept secret in the interests of national defense and foreign policy.

(q) The following system of records is exempt from 5 U.S.C. 552a(c) (3) and (4), (d), (e) (1), (2) and (3), (e)(4) (G), (H) and (I), (e) (5) and (8), (f), and (g):

(1) Freedom of Information/Privacy Act Records (JUSTICE/CRM–024)

These exemptions apply to the extent that information in this system is subject to exemption pursuant to 5 U.S.C. 552a(j)(2), (k)(1) and (k)(2).

Note: Paragraph (q) was redesignated as paragraph (o) at 44 FR 54046,Sept. 18, 1979.

(r) Because this system contains Department of Justice civil and criminal law enforcement, investigatory records, it is exempted for the reasons set forth from the following provisions of 5 U.S.C. 552a:

(1)(c)(3). The release of the disclosure accounting would present a serious impediment to law enforcement by permitting the subject of an investigation of an actual or potential criminal, civil, or regulatory violation to determine whether he is the subject of investigation, or to obtain valuable information concerning the nature of that investigation and the information obtained, or to identify witnesses and informants.

(2)(c)(4). Since an exemption is being claimed for subsection (d) of the Act (Access to Records), this subsection is inapplicable to the extent that this system of records is exempted from subsection (d).

(3)(d). Access to records contained in this system would enable the subject of an investigation of an actual or potential criminal or civil case or regulatory violation to determine whether he or she is the subject of investigation, to obtain valuable information concerning the nature and scope of the investigation, and information or evidence obtained as to his/her activities, to identify witnesses and informants, or to avoid detection or apprehension. Such results could prevent the successful completion of the investigation, endanger the physical safety of witnesses or informants, lead to the improper influencing of witnesses, the destruction of evidence, or the fabrication of testimony, and thereby present a serious impediment to effective law enforcement. Amendment of the records would interfere with ongoing criminal law enforcement proceedings and impose an impossible administrative burden by requiring criminal investigations to be continuously reinvestigated.

(4)(e)(1). In the course of criminal or other law enforcement investigations, cases, and matters, the Criminal Division will occasionally obtain information concerning actual or potential violations of law that are not strictly within its statutory or other authority, or it may compile information in the course of an investigation which may not be relevant to a specific prosecution. In the interests of effective law enforcement, it is necessary to retain such information since it can aid in establishing patterns of criminal activity and can provide valuable leads for Federal and other law enforcement agencies.

(5)(e)(2). To collect information to the greatest extent practicable from the subject individual of a criminal investigation or prosecution would present a serious impediment to law enforcement. The nature of criminal and other investigative activities is such that vital information about an individual can only be obtained from other persons who are familiar with such individual and his/her activities. In such investigations it is not feasible to rely upon information furnished by the individual concerning his own activities.

(6) (e)(3). To provide individuals supplying information with a form stating the requirements of subsection (e)(3) would constitute a serious impediment to law enforcement in that it could compromise the existence of a confidential investigation or reveal the identity of witnesses or confidential informants.

(7)(e)(4) (G) and (H). These subsections are inapplicable to the extent that this system is exempt from the access provisions of subsection (d) and the rules provisions of subsection (f).

(8)(e)(4)(I). The categories of sources of the records in this system have been published in the **Federal Register** in broad generic terms in the belief that this is all that subsection (e)(4)(I) of the Act requires. In the event, however, that this subsection should be interpreted to require more detail as to the identity of sources of the records in this system, exemption from this provision is necessary to protect the confidentiality of the sources of criminal and other law enforcement information. Such exemption is further necessary to protect the privacy and physical safety of witnesses and informants.

(9) (e)(5). In the collection of information for criminal law enforcement purposes it is impossible to determine in advance what information is accurate, relevant, timely, and complete. With the passage of time, seemingly irrelevant or untimely information may acquire new significance as further investigation brings new details to light and the accuracy of such information can often only be determined in a court of law. The restrictions of subsection (e)(5) would inhibit the ability of trained investigators, intelligence analysts, and government attorneys in exercising their judgment in reporting on information and investigations and impede the development of criminal or other intelligence necessary for effective law enforcement.

(10)(e)(8). The individual notice requirements of subsection (e)(8) could present a serious impediment to law enforcement as this could interfere with the ability to issue warrants or subpoenas and could reveal investigative techniques, procedures, or evidence.

(11)(f). This subsection is inapplicable to the extent that this system is exempt from the access provisions of subsection (d).

(12)(g). Because some of the records in this system contain information which was compiled for law enforcement purposes and have been exempted from the access provisions of subsection (d), subsection (g) is inapplicable.

(s) The following system of records is exempted from 5 U.S.C. 552a(d). Office of Special Investigations Displaced Persons Listings (JUSTICE/CRM-027).

This exemption applies to the extent that the records in this system are subject to exemption pursuant to 5 U.S.C.552a(k)(2).

(t) Exemption from subsection (d) is justified for the following reasons:

(1) Access to records contained in this system could inform the subject of the identity of witnesses or informants. The release of such information could present a serious impediment to effective law enforcement by endangering the physical safety of witnesses or informants; by leading to the improper influencing of witnesses, the destruction of evidence, or the fabrication of testimony; or by otherwise

preventing the successful completion of an investigation.

[Order No. 645–76, 41 FR 12640, Mar. 26, 1976, as amended by Order No. 659–76, 41 FR 32423, Aug. 3, 1976; AAG/A Order No. 11–78, 43 FR 38386, Aug. 28, 1978; AAG/A Order No. 30–79, 44 FR 54046, Sep. 18, 1979; AAG/A Order No. 7–86, Apr. 24, 1986; AAG/A Order No. 6–86, Apr. 24, 1986]

§ 16.92 Exemption of Land and Natural Resources Division System—Limited access, as indicated.

(a) The following system of records is exempt from 5 U.S.C. 552a(c)(3) and (d):

(1) Docket Card System (JUSTICE/LDN–003).

These exemptions apply only to the extent that information in this system is subject to exemption pursuant to 5 U.S.C. 552a(k)(2).

(b) Exemptions from the particular subsections are justified for the following reasons:

(1) From subsection (c)(3) because that portion of the Docket Card System relating to enforcement of criminal provisions of the Refuse Act of 1899 (33 U.S.C. 407), Section 10 of the River and Harbor Act of 1899 (33 U.S.C. 403), Section 5 of the Outer Continental Shelf Act (43 U.S.C. 1151 et seq.), the Clean Air Act (42 U.S.C. 1857 et seq.) and the Noise Control Act of 1972 (42 U.S.C. 4901), is being exempted from access and contest; the provisions for disclosure of accounting is not applicable.

(2) From subsection (d) because of the need to safeguard the identity of confidential informants and to facilitate the enforcement of the criminal provisions of the above statutes.

(c) The following system of records is exempt from 5 U.S.C. 552a (c)(3) and (d):

(1) Freedom of Information/Privacy Act Records System. (Justice/LDN–005).

These exemptions apply only to the extent that information in this system is subject to exemption pursuant to 5 U.S.C. 552a(k)(2).

(d) Exemptions from the particular subsections are justified for the following reasons:

(1) From subsection (c) (3) because that portion of the Freedom of Information/Privacy Act Records System that consists of investigatory materials compiled for law enforcement purposes is being exempted from access and contest; the provision for disclosure of accounting is not applicable.

(2) From subsection (d) because of the need to safeguard the identity of confidential informants and avoid interference with ongoing investigations or law enforcement activities by preventing premature disclosure of information relating to those efforts.

[Order No. 688–77, 42 FR 10000, Feb. 18, 1977]

§ 16.93 Exemption of Tax Division Systems—Limited access.

(a) The following systems of records are exempted pursuant to the provisions of 5 U.S.C. 552a (j)(2) from subsections (c)(3), (c)(4), (d)(1), (d)(2), (d)(3), (d)(4), (e)(1), (e)(2), (e)(3), (e)(4)(G), (e)(4)(H), (e)(4)(I), (e)(5), (e)(8), (f) and (g) of 5 U.S.C. 552a:

(1) Tax Division Central Classification Cards, Index Docket Cards, and Associated Records—Criminal Tax Cases (JUSTICE/TAX–001)—Limited Access.

(2) Tax Division Special Projects Files (JUSTICE/TAX–005)—Limited Access.

These exemptions apply to the extent that information in these systems is subject to exemption pursuant to 5 U.S.C. 552a(j)(2).

(b) The systems of records listed under paragraphs (a)(1) and (a)(2) of this section are exempted for the reasons set forth below, from the following provisions of 5 U.S.C. 552a:

(1)(c)(3). The release of the disclosure accounting, for disclosures made pursuant to subsection (b) of the Act, including those permitted under the routine uses published for those systems of records, would enable the subject of an investigation of an actual or potential criminal tax case to determine whether he or she is the subject of investigation, to obtain valuable information concerning the nature of that investigation and the information obtained, and to determine the identity of witnesses or informants. Such access to investigative information would, accordingly, present a serious impediment to law enforcement. In addition, disclosure of the accounting would constitute notice to the individual of the existence of a record even though such notice requirement under subsection (f)(1) is specifically exempted for these systems of records.

(2)(c)(4). Since an exemption is being claimed for subsection (d) of the Act (Access to Records) this subsection is inapplicable to the extent that these systems of records are exempted from subsection (d).

(3) (d)(1); (d)(2); (d)(3); (d)(4). Access to the records contained in these systems would inform the subject of an actual or potential criminal tax investigation of the existence of that investigation, of the nature and scope of the information and evidence obtained as to his or her activities, and of the identity of witnesses or informants. Such access would, accordingly, provide information that could enable the subject to avoid detection, apprehension and prosecution. This result, therefore, would constitute a serious impediment to effective law enforcement not only because it would prevent the successful completion of the investigation but also because it could endanger the physical safety of witnesses or informants, lead to the improper influencing of witnesses, the destruction of evidence, or the fabrication of testimony.

(4)(e)(1). The notices for these systems of records published in the **Federal Register**, set forth the basic statutory or related authority for maintenance of these systems. However, in the course of criminal tax and related law enforcement investigations, cases, and matters, the Tax Division will occasionally obtain information concerning actual or potential violations of law that may not be technically within its statutory or other authority or may compile information in the course of an investigation which may not be relevant to a specific prosecution. In the interests of effective law enforcement, it is necessary to retain some or all of such information in these systems of records since it can aid in establishing patterns of criminal activity and can provide valuable leads for Federal and other law enforcement agencies.

(5)(e)(2). In a criminal tax investigation or prosecution, the requirement that information be collected to the greatest extent practicable from the subject individual would present a serious impediment to law enforcement because the subject of the investigation or prosecution would be placed on notice as to the existence of the investigation and would therefore be able to avoid detection or apprehension, influence witnesses improperly, destroy evidence, or fabricate testimony.

(6)(e)(3). The requirement that individuals supplying information be provided with a form stating the requirements of subsection (e)(3) would constitute a serious impediment to law enforcement in that it could compromise the existence of a confidential investigation or reveal the identity of witnesses or confidential informants.

(7)(e)(4) (G) and (H). Since an exemption is being claimed for subsections (f) (Agency Rules) and (d) (Access to Records) of the Act these subsections are inapplicable to the extent that these systems of records are exempted from subsection (f) and (d).

(8)(e)(4)(I). The categories of sources of the records in the systems have been published in the **Federal Register** in broad generic terms in the belief that this is all that subsection (e)(4)(I) of the Act requires. In the event, however, that this subsection should be interpreted to require more detail as to the identity of sources of the records in these systems, exemption from this provision is necessary in order to protect the confidentiality of the sources of criminal tax and related law enforcement information. Such exemption is further necessary to protect the privacy and physical safety of witnesses and informants.

(9)(e)(5). In the collection of information for criminal tax enforcement purposes it is impossible to determine in advance what information is accurate, relevant, timely, and complete. With the passage of time, seemingly irrelevant or untimely information may acquire new significance as further investigation brings new details to light. Furthermore, the accuracy of such information can often only be determined in a court of law. The restrictions of subsection (e)(5) would restrict the ability of government attorneys in exercising their judgment in reporting on information and investigations and impede the development of criminal tax information and related data necessary for effective law enforcement.

(10)(e)(8). The individual notice requirements of subsection (e)(8) could present a serious impediment to law enforcement as this could interfere with the ability to issue warrants or subpoenas and could reveal investigative techniques, procedures, or evidence.

(11)(f). Procedures for notice to an individual pursuant to subsection (f)(1) as to the existence of records pertaining to him dealing with an actual or potential criminal tax, civil tax, or regulatory investigation or prosecution must be exempted because such notice to an individual would be detrimental to the successful conduct and/or completion or an investigation or prosecution pending or future. In addition, mere notice of the fact of an investigation could inform the subject or others that their activities are under or may become the subject of an investigation and could enable the subjects to avoid detection or apprehension, to influence witnesses improperly, to destroy evidence, or to fabricate testimony.

Since an exemption is being claimed for subsection (d) of the Act (Access to Records) the rules required pursuant to subsection (f) (2) through (5) are inapplicable to these systems of records to the extent that these systems of records are exempted from subsection (d).

(12)(g). Since an exemption is being claimed for subsections (d) (Access to Records) and (f) (Agency Rules) this section is inapplicable, and is exempted for the reasons set forth for those subsections, to the extent that these systems of records are exempted from subsections (d) and (f).

(c) The following system of records is exempted pursuant to the provisions of 5 U.S.C. 552a(k)(2) from subsections (c)(3), (d)(1), (d)(2), (d)(3), (d)(4), (e)(1), (e)(4)(G, (e)(4)(H, (e)(4)(I) and (f) of 5 U.S.C. 552a:

(1) Tax Division Central Classification Cards, Index Docket Cards, and Associated Records—Civil Tax Cases (JUSTICE/TAX-002)—Limited Access.

These exemptions apply to the extent that information in this system is subject to exemption pursuant to 5 U.S.C. 552a(k)(2).

(d) The system of records listed under paragraph (c)(1) is exempted for the reasons set forth below, from the following provisions of 5 U.S.C. 552a:

(1)(c)(3). The release of the disclosure accounting, for disclosures made pursuant to subsection (b) of the Act, including those permitted under the routine uses published for this system of records, would enable the subject of an investigation of an actual or potential civil tax case to determine whether he or she is the subject of investigation, to obtain valuable information concerning the nature of that investigation and the information obtained, and to determine the identity of witnesses or informants. Such access to investigative information would, accordingly, present a serious impediment to law enforcement. In addition, disclosure of the accounting would constitute notice to the individual of the existence of a record even though such notice requirement under subsection (f)(1) is specifically exempted for this system of records.

(2) (d)(1); (d)(2); (d)(3); (d)(4). Access to the records contained in this system would inform the subject of an actual or potential civil tax investigation of the existence of that investigation, of the nature and scope of the information and evidence obtained as to his or her activities and of the identity of witnesses or informants. Such access would, accordingly, provide information that could enable the subject to avoid detection. This result, therefore, would constitute a serious impediment to effective law enforcement not only because it would prevent the successful completion of the investigation but also because it could endanger the physical safety of witnesses or informants, lead to the improper influencing of witnesses, the destruction of evidence, or the fabrication of testimony.

(3)(e)(1). The notices for this system of records published in the **Federal Register** set forth the basic statutory or related authority for maintenance of this system. However, in the course of civil tax and related law enforcement investigations, cases and matters, the Tax Division will occasionally obtain information concerning actual or potential violations of law that are not strictly or technically within its statutory or other authority or may compile information in the course of an investigation which may not be relevant to a specific case. In the interests of effective law enforcement, it is necessary to retain some or all of such information in this system of records since it can aid in establishing patterns of tax compliance and can provide valuable leads for Federal and other law enforcement agencies.

(4)(e)(4) (G) and (H). Since an exemption is being claimed for subsections (f) (Agency Rules) and (d) (Access to Records) of the Act these subsections are inapplicable to the extent that this system of records is exempted from subsection (f) and (d).

(5)(e)(4)(I). The categories of sources of the records in this system have been published in the **Federal Register** in broad generic terms in the belief that this is all that subsection (e)(4)(I) of the Act requires. In the event, however, that this subsection should be interpreted to require more detail as to the identity of sources of the records in this system, exemption from this provision is necessary in order to protect the confidentiality of the sources of civil tax and related law enforcement information. Such exemption is further necessary to protect the privacy and physical safety of witnesses and informants.

(6)(f). Procedures for notice to an individual pursuant to subsection (f)(1) as to existence of records pertaining to the individual dealing with an actual or potential criminal tax, civil tax, or regulatory investigation or presecution must be exempted because such notice to an individual would be detrimental to the successful conduct and/or completion of an investigation or case, pending or future. In addition, mere notice of the fact of an investigation could inform the subject or others that their activities are under or may become the subject of an investigation and could enable the subjects to avoid detection, to influence witnesses improperly, to destroy evidence, or to fabricate testimony.

Since an exemption is being claimed for subsection (d) of the Act (Access to Records) the rules required pursuant to subsection (f) (2) through (5) are inapplicable to this system of records to the extent that this system of records is exempted from subsection (d).

(e) The following system of records is exempt from 5 U.S.C. 552a (c)(3), (c)(4), (d), (e)(1), (e)(2), (e)(3), (e)(4), (C), (e)(4)(H), (e)(4)(I), (e) (5) and (8), (f), and (g).

(l) Freedom of Information—Privacy Act Request Files (JUSTICE/TAX-004)

These exemptions apply to the extent that information in this system is subject to exemption pursuant to 5 U.S.C. 552a(j)(2) and (k)(2).

(f) Because this system contains Department of Justice civil and criminal law enforcement, investigatory records, it is exempted for the reasons set forth from the following provisions of 5 U.S.C. 552a:

(1)(c)(3). The release of the disclosure accounting would present a serious impediment to law enforcement by permitting the subject of a investigation of an actual or potential criminal, civil, or regulatory violation to determine whether he is the subject of investigation, or to obtain valuable information concerning the nature of that investigation and the information obtained, or to identify witnesses and informants.

(2)(c)(4). Since an exemption is being claimed for subsection (d) of the Act (Access to Records), this subsection is inapplicable to the extent that this system of records is exempted from subsection (d).

(3)(d). Access to records contained in this system would inform the subject of an actual or potential criminal tax investigation of the existence of that investigation, of the nature and scope of the investigation, of the information and evidence obtained as to his or her activities, and of the identity of witnesses or informants. Such access would, accordingly, provide information that could enable the subject to avoid detection, apprehension, and prosecution. This result, therefore, would constitute a serious impediment to effective law enforcement not only because it would prevent the successful completion of the investigation but also because it could endanger the physical safety of witnesses or informants, lead to the improper influencing of witnesses, the destruction of evidence, of the fabrication of testimony. Amendment of the records would interfere with ongoing criminal law enforcement proceedings and imposes an impossible administrative burden by requiring criminal investigations to be continuously reinvestigated.

(4)(e)(1). In the course of criminal tax and related law enforcement investigations, cases, and matters, the Tax Division will occasionally obtain information concerning actual or potential violations of law that may not be technically within its statutory or other authority, or it may compile information in the course of an investigation which may not be relevant to a specific prosecution. In the interests of effective law enforcement, it is necessary to retain some or all of such information since it can aid in establishing patterns of criminal activity and can provide valuable leads for Federal and other law enforcement agencies.

(5)(e)(2). To collect information to the greatest extent practicable from the subject individual of a criminal investigation or prosecution would present a serious impediment to law enforcement because the subject of the investigation or prosecution would be placed on notice as to the existence of the investigation and would therefore be able to avoid detection or apprehension, improperly influence witnesses, destroy evidence, or fabricate testimony.

(6)(e)(3). To provide individuals supplying information with a form which includes the information required by subsection (e)(3) would constitute a serious impediment to law enforcement, i.e., it could compromise the existence of a confidential investigation or reveal the identity of witnesses or confidential informants.

(7)(e)(4) (G) and (H). These subsections are inapplicable to the extent that this system is exempt from the access provisions of subsection (d) and the rules provisions of subsection (f).

(8)(e)(4)(I). The categories of sources of the records in this system have been published in the **Federal Register** in broad generic terms in the belief that this is all that subsection (e) (4) (I) of the Act requires. In the event, however, that this subsection should be interpreted to require more detail as to the identity of sources of the records in this system, exemption from this provision is necessary to protect the confidentiality of the sources of criminal tax and related law enforcement information. Such exemption is further necessary to protect the privacy and physical safety of witnesses and informants.

(9)(e)(5). In the collection of information for criminal tax enforcement purposes it is impossible to determine in advance what information is accurate, relevant, timely, and complete. With the passage of time, seemingly irrelevant or untimely information may acquire new significance as further investigation brings new details to light. Furthermore, the accuracy of such information can often only be determined in a court of law. The restrictions of subsection (e)(5) would inhibit the ability of government attorneys in exercising their judgement in reporting on information and investigations and impede the development of criminal tax information and related data necessary for effective law enforcement.

(10)(e)(8). The individual notice requirements of subsection (e)(8) could present a serious impediment to law enforcement as this could interfere with the ability to issue warrants or subpoenas and could reveal investigative techniques, procedures, or evidence.

(11)(f). This subsection is inapplicable to the extent that this system is exempt from the access provisions of subsection (d).

(12)(g). Because the records in this system are generally compiled for law enforcement purposes and are exempt from the access provisions of subsection (d), subsection (g) is inapplicable.

[Order No. 742-77, 42 FR 40906, Aug. 12, 1977, as amended by AAG/A Order No. 6-86, 51 FR 15475, Apr. 24, 1986]

§§ 16.94–16.95 [Reserved]

§ 16.96 Exemption of Federal Bureau of Investigation Systems—Limited access.

(a) The following system of records is exempt from 5 U.S.C. 552a(c)(3), (d), (e)(1), (2), and (3), (e)(4)(G) and (H), (e)(8), (f) and (g).

(1) **Central Records System (CRS) (JUSTICE/FBI-002).** These exemptions apply only to the extent that information in this system is subject to exemption pursuant to 5 U.S.C. 552(j) and (k). Where compliance would not appear to interfere with or adversely affect the overall law enforcement process, the applicable exemption may be waived by the FBI.

(b) Exemptions from the particular subsections are justified for the following reasons:

(1) From subsection (c)(3) because making available to a record subject the accounting of disclosures from records concerning him/her would reveal investigative interest by not only the FBI, but also by the recipient agency. This would permit the record subject to take appropriate measures to impede the investigation, e.g., destroy evidence, intimidate potential witnesses or flee the area to avoid the thrust of the investigation.

(2)(i) From subsections (d), (e)(4) (G) and (H), (f) and (g) because these provisions concern individual access to investigative records, compliance with which could compromise sensitive information classified in the interest of national security, interfere with the overall law enforcement process by revealing a pending sensitive investigation, possibly identify a confidential source or disclose information which would constitute an unwarranted invasion of another individual's personal privacy, reveal a sensitive investigative technique, or constitute a potential danger to the health or safety to law enforcement personnel.

(ii) Also, individual access to non-criminal investigative records, e.g., civil investigations and administrative inquiries, as described in subsection (k) of the Privacy Act, could also compromise classified information related to national security, interfere with a pending investigation or internal inquiry, constitute an unwarranted invasion of privacy, reveal a confidential source or sensitive investigative technique, or pose a potential threat to law enforcement personnel. In addition, disclosure of information collected pursuant to an employment suitability or similar inquiry could reveal the identity of a source who provided information under an express promise of confidentiality, or could compromise the objectivity or fairness of a testing or examination process.

(iii) In addition, from paragraph (d)(2) because to require the FBI to amend information thought to be incorrect, irrelevant or untimely, because of the nature of the information collected and the essential length of time it is maintained, would create an impossible administrative and investigative burden by forcing the agency to continuously retrograde its investigations attempting to resolve questions of accuracy, etc.

(3) From subsection (e)(1) because:

(i) It is not possible in all instances to determine relevency or necessity of specific information in the early stages of a criminal or other investigation.

(ii) Relevancy and necessity are questions of judgement and timing; what appears relevant and necessary when collected ultimately may be deemed unnecessary. It is only after the information is assessed that its relevency and necessity in a specific investigative activity can be established.

(iii) In any investigation the FBI might obtain information concerning violations of law not under its jurisdiction, but in the interest of effective law enforcement, dissemination will be made to the agency charged with enforcing such law.

(iv) In interviewing individuals or obtaining other forms of evidence during an investigation, information could be obtained, the nature of which would leave in doubt its relevency and necessity. Such information, however, could be relevent to another investigation or to an investigative activity under the jurisdiction of another agency.

(4) From subsection (e)(2) because the nature of criminal and other investigative activities is such that vital information about an individual can only be obtained from other persons who are familiar with such individual and his/her activities. In such investigations it is not feasible to rely upon information furnished by the individual concerning his own activities.

(5) From subsection (e)(3) because disclosure would provide the subject with substantial information which could impede or compromise the investigation. The individual could seriously interfere with undercover investigative activities and could take

appropriate steps to evade the investigation or flee a specific area.

(6) From subsection (e)(8) because the notice requirements of this provision could seriously interfere with a law enforcement activity by alerting the subject of a criminal or other investigation of existing investigative interest.

(c) The following system of records is exempt from 5 U.S.C. 552a(c) (3) and (4), (d), (e) (1), (2) and (3), (e)(4) (G) and (H), (e) (5) and (8), (f), (g) and (m):

(1) Electronic Surveillance (Elsur) Indices (JUSTICE/FBI–006).

These exemptions apply only to the extent that information in the system is subject to exemption pursuant to 5 U.S.C. 552a(j).

(d) Exemptions from the particular subsections are justified for the following reasons:

(1) From subsection (c)(3) because the release of accounting disclosures would place the subject of an investigation on notice that he is under investigation and provide him with significant information concerning the nature of the investigation, resulting in a serious impediment to law enforcement.

(2) From subsections (c)(4), (d), (e)(4) (G) and (H), and (g) because these provisions concern an individual's access to records which concern him and such access to records in this system would compromise ongoing investigations, reveal investigatory techniques and confidential informants, and invade the privacy of private citizens who provide information in connection with a particular investigation.

(3) From subsection (e)(1) because these indices must be maintained in order to provide the information as described in the "routine uses" of this particular system.

(4) From subsections (e) (2) and (3) because compliance is not feasible given the subject matter of the indices.

(5) From subsection (e)(5) because this provision is not applicable to the indices in view of the "routine uses" of the indices. For example, it is impossible to predict when it will be necessary to utilize information in the system and, accordingly it is not possible to determine when the records are timely.

(6) From subsection (e)(8) because the notice requirement could present a serious impediment to law enforcement by revealing investigative techniques, procedures and the existence of confidential investigations.

(7) From subsection (m) for the reasons stated in subsection (b)(7) of this section.

(e) The following system of records is exempt from 5 U.S.C. 552a(c) (3) and (4), (d), (e) (1), (2) and (3), (e)(4) (G) and (H), (e) (5) and (8), (f), and (g):

(1) Identification Division Records System (JUSTICE/FBI–009).

These exemptions apply only to the extent that information in this system is subject to exemption pursuant to 5 U.S.C. 552a(j).

(f) Exemptions from the particular subsections are justified for the following reasons:

(1) From subsection (c)(3) for the reasons stated in subsection (d)(1) of this section.

(2) From subsections (c)(4), (d), (e)(4) (G) and (H), (f) and (g) because these provisions concern an individual's access to records which concern him. Such access is directed at allowing the subject of a record to correct inaccuracies in it. Although an alternate system of access has been provided in 28 CFR 16.30 to 34 and 28 CFR 20.34, the vast majority of records in this system concern local arrests which it would be inappropriate for the FBI to undertake to correct.

(3) From subsection (e)(1) because it is impossible to state with any degree of certainty that all information on these records is relevant to accomplish a purpose of the FBI, even though acquisition of the records from state and local law enforcement agencies is based on a statutory requirement. In view of the number of records in the system it is impossible to review them for relevancy.

(4) From subsection (e)(2) because the records in the system are necessarily furnished by criminal justice agencies due to their very nature.

(5) From subsection (e)(3) because compliance is not feasible due to the nature of the records.

(6) From subsection (e)(5) because the vast majority of these records come from local criminal justice agencies and it is administratively impossible to ensure that the records comply with this provision. Submitting agencies are, however, urged on a continuing basis to ensure that their records are accurate and include all dispositions.

(7) From subsection (e)(8) because the FBI has no logical manner to ascertain whether process has been made public and compliance with this provision would in any case, provide an impediment to law enforcement by interfering with the ability to issue warrants or subpoenas and by revealing investigative techniques, procedures or evidence.

(g) The following system or records is exempt from 5 U.S.C. 552a(c)(3) and (4), (d), (e)(1), (2) and (3), (e)(4)(G) and (H), (e)(8), (f), and (g): National Crime Information Center (NCIC) (JUSTICE/FBI–001). This exemption applies only to the extent that information in the system is subject to exemption pursuant to 5 U.S.C. 552a(j)(2) and (k)(3).

(h) Exemptions from the particular subsections are justified for the following reasons:

(1) From subsection (c)(3) for the reasons stated in subsection (d)(1) of this section.

(2) From subsections (c)(4), (d), (e)(4) (G) and (H), and (g) for the reasons stated in subsection (d)(2) of this section. When records are properly subject to access by the individual, an alternate means of access is provided in subsection (i) of this section.

(3) From subsection (e)(1) because information contained in this system is primarily from state and local records, and it is for the official use of agencies outside the Federal Government in accordance with 28 U.S.C. 534.

(4) From subsections (e) (2) and (3) because it is not feasible to comply with these provisions given the nature of this system.

(5) From subsection (e)(8) for the reasons stated in subsection (d)(6) of this section.

(i) Access to computerized criminal history records in the National Crime Information Center is available to the individual who is the subject of the record pursuant to procedures and requirements specified in the Notice of Systems of Records compiled by the National Archives and Records Administration and published under the designation:

National Crime Information Center (NCIC) (JUSTICE/FBI–001)).

Information on access is also published in the Appendix to Part 20 of the Code of Federal Regulations in relation to 28 CFR 20.34.

(j) The following system of records is exempt from 5 U.S.C. 552a(c)(3), (d), (e)(1), (e)(4)(G) and (H), (f) and (g):

(1)National Center for the Analysis of Violent Crime (NCAVC) (JUSTICE/FBI–015). These exemptions apply only to the extent that information in this system is subject to exemption pursuant to 5 U.S.C. 552a(j)(2) and (k)(2).

(k)Exemptions from the particular subsections are justified for the following reasons:

(1)From subsection (c)(3) because providing the accounting of disclosures to the subject could prematurely reveal investigative interest by the FBI and other law enforcement agencies, thereby providing the individual an opportunity to impede an active investigation, destroy or alter evidence, and possibly render harm to violent crime victims and/or witnesses.

(2)From subsection (d), (e)(4)(G) and (H), and (f) because disclosure to the subject could interfere with enforcement proceedings of a criminal justice agency, reveal the identity of a confidential source, result in an unwarranted invasion of another's privacy, reveal the details of a sensitive investigative technique, or endanger the life and safety of law enforcement personnel, potential violent crime victims, and witnesses. Disclosure also could prevent the future apprehension of a violent or exceptionally dangerous criminal fugitive should he or she modify his or her method of operation in order to evade law enforcement. Also, specifically from subsection (d)(2), which permits an individual to request amendment of a record, because the nature of the information in the system is such that an individual criminal offender would frequently demand amendment of derogatory information, forcing the FBI to continuously retrograde its criminal investigations in an attempt to resolve questions of accuracy, etc.

(3) From subsection (g) because the system is exempt from the access and amendment provisions of subsection (d).

(4) From subsection (e)(1) because it is not always possible to establish relevance and necessity of the information at the time it is obtained or developed. Information, the relevance and necessity of which may not be readily apparent, frequently can prove to be of investigative value at a later date and time.

National Crime Information Center (NCIC) (JUSTICE/FBI–001).

information on access is also published in the Appendix to Part 20 of the Code of Federal Regulations in relation to 28 CFR 20.34.

[AAG/A Order No. 40–80, 45 FR 5301, Jan. 23, 1980, as amended by AAG/A Order No. 64–81, 46 FR 20540, Apr. 6,1981; AAG/A Order No. 63–81, 46 FR 22362, Apr. 17,1981; AAG/G Order No. 67–81, 46 FR 30495, June 9,1981; AAG/A Order No. 15–85, 50 FR 31360, Aug. 2, 1985; AAG/A Order No. 6–86, 51 FR 15479, Apr. 24, 1986]

§ 16.97 Exemption of Bureau of Prisons Systems—Limited access.

(a) The following systems of records are exempt from 5 U.S.C. 552a (c) (3) and (4), (d), (e) (2) and (3), (e)(4) (H), (e)(8), (f) and (g):

(1) Custodial and Security Record System (JUSTICE/BOP–001).

(2) Industrial Inmate Employment Record System (JUSTICE/BOP–003).

(3) Inmate Administrative Remedy Record System (JUSTICE/BOP–004).

(4) Inmate Central Record System (JUSTICE/BOP–005).

(5) Inmate Commissary Accounts Record System (JUSTICE/BOP–006).

(6) Inmate Physical and Mental Health Record System (JUSTICE/BOP–007).

(7) Inmate Safety and Accident Compensation Record System (JUSTICE/BOP–008).

(8) Federal Tort Claims Act Record System (JUSTICE/BOP–009).

These exemptions apply only to the extent that information in these systems is subject to exemption pursuant to 5 U.S.C. 552a(j).

(b) Exemptions from the particular subsections are justified for the following reasons:

(1) From subsection (c)(3) because inmates will not be permitted to gain access or to contest contents of these record systems under the provisions of subsection (d) of 5 U.S.C. 552a. Revealing disclosure accountings can compromise legitimate law enforcement activities and Bureau of Prisons responsibilities.

(2) From subsection (c)(4) because exemption from provisions of subsection (d) will make notification of formal disputes inapplicable.

(3) From subsection (d) because exemption from this subsection is essential to protect internal processes by which Bureau personnel are able to formulate decisions and policies with regard to federal prisoners, to prevent disclosure of information to federal inmates that would jeopardize legitimate correctional interests of security, custody, or rehabilitation, and to permit receipt of relevant information from other federal agencies, state and local law enforcement agencies, and federal and state probation and judicial offices.

(4) From subsection (e)(2) because primary collection of information directly from federal inmates about criminal sentences or criminal records is highly impractical and inappropriate.

(5) From subsection (e)(3) because in view of the Bureau of Prisons' responsibilities, application of this provision to its operations and collection of information is inappropriate.

(6) From subsection (e)(4)(H) because exemption from provisions of subsection (d) will make publication of agency procedures under this subsection inapplicable.

(7) From subsection (e)(8) because the nature of Bureau of Prisons law enforcement activities renders notice of compliance with compulsory legal process impractical.

(8) From subsection (f) because exemption from provisions of subsection (d) will render compliance with provisions of this subsection inapplicable.

(9) From subsection (g) because exemption from provisions of subsection (d) will render provisions of this subsection inapplicable.

(c) Consistent with the legislative purpose of the Privacy Act of 1974 (Pub. L. 93–579) the Bureau of Prisons will initiate a procedure whereby federal inmates in custody may gain access and review their individual prison files maintained at the institution of incarceration. Access to these files will be limited only to the extent that the disclosure of records to the inmate would jeopardize internal decision-making or policy determinations essential to the effective operation of the Bureau of Prisons; to the extent that disclosure of the records to the inmate would jeopardize privacy rights of others, or a legitimate correctional interest of security, custody, or rehabilitation; and to the extent information is furnished with a legitimate expectation of confidentiality. The Bureau of Prisons will continue to provide access to former inmates under existing regulations as is consistent with the interests listed above. Under present Bureau of Prisons regulations, inmates in federal institutions may file administrative complaints on any subject under the control of the Bureau. This would include complaints pertaining to information contained in these systems of records.

[Order No. 645–76, 41 FR 12640, Mar. 26, 1976, as amended by Order No. 6–86, 51 FR 15479, Apr. 24, 1986]

§ 16.98 Exemption of Drug Enforcement Administration Systems.

(a) The following systems of records are exempt for 5 U.S.C. 552a(c)(3), (d), (e)(4)(G) and (H), and (f):

(1)Automated Records and Consummated Orders System/Diversion Analysis and Detection System (ARCOS/DADS) (JUSTICE/DEA-003).

(2)Controlled Substances Act Registration Records (JUSTICE/DEA-005).

(3)Registration Status/Investigatory Records (JUSTICE/DEA-012)

These exemptions apply only to the extent that informaton in these systems is subject to exemption pursuant to 5 U.S.C. 552a(k).

(b) Exemptions from the particular subsections are justified for the following reasons:

(1) From subsection (c)(3) because the revealing of the disclosure accounting

pursuant to the routine uses published for these systems would enable the subject of an investigation to gain valuable information concerning the nature and scope of the investigation and seriously hamper the regulatory functions of the Drug Enforcement Administration.

(2) From subsection (d) because access to records contained in these systems might provide the subject of an investigation information that could enable him to avoid compliance with the Drug Abuse Prevention and Control Act of 1970 (Pub. L. 91–513).

(3) From subsections (e)(4) (G) and (H) because these systems or records are exempt from individual access pursuant to subsection (k) of the Act.

(4) From subsection (f) because these systems are exempt from the access provisions of subsection (d).

(c)The following systems of records are exempt from 5 U.S.C.552a(c)(3) and (4), (d), (e)(1), (2) and (3), (e)(4)(G) and (H), (e)(5) and (8), (f), (g) and (h):

(1)Air Intelligence Program (JUSTICE/DEA-001).

(2)Investigative Reporting and Filing System (JUSTICE/DEA-008).

(3)Planning and Inspection Divisions Records (JUSTICE/DEA-010).

(4)Operations Files (JUSTICE/DEA-011).

(5)Security Files (JUSTICE/DEA-013).

(6)System to Retrieve Information from Drug Evidence (STRIDE/Ballistics)(JUSTICE/DEA-014).

These exemptions apply only to the extent that information in these systems is subject to exemptions pursuant to 5 U.S.C. 552a (j) and (k).

(d) Exemptions from the particular subsections are justified for the following reasons:

(1) From (c)(3) because the release of the disclosure accounting for disclosure pursuant to the routine uses published for these systems would permit the subject of a criminal investigation to obtain valuable information concerning the nature of that investigation and present a serious impediment to law enforcement.

(2) From subsection (c)(4) because an exemption is being claimed for subsection (d), this subsection will not be applicable.

(3)From subsection (d) because access to records contained in these systems would interfere with the overall law enforcement process by revealing a pending sensitive investigation, e.g., it may alert a subject to the existence of an investigation and thereby provide information to the subject which might enable him to avoid detection or apprehension, or it may alert collateral suspects yet unprosecuted in closed cases. Likewise, access to these records could present a serious impediment to law enforcement efforts by simply revealing a sensitive investigative technique. Finally, access to these records may possibly identify a confidential source, or disclose information which would constitute an unwarranted invasion of another individual's privacy or create a potential danger to the health and safety of law enforcement personnel.

(4) From subsection (e)(1) because in the course of criminal investigations, the Drug Enforcement Administration often detects violation of non-drug related laws. In the interests of effective law enforcement, it is necessary that DEA retain all information obtained in criminal investigations because it can aid in establishing patterns of criminal activity and assist other law enforcement agencies that are charged with enforcing other segments of criminal law.

(5) From subsection (e)(2) because information collected to the greatest extent possible from the subject individual of a criminal investigation would provide the subject with valuable information which might preclude detection or apprehension of the subject individual.

(6) From subsection (e)(3) because the requirement that individuals supplying information be provided a form stating the requirements of subsection (e)(3) would constitute a serious impediment to law enforcement in that it could compromise the existence of a confidential investigation, reveal the identity of confidential sources of information and endanger the life or physical safety of confidential informants.

(7) From subsections (e)(4) (G) and (H) because these systems of records are exempt from individual access pursuant to subsection (j) of the Privacy Act of 1974.

(8) From subsection (e)(5) because in the collection of information for law enforcement purposes it is impossible to determine in advance what information is accurate, relevant, timely and complete. With the passage of time, seemingly irrelevant or untimely information may acquire new significance as further investigation brings new details to light and the accuracy of such information can only be determined in a court of law. The restrictions imposed by subsection (e)(5) would restrict the ability of trained investigators and intelligence analysts to exercise their judgment in reporting on investigations and impede the development of criminal intelligence necessary for effective law enforcement.

(9) From subsection (e)(8) because the individual notice requirements could present a serious impediment to law enforcement by interfering with the Drug Enforcement Administration's ability to issue administrative techniques and procedures.

(10) From subsection (f) because these systems have been exempted from the access provisions of subsection (d).

(11) From subsections (g) and (h) because these systems are compiled for law enforcement purposes and have been exempted from the access provisions of subsections (d) and (f).

(e)The following systems of records are exempt from 5 U.S.C. 552a(d)(1) and (e)(1).

(1)Grants of Confidentiality Files (GCF)(JUSTICE/DEA-017).

(2)DEA Applicants Investigations (JUSTICE/DEA-018).

These exemption apply only to the extent that information in these systems is subject to exemption pursuant to 5 U.S.C. 552a(k)(5).

(f) Exemptions from the particular subsections are justified for the following reasons:

(1) From subsection (d)(1) because many persons are contacted who, without an assurance of anonymity, refuse to provide information concerning an applicant for a grant of confidentiality with DEA. Permitting access to the information supplied by persons after a promise of confidentiality has been given could reveal the identity of the source of the information and constitute a breach of the promised confidentiality on the part of the Drug Enforcement Administration. Such breaches ultimately would restrict the free flow of information vital to a determination of an applicant's qualifications for a grant.

(2) From (e)(1) because in the collection of information for investigative and evaluative purposes, it is impossible to determine in advance what exact information may be of assistance in determining the qualifications and suitability of a candidate. Information which may appear irrelevant, when combined with other apparently irrelevant information can on occasion, provide a composite picture of an applicant which assists in determining whether a grant of confidentiality is warranted.

(g)The following system of records is exempted pursuant to the provisions of 5 U.S.C. 552a (j)(2) from subsections (c)(3) and (4), (d), (e)(1), (2) and (3), (e)(4)(G) and (H), (e)(5) and (8), (f), (g), and (h) of

5 U.S.C. 552a; in addition, the following system of records is exempted pursuant to the provisions of 5 U.S.C. 552a(k)(1) and (k)(2) from subsections (c)(3), (d), (e)(1), (e)(4)(G) and (H), and (f) of 5 U.S.C. 552a:

Freedom of Information/Privacy Act Records (JUSTICE/DEA-006).

This system of records listed in paragraph (g) of this section is exempted because the records contained in the system contain Drug Enforcement Administration law enforcement and investigative information. Individual access to these records might compromise ongoing investigations, reveal confidential informants or constitute unwarranted invasions of the personal privacy of third parties who are involved in a certain investigation. These exemptions apply only to the extent that information in this system is subject to exemptions pursuant to 5 U.S.C. 552a(j) and (k).

(h)Exemptions from the particular subsections are justified for the following reasons:

(1)From (c)(3) because the release of the disclosure accounting for disclosure pursuant to the routine uses published for this system would permit the subject of a criminal investigation to obtain valuable information concerning the nature of that investigation and present a serious impediment to law enforcement.

(2)From subsection (c)(4) because an exemption is being claimed for subsection (d) and this subsection will therefore not be applicable.

(3)From subsection (d) because access to records contained in this system would alert a subject to the existence of an investigation and thereby provide information to the subject which might enable him to avoid detection or apprehension, and present serious impediment to law enforcement.

(4)From subsection (e)(1) because in the course of criminal investigations the Drug Enforcement Administration often detects violation of non-drug related laws. In the interests of effective law enforcement, it is necessary that DEA retain all information obtained in criminal investigations because it can aid in establishing patterns of criminal activity and assist other law enforcement agencies that are charged with enforcing other segments of criminal law.

(5)From subsection (e)(2) because the nature of criminal and other investigative activities is such that vital information about an individual can only be obtained from other persons who are familiar with such individual and his/her activities. In such investigations it is not feasible to rely upon information furnished by the individual concerning his own activities.

(6)From subsection (e)(3) because the requirement that individuals supplying information be provided a form stating the requirements of subsection (e)(3) would constitute a serious impediment to law enforcement in that it could compromise the existence of a confidential investigation, reveal the identity of confidential sources of information, and endanger the life or pysical safety of confidential informants.

(7)From subsection (e)(4)(G) and (H) because this system of records is exempt from the individual ccess provisions of subsection (d).

(8)From subsection (e)(5) because in the collection of information for law enforcement purposes it is impossible to determine in advance what information is accurate, relevant, timely, and complete. With the passage of time, seemingly irrelevant or untimely information may acquire new significance as further investigation brings new details to light and the accuracy of such information can only be determined in a court of law. The restrictions imposed by subsection (e)(5) would restrict the ability of trained investigators and intelligence analysts to exercise their judgment in reporting on investigations and impede the development of criminal intelligence necessary for effective law enforcement.

(9)From subsection (e)(8) because the individual notice requirements could present a serious impediment to law enforcement by interfering with the Drug Enforcement Administration's ability to issue administrative techniques and procedures.

(10)From subsection (f) because this system has been exempted from the individual access provision of subsection (d).

(11)From subsection (g) because the records in this system are generally compiled for law enforcement purposes and are exempt from the access provisions of subsections (d) and (f), rendering subsection (g) inapplicable.

[Order No. 645–76, 41 FR 12640, Mar. 26, 1976, as amended by Order No. 688–77, 42 FR 10001, Feb. 18, 1977; AAG/G Order No. 68–81, 46 FR 32866, June 25,1981; AAG/A Order No. 13-84, 49 FR 29595, July 23, 1984]

§ 16.99 Exemption of Immigration and Naturalization Service System—Limited access.

(a) The following systems of records of the Immigration and Naturalization Service are exempt from 5 U.S.C. 552a (c) (3) and (4), (d), (e) (1), (2) and (3), (e)(4)(G) and (H), (e) (5) and (8), (f) and (g):

(1) The Immigration and Naturalization Service Alien File (A-File) and Central Index System (CIS), JUSTICE/INS-001-A.

(2)The Immigration and Naturalization Service Index System, JUSTICE/INS-001 which consists of the following subsystems:

(i) Agency Information Control Record Index.

(ii) Alien Enemy Index.

(iii) Congressional Mail Unit Index.

(iv) Air Detail Office Index.

(v) Anti-smuggling Index (general).

(vi) Anti-smuggling Information Centers Systems for Canadian and Mexican Borders.

(vii) Border Patrol Sectors General Index System.

(viii) Contact Index.

(ix) Criminal, Immoral, Narcotic, Racketeer and Subversive Indexes.

(x) Enforcement Correspondence Control Index System.

(xi) Document Vendors and Alterers Index.

(xii) Informant Index.

(xiii) Suspect Third Party Index.

(xiv) Examination Correspondence Control Index.

(xv) Extention Training Enrollee Index.

(xv) Intelligence Index.

(xvii) Naturalization and Citizenship Indexes.

(xviii) Personnel Investigations Unit Indexes.

(xix) Service Look-Out Subsystem.

(xx) White House and Attorney General Correspondence Control Index.

(xxi) Fraudulent Document Center Index.

(xxii) Emergency Reassignment Index.

(xxiii) Alien Documentation, Identification, and Telecommunication (ADIT) System.

These exemptions apply to the extent that information in these subsystems is subject to exemption pursuant to 5 U.S.C. 552a (j) and (k).

(b) Exemptions from the particular subsections are justified for the following reasons:

(1) From subsection (c)(3) because the release of the disclosure accounting for disclosure pursuant to the routine uses published for these subsystems would permit the subject of a criminal or civil investigation to obtain valuable information concerning the nature of that investigation and present a serious impediment to law enforcement.

(2) From subsection (c)(4) since an exemption is being claimed for subsection (d), this subsection will not be applicable.

(3) From subsection (d) because access to the records contained in these subsystems would inform the subject of a criminal or civil investigation of the existence of that investigation, provide the subject of the investigation with information that might enable him to avoid detection or apprehension, and present a serious impediment to law enforcement.

(4) From subsection (e)(1) because in the course of criminal or civil investigations, the Immigration and Naturalization Service often obtains information concerning the violation of laws other than those relating to violations over which INS has investigative jurisdiction. In the interests of effective law enforcement, it is necessary that INS retain this information since it can aid in establishing patterns of criminal activity and provide valuable leads for those law enforcement agencies that are charged with enforcing other segments of the criminal law.

(5) From subsection (e)(2) because in a criminal or civil investigation, the requirement that information be collected to the greatest extent possible from the subject individual would present a serious impediment to law enforcement in that the subject of the investigation would be placed on notice of the existence of the investigation and would therefore be able to avoid detection or apprehension.

(6) From subsection (e)(3) because the requirement that individuals supplying information be provided with a form stating the requirements of subsection (e)(3) would constitute a serious impediment to law enforcement in that it could compromise the existence of a confidential investigation, reveal the identity of confidential sources of information and endanger the life or physical safety of confidential informants.

(7) From subsections (e)(4) (G) and (H) because these subsystems of records are exempt from individual access pursuant to subsection (j) of the Privacy Act of 1974.

(8) From subsection (e)(5) because in the collection of information for law enforcement purposes it is impossible to determine in advance what information is accurate, relevant, timely, and complete. With the passage of time, seemingly irrelevant or untimely information may acquire new significance as further investigation brings new details to light and the accuracy of such information can only be determined in a court of law. The restrictions of subsection (e)(5) would restrict the ability of trained investigators and intelligence analysts to exercise their judgment in reporting on investigations and impede the development of criminal intelligence necessary for effective law enforcement.

(9) From subsection (e)(8) because the individual notice requirements of subsection (e)(8) could present a serious impediment to law enforcement as this could interfere with the Immigration and Naturalization Service's ability to issue administrative subpoenas and could reveal investigative techniques and procedures.

(10) From subsection (g) because these subsystems of records are compiled for law enforcement purposes and have been exempted from the access provisions of subsections (d) and (f).

(11) In addition, these subsystems of records are exempt from subsections (c)(3), (d), (e)(1), (e)(4)(G) and (H) to the extent that they are subject to exemption pursuant to 5 USC 552a(k)(1). To permit access to records classified pursuant to Executive Order would violate the Executive Order protecting classified information.

(c) The Border Patrol Academy Index Subsystem is exempt from 5 U.S.C. 552a (d) and (f).

This exemption applies only to the extent that information in this subsystem is subject to exemption pursuant to 5 U.S.C. 552a(k).

(d) Exemptions for the particular subsections are justified for the following reasons.

(1) From subsection (d) because exemption is claimed only for those testing and examination materials used to determine an individual's qualifications for retention and promotion in the Immigration and Naturalization Service. This is necessary to protect the integrity of testing materials and to insure fair and uniform examinations.

(2) From subsection (f) because the subsystem of records has been exempted from the access provisions of subsection (d).

(e) The Orphan Petitioner Index and Files (Justice/INS–007) system of records is exempt from 5 U.S.C. 552a(d). This exemption applies only to the extent that information in this system is subject to exemption pursuant to 5 U.S.C. 552a(k)(1).

(f) Exemption from paragraph (d) of this section is claimed solely because of the possibility of receipt of classified information during the course of INS investigation of prospective adoptive parents.

Although it would be rare, prospective adoptive parents may originally be from foreign countries (for example) and information received on them from their native countries may require classification under Executive Order 12356 which safeguards national security information. If such information is relevant to the INS determination with respect to adoption, the information would be kept in the file and would be classified accordingly. Therefore, access could not be granted to the record subject under the Privacy Act without violating Executive Order 12356.

[Order 645–76, 41 FR 12640, Mar. 26, 1976, as amended by Order No. 688–77, 42 FR 10001, Feb. 18, 1977; AAG/Order No. 6-84, 49 FR 20812, May 17, 1984; Order No. 25–88, 53 FR 41161, Oct. 20, 1988]

§ 16.100 Exemption of Office of Justice Programs—Limited access.

(a) The following system of records is exempt from 5 U.S.C. 552a(d):

(1) The Civil Rights Investigative System (JUSTICE/OJP–008). This exemption applies only to the extent that information in this system is subject to exemption pursuant to 5 U.S.C. 552a(k)(2).

(b) Exemption from subsection (d) is claimed since access to information in the Civil Rights Investigative System prior to final administrative resolution will deter conciliation and compliance efforts. Consistent with the legislative purpose of the Privacy Act of 1974, decisions to release information from the system will be made on a case-by-case basis and information will be made available where it does not compromise the complaint and compliance process. In addition, where explicit promises of confidentiality must be made to a source during an investigation, disclosure will be limited to the extent that the identity of such confidential sources will not be compromised.

[Order No. 645–76,41 FR 12640, Mar. 26, 1976, as amended by AAG/A Order 5–78, 43 FR 36439, Aug. 17, 1978; AAG/A Order No. 43-80, 45 FR 6780, Jan. 30, 1980; Order No. 6-86, 51 FR 15479, Apr. 24, 1986]

§ 16.101 Exemption of U.S. Marshals Service Systems—Limited access, as indicated.

(a) The following system of records is exempt from 5 U.S.C. 552a (c) (3) and (4), (d), (e) (2) and (3), (e)(4) (G) and (H), (e)(8), and (f) and (g):

(1) Warrant Information System (JUSTICE/USM–007).

These exemptions apply only to the extent that information in this system is subject to exemption pursuant to 5 U.S.C. 552a(j)(2).

(b) Exemptions from the particular subsections are justified for the following reasons:

(1) From subsection (c)(3) because the release of disclosure accounting for disclosure made pursuant to subsection (b) of the Act, including those permitted under routine uses published for this system of records would permit a person to determine whether he is the subject of a criminal investigation, and to determine whether a warrant has been issued against him, and therefore present a serious impediment to law enforcement.

(2) From subsection (c)(4) since an exemption is being claimed for subsection (d) of the Act, this section is inapplicable.

(3) From subsection (d) because access to records would inform a person for whom a federal warrant has been issued of the nature and scope of information obtained as to his activities, of the identity of informants, and afford the person sufficient information to enable the subject to avoid apprehension. These factors would present a serious impediment to law enforcement in that they would thwart the warrant process and endanger lives of informants etc.

(4) From subsections (e)(1) and (e)(5) because the requirements of these subsections would present a serious impediment to law enforcement in that it is impossible to determine in advance what informaiton collected during an investigation will be important or crucial to the apprehension of Federal fugitives. In the interest of effective law enforcement, it is appropriate in a thorough investigation to retain seemingly irrelevant, untimely, or inaccurate information which, with the passage of time, would aid in establishing patterns of activity and provide investigative leads toward fugitive apprehension and assist in law enforcement activities of other agencies.

(5) From subsection (e)(3) because the requirement that individuals supplying information be provided with a form stating the requirements of subsection (e)(3) would present a serious impediment to lawenforcement because the subject of the investigation or prosecution would be placed on notice as to the existence of the warrant and would therefore be able to avoid detection or apprehension.

(6) From subsection (e)(3) because the requirement that individuals supplying information be provided with a form stating the requirement of subsection (e)(3) would constitute a serious impediment to law enforcement in that it could compromise the existence of a confidential investigation or reveal identity of confidential informants.

(7) From subsections (e)(4) (G) and (H) since an exemption is being claimed for subsections (f) and (d) of the Act, these subsections are inapplicable.

(8) From subsection (e)(8) because the individual notice requirement of this subsection would present a serious impediment to law enforcement in that it would give persons sufficient warning to avoid warrants, subpoena, etc.

(9) From subsection (f) because procedures for notice to an individual pursuant to subsection (f)(1) as to existence of records pertaining to him dealing with warrants must be exempted because such notice to individuals would be detrimental to the successful service of a warrant. Since an exemption is being claimed for subsection (d) of the Act the rules required pursuant to subsections (f) (2) through (5) are inapplicable to this system of records.

(10) From subsection (g) since an exemption is being claimed for subsection (d) and (f) this section is inapplicable and is exempted for the reasons set forth for these subsections.

(c) The following system of records is exempt from 5 U.S.C. 552a (c) (3) and (4), (d), (e) (2) and (3), (e)(4) (G) and (H), (e)(8), (f)(2) and (g):

(1) Witness Security System (JUSTICE/USM-008).

These exemptions apply only to the extent that information in this system is subject to exemption pursuant to 5 U.S.C. 552a(j)(2).

(d) Exemptions from the particular subsections are justified for the following reasons:

(1) From subsection (c)(3) because the release of the disclosure accounting for disclosures made pursuant to subsection (b) of the Act including those permitted under routine uses published for this system of records would hamper the effective functioning of the Witness Security Program which by its very nature requires strict confidentiality vis-a-vis the records.

(2) From subsection (c)(4) for the reason stated in paragraph (b)(2) of this section.

(3) From subsection (d) because the United States Marshals Service Witness Security Program aids efforts of law enforcement officials to prevent, control or reduce crime. Access to records would present a serious impediment to effective law enforcement through revelation of confidential sources and through disclosure of operating procedures of the program, and through increased exposure of the program to the public.

(4) From subsection (e)(2) because in the Witness Security Program the requirement that information be collected to the greatest extent possible from the subject individual would constitute an impediment to the program, which is sometimes dependent on sources other than the subject witness for verification of information pertaining to the witness.

(5)From subsection (e)(3) for the reason stated in paragraph (b)(6) of this section.

(6)From subsection (e)(4)(G) and (H) for the reason stated in paragraph (b)(7) of this section

(7)From subsection (e)(8) for the reason stated in paragraph (b)(8) of this section.

(8) From subsection (f)(2) since an exemption is being claimed for subsection (d) of the Act the rules required pursuant to subsection (f) (2) through (5) are inapplicable to this system of records.

(9) From subsection (g) for the reason stated in paragraph (b)(10) of this section.

(e) The following system of records is exempt from 5 U.S.C. 552a (c) (3) and (4), (d), (e) (2) and (3), (e)(4) (G) and (H), (f) and (g) and may be additionally exempt from subsection (e)(8):

(1) Internal Investigations System (JUSTICE/USM-002)—Limited access.

These exemptions apply only to the extent that information in this system is subject to exemption pursuant to 5 U.S.C. 552a(k)(5) or (j)(2).

(f)Exemptions from the particular subsections are justified for the following reasons:

(1) From subsection (c)(3) where the release of the disclosure accounting for disclosures made pursuant to subsection (b) of the Act would reveal a source who furnished information to the Government in confidence.

(2) From subsection (c)(4) for the reason stated in paragraph (b)(2) of this section.

(3) From subsection (d) because access to information in this system which was obtained from a confidential source impede the effective investigation into employee conduct for purposes of determining suitability, eligibility, or qualifications for Federal employment in that it would inhibit furnishing of information by sources which desire to remain confidential.

(4) From subsection (e)(2) because the requirement that information be collected to the greatest extent practicable from the subject individual would present a serious impediment to law enforcement because the subject of the investigation or prosecution would be placed on notice as to the existence of the investigation and would therefore

be able to compromise the investigation and avoid detection or apprehension.

(5) From subsection (e)(3) for the reason stated in paragraph (b)(6) of this section.

(6) From subsections (e)(4)(G) and (H) for the reason stated in paragraph (b)(7) of this section.

(7) From subsection (e)(8) because the individual notice requirement of this subsection would present a serious impediment to law enforcement in that the subject of the investigation would be alerted as to the existence of the investigation and therefore be able to compromise the investigation and avoid detection, subpoena, etc.

(8)From subsection (f) because procedures for notice to an individual pursuant to subsection (f)(1) as to the existence of records dealing with investigations of criminal or civil law violations would enable the individual to compromise the investigation and evade detection or apprehension. Since an exemption is being claimed for subsection (d) of the Act, the rules required pursuant to subsections (f)(2) through (f)(5) are not applicable to this system.

(9) From subsection (g) for the reason stated in paragraph (b)(10) of this section.

(g) The following system of records is exempt from 5 U.S.C. 552a(c) (3) and (4), (d), (e)(1), (2) and (3), (e)(4) (G) and (H), (e)(5), (e)(8), (f) and (g):

(1) U.S. Marshals Service Threat Analysis Information System (JUSTICE/USM-009).

These exemptions apply only to the extent that information in this system is subject to exemption pursuant to 5 U.S.C. 552a(j)(2).

(h) Exemptions from the particular subsections are justified for the following reasons:

(1) From subsection (c)(3) because to release the disclosure accounting would permit a person to determine whether he or she has been identified as a specific threat to USMS protectees and to determine the need for countermeasures to USMS protective activities and thereby present a serious impediment to law enforcement.

(2) From subsection (c)(4) because it is inapplicable since an exemption is being claimed for subsection (d).

(3) From subsection (d) because to permit access to records would inform a person of the nature and scope of information obtained as to his or her threat-related activities and of the identity of confidential sources, and afford the person sufficient information to develop countermeasures to thwart protective arrangements and endanger lives of USMS protectees, informants, etc. To permit amendment of the records would interfere with ongoing criminal law enforcement and impose an impossible administrative burden requiring criminal investigations to be continuously reinvestigated.

(4) From subsections (e) (1) and (5) because the collection of investigatory information used to assess the existence, extent and likelihood of a threat situation necessarily includes material from which it is impossible to identify and segregate information which may not be important to the conduct of a thorough assessment. It is often impossible to determine in advance if all information collected is accurate, relevent, timely and complete but, in the interests of developing effective protective measures, it is necessary that the U.S. Marshals Service retain this information in order to establish patterns of activity to aid in accurately assessing threat situations. The restrictions of subsections (e) (1) and (5) would impede the protective responsibilities of the Service and could result in death or serious injury to Marshals Service protectees.

(5) From subsection (e)(2) because to collect information from the subject individual would serve notice that he or she is identified as a specific threat to USMS protectees and would enable the subject individual to develop countermeasures to protective activities and thereby present a serious impediment to law enforcement.

(6) From subsection (e)(3) because to inform individuals as required by this subsection would enable the subject individual to develop countermeasures to USMS protective arrangements or identify confidential sources and thereby present a serious impediment to law enforcement.

(7) From subsections (e)(4) (G) and (H) because they are inapplicable since an exemption is being claimed for subsections (d) and (f) of the Act.

(8) From subsection (e)(8) because to serve notice would give persons sufficient warning to develop countermeasures to protective arrangements and thereby present a serious impediment to law enforcement through compromise of protective procedures, etc.

(9) From subsection (f) because this system of records is exempt from the provisions of subsection (d).

(10) From subsection (g) because it is inapplicable since an exemption is being claimed for subsections (d) and (f).

(i) The following system of records is exempt from 5 U.S.C. 552a(c) (3) and (d):

(1) Judicial Facility Security Index System (JUSTICE/USM-010)

These exemptions apply only to the extent that information in this system is exempt pursuant to 5 U.S.C. 552a(k)(5).

(j) Exemptions from the particular subsections are justified for the following reasons:

(1) From subsection (c)(3) only to the extent that release of the disclosure accounting would reveal the identity of a confidential source.

(2) From subsection (d) only to the extent that access to information would reveal the identity of a confidential source.

(k) The following system of records is exempt from 5 U.S.C. 552a(c) (3) and (4), (d), (e)(1), (2) and (3), (e)(4) (G) and (H), (e)(5), (e)(8), (f) and (g):

(1) U.S. Marshals Service Freedom of Information/Privacy Act (FOIA/PA) Files (JUSTICE/USM-012).

These exemptions apply only to the extent that information in this system is subject to exemption pursuant to 5 U.S.C. 552a (j)(2), (k)(2) and (k)(5).

(l) Because this system contains Department of Justice civil and criminal law enforcement, investigatory records, exemptions from the particular subsections are justified for the following reasons:

(1) From subsection (c)(3) because to release the disclosure accounting would permit the subject of an investigation to obtain valuable information concerning the existence and nature of the investigation and present a serious impediment to law enforcement.

(2) From subsection (c)(4) because that portion of this system which consists of investigatory records compiled for law enforcement purposes is being exempted from the provisions of subsection (d), rendering this provision not applicable.

(3) From subsection (d) because to permit access to investigatory records would reveal the identity of confidential sources and impede ongoing investigative or law enforcement activities by the premature disclosure of information related to those efforts. To permit amendment of the records would interfere with ongoing criminal law enforcement and impose an impossible administrative burden by requiring criminal investigations to be continuously reinvestigated.

(4) From subsections (e) (1) and (5) because it is often impossible to determine in advance if investigatory records contained in this system are accurate, relevant, timely and complete but, in the interests of effective law enforcement, it is necessary to retain this information to aid in establishing patterns of activity and provide leads in criminal investigations.

(5) From subsection (e)(2) because to collect information from the subject individual would serve notice that he or she is the subject of criminal investigative or law enforcement activity and thereby present a serious impediment to law enforcement.

(6) From subsection (e)(3) because to inform individuals as required by this subsection would enable the subject individual to identify confidential sources, reveal the existence of an investigation, and compromise law enforcement efforts.

(7) From subsections (e)(4) (G) and (H) because they are inapplicable since an exemption is being claimed for subsections (d) and (f) for investigatory records contained in this system.

(8) From subsection (e)(8) because to serve notice would give persons sufficient warning to evade law enforcement efforts.

(9) From subsection (f) because investigatory records contained in this system are exempt from the provisions of subsection (d).

(10) From subsection (g) because it is inapplicable since an exemption is being claimed for subsections (d) and (f).

(m) The following system of records is exempt from 5 U.S.C. 552a(c) (3) and (4), (d), (e) (2) and (3), (e)(4) (G) and (H), (e)(8), (f) and (g):

(1) U.S. Marshals Service Administrative Proceedings, Claims and Civil Litigation Files (JUSTICE/USM–013).

These exemptions apply only to the extent that information in this system is subject to exemption pursuant to 5 U.S.C. 552a(j)(2) or (k)(5).

(n) Exemptions from the particular subsections are justified for the following reasons:

(1) From subsection (c)(3) because to release the disclosure accounting for disclosures pursuant to the routine uses published for this system would permit the subject of a criminal or civil case or matter under investigation, or a case or matter in litigation, or under regulatory or administrative review or action, to obtain valuable information concerning the nature of that investigation, case or matter, and present a serious impediment to law enforcement or civil legal activities, or reveal a confidential source.

(2) From subsection (c)(4) because the exemption claimed for subsection (d) will make this section inapplicable.

(3) From subsection (d) because to permit access to records contained in this system would provide information concerning litigation strategy, or case development, and/or reveal the nature of the criminal or civil case or matter under investigation or administrative review, or in litigation, and present a serious impediment to law enforcement or civil legal activities, or reveal a confidential source.

(4) From subsection (e)(2) because effective legal representation, defense, or claim adjudication necessitates collecting information from all individuals having knowledge of the criminal or civil case or matter. To collect information primarily from the subject individual would present a serious impediment to law enforcement or civil legal activities.

(5) From subsection (e)(3) because to inform the individuals as required by this subsection would permit the subject of a criminal or civil matter under investigation or administrative review to compromise that investigation or administrative review and thereby impede law enforcement efforts or civil legal activities.

(6) From subsections (e)(4) (G) and (H) because these provisions are inapplicable since this system is exempt from subsections (d) and (f) of the Act.

(7) From subsection (e)(8) because to serve notice would give persons sufficient warning to compromise a criminal or civil investigation or administrative review and thereby impede law enforcement of civil legal activities.

(8) From subsection (f) because this system of records is exempt from the provisions of subsection (d).

(9) From subsection (g) because it is inapplicable since an exemption is claimed for subsections (d) and (f).

(o) Consistent with the legislative purpose of the Privacy Act of 1974, the United States Marshals Service will grant access to nonexempt material in records which are maintained by the Service. Disclosure will be governed by the Department's Privacy Regulations, but will be limited to the extent that the identity of confidential sources will not be compromised; subjects of an investigation of an actual or potential criminal, civil or regulatory violation will not be alerted to the investigation; the physical safety of witnesses, informants and law enforcement personnel will not be endangered; the privacy of third parties will not be violated; and that the disclosure would not otherwise impede effective law enforcement. Whenever possible, information of the above nature will be deleted from the requested documents and the balance made available. The controlling principle behind this limited access is to allow disclosures except those indicated above. The decisions to release information from this system will be made on a case-by-case basis. The decision to release information from these systems will be made on a case—by—case basis.

[Order No. 645–76, 41 FR 12640, Mar. 26, 1976, as amended by AAG/A Order No. 8–83, 48 FR 19024, Apr. 27, 1983; AAG/A 10–86, 51 FR 20275, Jun. 4, 1986; Order No. 11–86, 51 FR 20277, Jun. 4, 1986]

§ 16.102 Exemption of Drug Enforcement Administration and Immigration and Naturalization Service Joint System of Records.

(a) The following system of records is exempted pursuant to provisions of 5 U.S.C. 552a(j)(2) from subsections (c) (3) and (4), (d), (e) (1), (2) and (3), (e)(4) (G), (H), and (I), (e)(5) and (8), (f), (g), and (h) of 5 U.S.C. 552a; in addition the following system of records is exempted pursuant to the provisions of 5 U.S.C. 552 (k)(1) and (k)(2) from subsections (c)(3), (d), (e)(1), (e)(4) (G), (H), and (I), and (f) of 5 U.S.C. 552a.

(1) Automated Intelligence Record System (Pathfinder), JUSTICE/DEA–INS–111. These exemptions apply to the extent that information in those systems is subject to exemption pursuant to 5 U.S.C. 552a (j)(2), (k)(1) and (k)(2).

(b) The system of records listed under paragraph (a) of this section is exempted, for the reasons set forth from the following provisions of 5 U.S.C. 552a:

(1)(c)(3). The release of the disclosure accounting for disclosures made pursuant to subsection (b) of the Act, including those permitted under the routine uses published for these systems of records, would permit the subject of an investigation of an actual or potential criminal, civil, or regulatory violation to determine whether he is the subject of investigation, or to obtain valuable information concerning the nature of that investigation, and the information obtained, or the identity of witnesses and informants and would therefore present a serious impediment to law enforcement. In addition, disclosure of the accounting would amount to notice to the individual of the existence of a record; such notice requirement under subsection (f)(1) is specifically exempted for these systems of records.

(2)(c)(4). Since an exemption is being claimed for subsection (d) of the Act (Access to Records) this subsection is inapplicable to the extent that these systems of records are exempted from subsection (d).

(3)(d). Access to the records contained in these systems would inform the subject of an investigation of an actual or potential criminal, civil, or regulatory violation of the existence of that investigation, or the nature and scope of the information and evidence obtained as to his activities, of the identity of witnesses and informants, or would provide information that could enable the subject to avoid detection or apprehension. These factors would present a serious impediment to effective law enforcement because they could prevent the successful completion of the investigation, endanger the physical safety of witnesses or informants, and lead to the improper influencing of witnesses, the destruction of evidence, or the fabrication of testimony.

(4)(e)(1). The notices of these systems of records published in the **Federal Register** set forth the basic statutory or related authority for maintenance of this system. However, in the course of criminal or other law enforcement investigations, cases, and matters, the Immigration and Naturalization Service or the Drug Enforcement Administration will occasionally obtain information concerning actual or potential violations of law that are not strictly within its statutory or other authority or may compile information in the course of an investigation which may not be relevant to a specific prosecution. In the interests of effective law enforcement, it is necessary to retain such information in these systems of records since it can aid in establishing patterns of criminal activity and can provide valuable leads for federal and other law enforcement agencies.

(5)(e)(2). In a criminal investigation or prosecution, the requirement that information be collected to the greatest extent practicable from the subject individual would present a serious impediment to law enforcement because the subject of the investigation or prosecution would be placed on notice as to the existence of the investigation and would therefore be able to avoid detection or apprehension, to influence witnesses improperly, to destroy evidence, or to fabricate testimony.

(6)(e)(3). The requirement that individuals supplying information be provided with a form stating the requirements of subsection (e)(3) would constitute a serious impediment to law enforcement in that it could compromise the existence of a confidential investigation or reveal the identity of witnesses or confidential informants.

(7)(e)(4) (G) and (H). Since an exemption is being claimed for subsections (f) (Agency Rules) and (d) (Access to Records) of the Act these subsections are inapplicable to the extent that these systems of records are exempted from subsections (f) and (d).

(8)(e)(4)(I). The categories of sources of the records in these systems have been published in the **Federal Register** in broad generic terms in the belief that this is all that subsection (e)(4)(I) of the Act requires. In the event, however, that this subsection should be interpreted to require more detail as to the identity of sources of the records in these systems, exemption from this provision is necessary in order to protect the confidentiality of the sources of criminal and other law enforcement information. Such exemption is further necessary to protect the privacy and physical safety of witnesses and informants.

(9)(e)(5). In the collection of information for criminal law enforcement purposes it is impossible to determine in advance what information is accurate, relevant, timely, and complete. With the passage of time, seemingly irrelevant or untimely information may acquire new significance as further investigation brings new details to light and the accuracy of such information can often only be determined in a court of law. The restrictions of subsection (e)(5) would restrict the ability of trained investigators, intelligence analysts, and government attorneys in exercising their judgment in reporting on information and investigations and impede the development of criminal or other intelligence necessary for effective law enforcement.

(10)(e)(8). The individual notice requirements of subsection (e)(8) could present a serious impediment to law enforcement as this could interfere with the ability to issue warrants or subpoenas and could reveal investigative techniques, procedures, or evidence.

(11)(f). Procedures for notice to an individual pursuant to subsection (f)(1) as to the existence of records pertaining to him dealing with an actual or potential criminal, civil, or regulatory investigation or prosecution must be exempted because such notice to an individual would be detrimental to the successful conduct and/or completion of an investigation or prosecution pending or future. In addition, mere notice of the fact of an investigation could inform the subject or others that their activities are under or may become the subject of an investigation and could enable the subjects to avoid detection or apprehension, to influence witnesses improperly, to destroy evidence, or to fabricate testimony.

Since an exemption is being claimed for subsection (d) of the Act (Access to Records) the rules required pursuant to subsections (f) (2) through (5) are inapplicable to these systems of records to the extent that these systems of records are exempted from subsection (d).

(12)(g). Since an exemption is being claimed for subsections (d) (Access to Records) and (f) (Agency Rules) this section is inapplicable, and is exempted for the reasons set forth for those subsections, to the extent that these systems of records are exempted from subsections (d) and (f).

(13)(h). Since an exemption is being claimed for subsection (d) (Access to Records) and (f) (Agency Rules) this section is inapplicable, and is exempted for the reasons set forth for those subsections, to the extent that these systems of records are exempted from subsections (d) and (f).

(14) In addition, exemption is claimed for these systems of records from compliance with the following provisions of the Privacy Act of 1974 (5 U.S.C. 552a) pursuant to the provisions of 5 U.S.C. 552a(k)(1): Subsections (c)(3), (d), (e)(1), (e)(4) (G), (H), and (I), and (f) to the extent that the records contained in these systems are specifically authorized to be kept secret in the interests of national defense and foreign policy.

[Order No. 742–77, 42 FR 40907, Aug. 12, 1977]

§16.80 Exemption of the INTERPOL–United States National Central Bureau (INTERPOL–USNCB) System.

(a) The following system of records is exempt from 5 U.S.C. 552a (c) (3) and (4), (d), (e)(1), (2), and (3), (e)(4)(G) and (H), (e)(5) and (8), (f) and (g):

(1) The INTERPOL–United States National Central Bureau (INTERPOL–USNCB) (Department of Justice) INTERPOL–USNCB Records System (JUSTICE/INTERPOL–001).This exemption applies only to the extent that information in this system is subject to exemption pursuant to 5 U.S.C. 552a (j)(2), (k)(2) and (k)(5).

(b) Exemptions from the particular subsections are justified for the following reasons:

(1) From subsection (c)(3) because the release of accounting disclosures would place the subject of an investigation on notice that he is under investigation and provide him with significant information concerning the nature of the investigation, thus resulting in a serious impediment to law enforcement.

(2) From subsections (c)(4), (d), (e)(4)(G) and (H), (f) and (g) because these provisions concern individual access to records and such access might compromise ongoing investigations, reveal investigatory techniques and confidential informants, and invade the privacy of private citizens who provide information in connection with a particular investigation.

(3) From subsection (e)(1) because information received in the course of an international criminal investigation may involve a violation of state or local law, and it is beneficial to maintain this information to provide investigative leads to state and local law enforcement agencies.

(4) From subsection (e)(2) because collecting information from the subject of criminal investigations would thwart the investigation by placing the subject on notice.

(5) From subsection (e)(3) because supplying an individual with a statement of the intended use of the requested information could compromise the existence of a confidential investigation, and may inhibit cooperation.

(6) From subsection (e)(5) because the vast majority of these records come from local criminal justice agencies and it is administratively impossible to ensure that the records comply with this provision. Submitting agencies are, however, urged on a continuing basis to ensure that their records are accurate and include all dispositions.

(7) From subsection (e)(8) because the notice requirements of the provision could present a serious impediment to law enforcement by revealing investigative techniques, procedures, and the existence of confidential investigations.

[AAG/A Order No. 8–82, 47 FR 44255, Oct. 7, 1982, as amended by AAG/A Order No. 6–86, 51 FR 15479, Apr. 24, 1986]

Title 8-Aliens and Nationality

Chapter I-Immigration and Naturalization Service, Department of Justice

PART 103—POWERS AND DUTIES OF SERVICE OFFICERS; AVAILABILITY OF SERVICE RECORDS

Sec.

103.20 Purpose and scope.
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103.36 Employee standards of conduct with regard to privacy.

Authority:Sec. 103 of the Immigration and Nationality Act, as amended (8 U.S.C.1103); 5 U.S.C. 552a: 28 CFR, and E. O. 12356.

Source: 40 FR 44481, Sept. 26, 1975, as amended at 48 FR 49652, Oct. 27, 1983.

§ 103.20 Purpose and scope.

(a) Sections 103.20 through 103.36 comprise the regulations of the Service implementing the Privacy Act of 1974, Pub. L. 93–597. The regulations apply to all records contained in systems of records maintained by the Service which are identifiable by individual name or identifier and which are retrieved by individual name or identifier, except those personnel records governed by Civil Service Commission regulations. The regulations set forth the procedures by which individuals may seek access to records pertaining to themselves and request correction of those records. The regulations also set forth the requirements applicable to Service employees maintaining, collecting, using or disseminating such records.

(b) The Associate Commissioner, Management, shall provide that the provisions of §§ 103.20 through 103.36 of this part and 28 CFR 16.40 through 16.56, and any revisions thereof, shall be brought to the attention of and made available to:

(1) Each employee at the time of issuance of the regulations and at the time of any amendment; and

(2) Each new employee at the time of employment.

(c) The Associate Commissioner, Information Systems, shall be responsible for ensuring that employees of the Service are trained in the obligations imposed by the Privacy Act of 1974(5 U.S.C. 552a) and by these regulations.

[40 FR 44481, Sept. 16, 1975, as amended at 48 FR 49652, Oct. 27, 1983]

§ 103.21 Access by individuals to records maintained about them.

(a) *Access to available records.* An individual seeking access to records about himself in a system of records, which have not been exempted from access pursuant to the Privacy Act of 1974, shall present his request in person or in writing to the manager of the particular system of records to which he seeks access. Systems managers are identified in the "Notice of Systems of Records" published by the National Archives and Records Service, General Services Administration. Access to records in multiple systems of records shall be addressed to the Office of the Associate Commissioner, Management, which shall assist the requester in identifying his request more precisely and shall be responsible for forwarding the request to the appropriate system managers. The use of Form G–657, Privacy Act Information Request, is recommended for rapid identification and to insure expeditious handling.

(b) *Verification of identity.* The following standards are applicable to any individual who requests records concerning himself, unless other provisions for identity verification are specified in the published notice pertaining to the particular system of records.

(1) An individual seeking access to records about himself in person shall establish his identity by the presentation of a single document bearing a photograph (such as a passport, alien registration receipt card or identification badge) or by the presentation of two items of identification which do not bear a photograph but do bear both a name and address (such as a driver's license, or credit card).

(2) An individual seeking access to records about himself by mail shall establish his identity by a signature, address, date of birth, place of birth, alien or employee identification number, if any, and one other identifier such as a photocopy of an identifying document.

(3) An individual seeking access to records about himself by mail or in person who cannot provide the necessary documentation of identification may provide a notarized statement swearing or affirming to his identity and to the fact that he understands the penalties for false statements pursuant to 18 U.S.C. 1001. Form G–652, affidavit of Identity, may be obtained on request from the office of the system manager of a system of records at a system location listed in the "Notice of Systems of Records" published in the **Federal Register**.

(c) *Verification of guardianship.* The parent or guardian of a child or of a person judicially determined to be incompetent and seeking to act on behalf of such child or incompetent, shall, in addition to establishing his own identity, establish the identity of the child or other person he represents as required in paragraph (b) of this section, and establish his own parentage or guardianship of the subject of the record by furnishing either a copy of a birth certificate showing parentage or a court order establishing the guardianship.

(d) *Accompanying persons.* An individual seeking to review records pertaining to himself may be accompanied by another individual of his own choosing. Both the individual seeking access and the individual accompanying him shall be required to sign the required form indicating that the Service is authorized to discuss the contents of the subject record in the presence of both individuals.

(e) *Specification of records sought.* Requests for access to records, either in person or by mail, shall describe the nature of the records sought, the approximate dates covered by the record, the system in which it is thought to be included as described in the "Notice of Systems of Records" published in the **Federal Register**, and the identity of the individual or office of the Service having custody of the system of records. In addition, the published "Notice of Systems of Records" for individual systems may include further requirements of specification, where necessary, to retrieve the individual record from the system.

[40 FR 44481, Sept. 26, 1975; 40 FR 46092, Oct. 6, 1975, as amended at 42 FR 33025, June 29, 1977; 48 FR 49653, Oct. 27, 1983]

§ 103.22 Records exempt in whole or in part.

(a) When an individual requests records about himself which have been exempted from individual access pursuant to 5 U.S.C. 552a(j) or (k)(3) or (k)(4) or which have been compiled in reasonable anticipation of a civil action or proceeding either in a court or before an administrative tribunal, the Service will neither confirm nor deny the existence of the record but shall advise the individual only that there is no record which is available to him pursuant to the Privacy Act of 1974.

(b) Individual requests for access to records which have been exempted from access pursuant to 5 U.S.C. 552a(k) shall be processed as follows:

(1) A requests for information classified by the Service under to Executive Order 12356 on National Security Information require the Service to review the information to determine whether it continues to warrant classification under the criteria of the Executive Order. Information which no longer warrants classification shall be declassified and made available to the individual, if not otherwise exempt. If the information continues to warrant classification, the individual shall be advised that the information sought is classified; that it has been reviewed and continues to warrant classification; and that it has been exempted from access under to 5 U.S.C. 552a(k)(1). Information which has been exempted under to 5 U.S.C. 552a(j) and which is also classified shall be reviewed as required by this paragraph but the response to the individual shall be in the form prescribed by paragraph (a) of this section.

(2) Requests for information which has been exempted from disclosure pursuant to 5 U.S.C. 552a(k)(2) shall be responded to in the manner provided in paragraph (a) of this section unless a review of the information indicates that the information has been used or is being used to deny the individual any right, privilege or benefit for which he is eligible or to which he would otherwise be entitled under Federal law. In that event, the individual shall be advised of the existence of the record and shall be provided the information except to the extent it would identify a confidential source. If and only if information identifying a confidential source can be deleted or the pertinent parts of the record summarized in a manner which protects the identity of the confidential source, the document with deletions made or the summary shall be furnished to the requester.

(3) Information compiled as part of an employee background investigation which has been exempted pursuant to 5 U.S.C. 552a(k)(5) shall be made available to an individual upon request except to the extent that it identifies a confidential source. If and only if information identifying a confidential source can be deleted or the pertinent parts of the record summarized in a manner which protects the identity of the confidential source, the document with deletions made or the summary shall be furnished to the requester.

(4) Testing or examination material which has been exempted pursuant to 5 U.S.C. 552a(k)(6) shall not be made available to an individual if disclosure would compromise the objectivity or fairness of the testing or examination process but shall be made available if no such compromise possibility exists.

(5) The Service records which are exempted and the reasons for the exemptions are enumerated in 28 CFR 16.99.

[40 FR 44481, Sept. 26, 1975, as amended at 48 FR 49653, Oct. 27, 1983]

§ 103.23 Special access procedures.

(a) *Records of other agencies.* When information sought from a system of records of the Service includes information:

(1) That has been classified pursuant to Executive Order 11652, the request shall be referred to the appropriate classifying authority pursuant to 28 CFR 17.61 and the individual requesting the record shall be so advised unless the record is also exempt from disclosure pursuant to 5 U.S.C. 552a (j) or (k);

(2) That has been furnished by another component of the Department of Justice, the request shall be referred to the component originating the information for a decision as to access or correction;

(3) That has been furnished by another agency, the Service shall consult the other agency before granting access or making a correction and may refer the request to the other agency if referral will provide more expeditious access or correction, but the requester shall be notified of the referral.

(b) *Medical records.* When an individual requests medical records concerning himself, which are not otherwise exempt from disclosure, the system manager shall, if deemed necessary, advise the individual that records will be provided only to a physician designated in writing by the individual. Upon receipt of the designation, the system manager will permit the physician to review the records or to receive copies of the records by mail, upon proper verification of identity. The determination of which records should be made available directly to the individual and which records should not be disclosed because of possible harm to the individual shall be made by the physician.

[40 FR 44481, Sept. 26, 1975, as amended by 48 FR 49653, Oct. 27, 1983]

§ 103.24 Requests for accounting of record disclosure.

At the time of his request for access or correction or at any other time, an individual may request an accounting of disclosures made of his record outside the Department of Justice. Requests for accounting shall be directed to the appropriate system manager listed in the "Notice of Systems of Records". Any available accounting, whether kept in accordance with the requirements of the Privacy Act or under procedures established prior to September 27, 1975, shall be made available to the individual except that an accounting need not be made available if it relates to: (a) A disclosure with respect to which no accounting need be kept (see § 103.30(c) of this part); (b) A disclosure made to a law enforcement agency pursuant to 5 U.S.C. 552a(b)(7); (c) An accounting which has been exempted from disclosure pursuant to 5 U.S.C. 552a (j) or (k).

§ 103.25 Notice of access decisions; time limits.

(a) *Responsibility for notice.* The system manager of the system from which information is sought or his delegate has responsibility for determining whether access to records is available under the Privacy Act and for notifying the individual of that determination in accordance with these regulations. If access is denied because of an exemption, the responsible person shall notify the individual that he may appeal that determination to the Deputy Attorney General within thirty working days of the receipt of the determination.

(b) *Time limits for access determinations.* The time limits provided by 28 CFR 16.45 shall be applicable to requests for access to information pursuant to the Privacy Act of 1974.

§ 103.26 Fees for copies of records.

The fees charged by the Service under the Privacy Act shall be those specified in 28 CFR 16.46. Remittances shall be made in accordance with § 103.7(a) of this part.

§ 103.27 Appeals from denials of access.

An individual who has been denied access by the Service to the records concerning him may appeal that decision in the manner prescribed in 28 CFR 16.47.

§ 103.28 Requests for correction of records.

(a) *How made.* Unless a record is exempted from correction, an individual may request amendment or correction of a record concerning him by addressing his request to the system manager of the system in which the record is maintained either in person or by mail, his identity to be established as provided in § 103.21 of this part. The request must indicate the particular record involved, the nature of the correction sought, and the justification for the correction or amendment. Requests made by mail should be addressed to the system manager at the address specified in the "Notice of Systems of Records" published by the General Services Administration and shall be clearly marked on the request and on the envelope "Privacy Correction Request." Where the individual cannot determine the precise system manager or believes that the same record appears in more than one system, he may address his request to the office of the Associate Commissioner, Management, Immigration and Naturalization Service, 425 I Street NW., Washington, D.C. 20536, which shall assist him in identifying the system or systems in which the record is located.

(b) *Initial determination.* Within 10 working days of the receipt of the request, the appropriate Service official shall advise the individual that his request has been received. If the record is to be amended or corrected, the system manager may so advise the individual but if correction is refused, in whole or in part, it must be done by the head of the component in which the record is located, or his designee. If a correction is to be made, the individual shall be advised of his right to obtain a copy of the corrected record upon payment of the standard fee, established in 28 CFR 16.46. If a correction or amendment is refused, in whole or in part, the individual shall be so advised, shall be given reasons for the refusal, and shall be advised of his right to appeal to the Deputy Attorney General in accordance with the procedures set forth in 28 CFR 16.48.

(c) *Appeals.* A refusal, in whole or in part, to amend or correct a record may be appealed as provided in 28 CFR 16.48.

(d) *Appeal determinations.* 28 CFR 16.48 provides for appeal determinations.

(e) *Statements of disagreement.* Statements of disagreement may be furnished by the individual in the manner prescribed in 28 CFR 16.48.

(f) *Notices of correction or disagreement.* When a record has been corrected, the system manager shall, within thirty working days thereof, advise all prior recipients of the record whose identity can be determined pursuant to the accounting required by the Privacy Act or any other accounting previously made, of the correction. Any dissemination of a record after the filing of a statement of disagreement shall be accompanied by a copy of that statement. Any statement of the Service giving reasons for refusing to correct shall be included in the file.

[40 FR 44481, Sept. 26, 1975, as amended at 48 FR 49653, Oct. 27, 1983]

§ 103.29 Records not subject to correction.

The following records are not subject to correction or amendment by individuals:

(a) Transcripts or written statements made under oath;

(b) Transcripts of Grand Jury Proceedings, judicial or quasi-judicial proceedings which form the official record of those proceedings;

(c) Pre-sentence reports comprising the property of the courts but maintained in Service files; and

(d) Records duly exempted from correction by notice published in the **Federal Register**.

§ 103.30 Accounting for disclosures.

(a) As accounting of each disclosure of information for which accounting is required (see § 103.24 of this part) shall be attached to the relating record. A copy of Form G–657, "Privacy Act Information Request," Form G–658, "Record of Information Disclosure (Privacy Act)," or other disclosure document shall be used for this accounting. The system manager shall advise individuals, promptly upon request as described in § 103.24, of the persons or agencies outside the Department of Justice to which records concerning them have been disclosed.

(b) Accounting records, at a minimum, shall include the identification of the particular record disclosed, the name and address of the person or agency to which disclosed, and the date of the disclosure. Accounting records shall be maintained for at least 5 years, or until the record is destroyed or transferred to the Archives, whichever is later.

(c) Accounting is not required to be kept for disclosures made within the Department of Justice or disclosures made pursuant to the Freedom of Information Act.

[40 FR 44481, Sept. 26, 1975, as amended at 48 FR 49653, Oct. 27, 1983]

§ 103.31 Notices of subpoenas and emergency disclosures.

(a) *Subpoenas.* When records concerning an individual are subpoenaed by a Grand Jury, court, or a quasijudicial agency, the official served with the subpoena shall be responsible for assuring that notice of its issuance is provided to the individual. Notice shall be provided within 10 days of the service of the subpoena or, in the case of a Grand Jury subpoena, within 10 days of its becoming a matter of public record. Notice shall be mailed to the last known address of the individual and shall contain the following information: the date the subpoena is returnable, the court in which it is returnable, the name and number of the case or proceeding, and the nature of the information sought. Notice of the issuance of subpoenas is not required if the system of records has been exempted from the notice requirement pursuant to 5 U.S.C. 552a(j), by a Notice of Exemption published in the **Federal Register**.

(b) *Emergency disclosures.* If information concerning an individual has been disclosed to any person under compelling circumstances affecting health or safety, the individual shall be notified at his last known address within 10 working days of the disclosure. Notification shall include the following information: the nature of the information disclosed, the person or agency to whom it was disclosed, the date of the disclosure, and the compelling circumstances justifying the disclosure. Notification shall be given by the officer who made or authorized the disclosure.

§ 103.32 Information forms.

(a) *Review of forms.* The Service shall be responsible for the review of forms it uses to collect information from and about individuals.

(b) *Scope of review.* The Service Forms Control Unit shall review each form to assure that it complies with the requirements of 28 CFR 16.52.

§ 103.33 Contracting record systems.

Any contract by the Service for the operation of a record system shall be in compliance with 28 CFR 16.53.

§ 103.34 Security of records systems.

The security of records systems shall be in accordance with 28 CFR 16.54.

§ 103.35 Use and collection of Social Security numbers.

The use and collection of Social Security numbers shall be in accordance with 28 CFR 16.55.

§ 103.36 Employee standards of conduct with regard to privacy.

Service employee standards of conduct with regard to privacy shall be in compliance with 28 CFR 16.56.

FOREIGN CLAIMS SETTLEMENT COMMISSION

45 CFR PART 504—PRIVACY ACT AND GOVERNMENT IN THE SUNSHINE REGULATIONS

Subpart A—Privacy Act Regulations

Sec.

504.1 Definitions—Privacy Act.
504.2 General policies—Privacy Act.
504.3 Conditions of disclosure.
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Subpart A—Privacy Act Regulations

Authority: 5 U.S.C. 552a(f).
Source: 52 FR 17565, May 11, 1987.

§ 504.1 Definitions—Privacy Act.

For the purpose of this part:

"Agency" includes any executive department, military department, government corporation, government controlled corporation, or other establishment in the executive branch of the government (including the Executive Office of the President) or any independent regulatory agency. The Foreign Claims Settlement Commission ("Commission") is an "agency" within the meaning of the term.

"Individual" means a citizen of the United States or an alien lawfully admitted for permanent residence.

"Maintain" includes maintain, collect, use or disseminate.

"Record" means any item, collection, or grouping of information about an individual that is maintained by an agency, including, but not limited to, an individual's education, financial transactions, medical history, and criminal or employment history, and that contains an individual's name, or the identifying number, symbol, or other identifying particular assigned to the individual, such as a finger or voice print or a photograph.

"Routine use" means, with respect to the disclosure of a record, the use of such record for a purpose which is compatible with the purpose for which it was collected.

"Statistical record" means a record in a system of records maintained for statistical research or reporting purposes only and not used in whole or in part in making any determination about an identifiable individual except as provided by section 8 of Title 13, United States Code.

"System of records" means a group of any records under the control of any agency from which information is retrieved by the name of the individual or by some identifying number, symbol, or other identifying particular assigned to the individual.

§ 504.2 General policies—Privacy Act.

The Commission will protect the privacy of an individual identified in any information or record systems which it maintains. Accordingly, its officials and employees, except as otherwise provided by law or regulation, will:

(a) Permit an individual to determine what records pertaining to such individual are collected, maintained, used or disseminated by the Commission.

(b) Permit an individual to prevent a record pertaining to such individual obtained by the Commission for a particular purpose from being used or made available for another purpose without the individual's consent.

(c) Permit an individual to gain access to information pertaining to such individual in Commission records, to have a copy made of all or any portion thereof, and to correct or amend such records.

(d) Collect, maintain, use, or disseminate any record of indentifiable personal information in a manner that assures that such action is for a necessary and lawful purpose, that the information is current and accurate for its intended use, and that adequate safeguards are provided to prevent misuse of such information.

(e) Permit exemptions from record requirements provided under the Privacy Act only where an important public policy use for such exemption has been determined in accordance with specific statutory authority.

§ 504.3 Conditions of disclosure.

The Commission will not disclose any record contained in a system of records by any means of communication to any person or any other agency except by written request of or prior written consent of the individual to whom the record pertains unless such disclosure is:

(a) To those officers and employees of the Commission who have a need for the record in the performance of their duties;

(b) Required under the Freedom of Information Act, 5 U.S.C. 552;

(c) For a routine use;

(d) To the Bureau of Census for purposes of planning or carrying out a census or survey or related activity under the provisions of Title 13, United States Code;

(e) To a recipient who has provided the Commission with adequate advance assurance that the record will be used solely as a statistical research or reporting record, and the record is to be transferred in a form that is not individually identifiable;

(f) To the National Archives of the United States as a record which has sufficient historical or other value to warrant its continued preservation by the United States Government or for evaluation to determine whether the record has such value;

(g) To another agency or to an instrumentality of any government jurisdiction within or under control of the United States for a civil or ciminal law enforcement activity authorized by law, provided the head of the agency or instrumentality has made a prior written request to the Commission, specifying the particular record and the law enforcement activity for which it is sought;

(h) To a person pursuant to a showing of compelling circumstances affecting the health or safety of an individual if upon such disclosure, notification is transmitted to the last known address of such individual;

(i) To either House of Congress, or, to the extent of matter within its jurisdiction, any committee or subcommittee thereof, any joint committee of Congress or subcommittee of any such joint committee;

(j) To the Comptroller General, or any of that official's authorized representatives, in the course of the performance of the duties of the General Accounting Office; or

(k) Pursuant to the order of a court of competent jurisdiction.

§ 504.4 Accounting of certain disclosures.

(a) Except for disclosures under § 504.3 (a) and (b) of this part, the Administrative Officer shall keep an accurate accounting of each disclosure of a record to any person or to another agency made under § 504.3 (c), (d), (e), (f), (g), (h), (i), (j), and (k) of this part.

(b) Except for a disclosure made to another agency or to an instrumentality of any governmental jursidiction under § 504.3(g) of this part, the Administrative Officer shall make the accounting as required under paragraph (a) of this section available to any individual upon written request made in accordance with § 504.5.

(c) The Administrative Officer shall inform any person or other agency about any correction or notation of dispute made in accordance with § 504.7 of this part of any record that has been disclosed to the person or agency if an accounting of the disclosure was made.

(d) An accounting of disclosures of records within this section shall consist of the date, nature, the purpose of each disclosure of a record to any person or to another agency, and the name and address of the person or agency to whom the disclosure is made.

(e) Such accounting shall be retained for 5 years or the life of the record, whichever is longer, after the disclosure for which the accounting is made.

§ 504.5 Access to records or information

(a) Upon request in person or by mail, any individual shall be informed whether or not a system of records maintained by the Commission contains a record or information pertaining to such individual.

(b) Any individual requesting access to such record or information in person shall appear in person at the offices of the Foreign Claims Settlement Commission, 1111 20th Street, NW., Room 400, Washington, DC., between the hours of 8:30 a.m. and 5 p.m., Monday through Friday, and

(1) Provide information sufficient to identify the record, e.g., the individual's own name, claim and decision number, date and place of birth, etc.;

(2) Provide identification to verify the individual's identity, e.g., driver's licensee, identification or Medicare card; and

(3) Any individual requesting access to records or information pertaining to such individual may be accompanied by a person of the individual's own choosing while reviewing the record thereof. If an individual elects to be so accompanied, advance notification of the election shall be required along with a written statement authorizing disclosure and discussion of the record in the presence of the accompanying person at any time, including the time access is granted.

(c) Any individual making a request for access to records or information pertaining to such individual by mail shall address such request to the Administrative Officer (Privacy Officer), Foreign Claims Settlement Commission, 1111 20th Street, NW., Washington, DC 20579, and shall provide information acceptable to the Administrative Officer to verify the individual's identity.

(d) Responses to requests under this section normally will be made within ten (10) days of receipt (excluding Saturdays, Sundays, and legal holidays). If it is not possible to respond to requests within such period, an acknowledgement will be sent to the individual within ten (10) days of receipt of the request (excluding Saturdays, Sundays, and legal holidays).

§ 504.6 Determination of requests for access to records.

(a) Upon request made in accordance with § 504.5, the Administrative Officer shall:

(1) Determine whether or not such request will be granted;

(2) Make such determination and provide notification within a reasonable period of time after receipt of such request.

(b) If access to a record is denied because information has been compiled by the Commission in reasonable anticipation of a civil or criminal action or proceeding, the Administrative Officer shall notify the individual of such determination and the reason therefor.

(c) If access to the record is granted, the individual making such request shall notify the Administrative Officer whether the records requested are to be copied and mailed to the individual.

(d) If records are to be made available for personal inspection, the individual shall arrange with the Administrative Officer a mutually agreeable time and place for inspection of the record.

§ 504.7 Amendment of a record.

(a) Any individual may request amendment of a record pertaining to such individual according to the procedure in paragraph (b) of this section except those records described under paragraph (d) of this section.

(b) After inspection by an individual of a record pertaining to such individual, he or she may file a written request, presented in person or by mail, with the Administrative Officer, for an amendment to a record. Such request shall specify the particular portions of the record to be amended, the desired amendments and the reasons therefor.

(c) Not later than 10 days (excluding Saturdays, Sundays, and legal holidays) after the receipt of a request made in accordance with this section to amend a record in whole or in part, the Administrative Officer shall:

(1) Make any correction of any portion of the record which the individual believes is not accurate, relevant, timely or complete and thereafter inform the individual of such correction; or

(2) Inform the individual, by certified mail return receipt requested, of the refusal to amend such record, setting forth the reasons therefor, and notify the individual of the right to appeal that determination as provided under § 504.8 of this part.

(d) The provisions for amending records do not permit the alteration of evidence presented in the course of Commission proceedings in the adjudication of claims, nor do they permit collateral attack upon what has already been subject to final agency action in the adjudication of claims in programs previously completed by the Commission pursuant to statutory time limitations.

§ 504.8 Appeals from denial of requests for amendment to records.

(a) An individual whose request for amendment of a record pertaining to such individual is denied may request a review of such determination. Such request shall be addressed to the Chairman of the Commission, and shall specify the reasons for which the refusal to amend is challenged.

(b) If on appeal the refusal to amend the record is upheld, the Commission shall permit the individual to file a statement setting forth the reasons for disagreement with the determination. The statement must also be submitted within 30 days of receipt of the denial. The statement shall be included in the system of records in which the disputed record is maintained and shall be marked so as to indicate (1) that a statement of disagreement has been filed, and (2) where in the system of records the statement may be found.

§ 504.9 Fees.

Fees to be charged, if any, to any individual for making copies of such individual's record excluding the cost of any search for and review of the record shall be as follows:

(a) Photocopy reproductions, each copy $0.15.

(b) Where the Commission undertakes to perform for a requester, or any other person, services which are clearly not required to be performed under the Privacy Act, either voluntarily or because such services are required by some other law, the question of charging fees for such services shall be determined by the official or designee authorized to release the information, under the Federal user charge statute, 31 U.S.C. 583a, any other applicable law, and the provisions of § 503.13 of Part 503 of the Commission's regulations.

§ 504.10 Exemptions.

No system of records maintained by the Foreign Claims Settlement Commission is exempt from the provisions of 5 U.S.C. 552a as permitted under certain conditions by 5 U.S.C. 552a (j) and (k). However, the Chairman of the Commission reserves the right to promulgate rules in accordance with the requirements of 5 U.S.C. 553(b) (1), (2) and (3), (c) and (e) to exempt any system of records maintained by the Commission in accordance with the provisions of 5 U.S.C. 552a(k).

§ 504.11 Reports.

(a) The Administrative Officer or designee shall provide adequate advance notice to Congress and the Office of Management and Budget of any proposal to establish or alter any Commission system of records, as required by 5 U.S.C. 552a(o).

(b) If at any time a system of records maintained by the Commission is determined to be exempt from the application of 5 U.S.C. 552a in accordance with the provisions of 5 U.S.C. 552a (j) and (k), the number of records contained in such system shall be separately listed and reported to the Office of Management and Budget.

§ 504.12 Notices.

The Commission shall publish in the **Federal Register** at least annually a notice of the existence and character of the systems of records which it maintains. Such notice shall include:

(a) The name and location of each system;

(b) The categories of individuals on whom the records are maintained in each system;

(c) The categories of records maintained in each system;

(d) Each routine use of the records contained in each system including the categories of users and the purpose of each use;

(e) The policies and practices of the Commission regarding storage, retrievability, access controls, retention, and disposal of the records;

(f) The title and business address of the agency official who is responsible for each system of records;

(g) Commission procedures whereby an individual can be notified if a system of records contains a record pertaining to such individual;

(h) Commission procedures whereby an individual can be notified how to gain access to any record pertaining to such individual contained in a system of records, and how to contest its content, and

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DEPARTMENT OF LABOR

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Appendix I Responsible Officials

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General Prefactory Statement

The following routine uses apply to and are incorporated by reference into each system of records published below unless the text of a particular notice of a system of records indicate otherwise.

1. In the event that a system of records, maintained by the Department to carry out its functions, indicates a violation or potential violation of law, whether civil criminal or regulatory in nature, and whether arising by general statute or particular program pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether federal, state, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto.

2. A record from any system of records, set forth below may be disclosed, as a routine use, to a federal, state or local agency maintaining civil, criminal or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to a Department decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant or other benefit.

3. A record from any system of records set forth below may be disclosed, as a routine use, to a federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter.

4. A record from any system of records set forth below may be disclosed, as a routine use, in the course of presenting evidence to a court, magistrate or administrative tribunal, including disclosures to opposing counsel in the course of litigation or settlement negotiations.

5. A record from any system of records set forth below may be disclosed, as a routine use, to a Member of Congress submitting a request involving the indivual when the individual is a constituent of the Member and has requested assistance from the Member with respect to the subject matter of the record.

6. A record from any system of records set forth below which contains medical information may be disclosed, as a routine use, to the medical or health advisor of any individual submitting a request for access to the record if, in the sole judgment of the Department, disclosure could have an adverse effect upon the individual, under the provisions of 5 U.S.C. 552a(f)(3) and implementing regulations.

7. A record from any system of records set forth below may be disclosed, as a routine use, to the Office of Management and Budget in connection with the review of private relief legislation as set forth in OMB Circular No. A-19 at any stage of the legislative coordination and clearance process as set forth in the Circular.

Government-Wide Records

One system of records is reported by the Department of Labor for all Federal agencies since this Department has overall responsibility for the administration of the program in connection with which this system of records has been compiled. It is presumed that most, if not all federal agencies maintain systems of records comprising a portion of this government-wide system of records. In order to avoid duplication in reporting, the Department is reporting this system on behalf of all agencies. The Department has control over this system to the same extent as the Office of Personnel Management has control over systems of records containing federal employee personnel records.

1. Federal Employees' Compensation Act files: Except for the Panama Canal Zone, all records relating to injury or death of civilian employees or other persons entitled to benefits under the Federal Employees' Compensation Act are the records of the Office of Workers' Compensation Programs of the Department of Labor. The Office asserts control of these records under the provisions of 5 U.S.C. 8149 and Departmental regulations at 20 CFR 10.10. The systems of records for these records is being reported by the Department as a Government-wide notice. This notice, however, does not apply to other medical or related files not created pursuant to the Federal Employees' Compensation Act which may be in the possession of an agency.

Initial determinations concerning access, amendment or correction of these records shall be made by the employing agency. Administrative appeals shall be referred to the Solicitor of Labor, U.S. Department of Labor, 200 Constitution Avenue, NW, Washington, D.C. 20210.

2. The Department of Labor formerly reported Office of Federal Contract Compliance Programs Complaint Files on behalf of all executive agencies. This government-wide report is no longer necessary, because Executive Order 12086 (43 FR 46501, October 10, 1978) has led to the consolidation, under the Secretary of Labor, of all contract compliance functions for equal employment opportunity. Accordingly, the OFCCP Compliant Files are now reported by the Employment Standards Administration under DOL/ESA-2.

Addresses to Which Requests May Be Directed.

The addresses of the various component units of the Department as well as its field offices are contained in Appendix I annexed to this document. For general assistance, you may wish to contact the Privacy Act Coordinators listed in Appendix II.

DOL/OSEC/01

System name:

Supervisors' Records of Employees.

System location:

Immediate supervisors and one additional organizational level at all facilities of the Department.

Categories of individuals covered by the system:

Current employees and employees who have departed within the past year.

Categories of records in the system: Records related to individuals while employed by the Department and which contain such information as: Emergency addressee information, record of personnel actions, record of employee/supervisor discussions, supervisory copies of officially recommended actions, awards, disciplinary actions, and training requests.

Authority for maintenance of the system:

5 U.S.C. 301, 1302, 2951, 4118, Reorganization Plan 6 of 1950, and the Civil Service Reform Act of 1978.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) To organizations and individuals making reference checks; (2) to the Office of Personnel Management, the Merit Systems Protection Board, the Office of Special Counsel, or the Federal Labor Relations Authority, when required in the performance of their investigative or adjudicative responsibilities; (3) to the Department of Justice in the event of litigation involving the records or the subject matter of the records; (4) to the appropriate agency or agencies, whether federal, state, or local, charged with the responsibility of investigation or prosecution of violations of statute, rule, regulation, order or license, in the event that such a violation is indicated.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are maintained in manual files, or computer printouts, form SF-7B, and other appropriate medium.

Retrievability:

Records are indexed by any combination of name or Social Security Number.

Safeguards:

Locked storage cabinets and desks.

Retention and disposal:

Records are maintained on current employees. Records on former employees are kept for one year, then destroyed.

System manager(s) and address:

All supervisors having responsibility for performance evaluations.

Notification procedure:

An individual may inquire whether or not the system contains a record pertaining to her/him by contacting the supervisor and/or the servicing Personnel Office for the employing organization.

Record access procedures: As above.

Contesting record procedures:

As above.

Record source categories:

Information is supplied by the individual who is the subject of the record, or is derived from information he/she previously supplied, except information provided by agency officials.

DOL/OSEC/2

System name:

Employee Conduct Investigations.

System location:

A. Offices in Washington, D.C., (1) Office of the Secretary of Labor, including (a) Office of the Assistant Secretary for Administration and Management, (OASAM), (b) Office of the Solicitor of Labor, (c) Office of Information, and Public Affairs, (d) Bureau of International Labor Affairs, (e) Employees' Compensation Appeals Board, (f) Wage Appeals Board, (g) Benefits Review Board, (h) Office of Administrative Law Judges, (i) Pension Benefit Guaranty Corporation, and (j) President's Committee on the Employment of the Handicapped, (2) Bureau of Labor Statistics, (3) Employment Standards Administration, (4) Labor-Management Services Administration, (5) Employment and Training Administration, (6) Occupational Safety and Health Administration, (7) Mine Safety and Health Administration, (8) Office of Inspector General, B. Regional Offices of the above.

Categories of individuals covered by the system:

DOL employee(s) against whom any allegation of misconduct, illegal acts, conflicts of interest, etc., has been made.

Categories of records in the system:

Name, organization, and other information relating to the individual involved. It also contains investigative report(s) associated with the case, including interviews and other confidential data gathered.

Authority for maintenance of the system:

5 USC 301, 7301, and Executive Order 11222.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

(1) Disclosure to other Federal Agencies, including the Department of Justice, the FBI, and to any other Federal, state, and local government responsible for investigation or prosecuting the violation or for enforcing or implementing the statute, rule, regulation, order, or license, (2) to a Federal Agency which has requested information relevant to its hiring or retention of an employee, or issuance of a security clearance, license, contract, grant, or other benefit.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Manual files.

Retrievability:

Filed by name in alphabetical order.

Safeguards:

Locked combination safes.

Retention and disposal:

Completed investigations are disposed of after 20 years. Matters not subject to full investigations are disposed of after 10 years.

System manager(s) and address:

See the appropriate Agency Official in the attached listing and at 29 CFR 70a.43.

Notification procedure:

As above.

Record access procedures:

As above.

Contesting record procedures:

As above.

Record source categories:

Investigative reports.

Systems exempted from certain provisions of the act:

Under the specific exemption authority provided by 5 U.S.C. 552a(k)(2), exempting this system from the following provisions of the Privacy Act: 5 U.S.C. 552a(c), 3, (d), (e)(1), (4) (G), (H), (I), and (f) of the Act. Disclosure of information could enable the subject of the record to take action to escape prosecution and could avail the subject greater access to information than already provided under rules of discovery. In addition, disclosure of information might lead to intimidation of witnesses, informants, or their families, and impair future investigations by making it more difficult to collect similar information.

DOL/OSEC-3

System name:

Employee Locator System.

System location:

Division of Telecommunications, OASAM, Room S1503, 200 Constitution Ave. NW, Washington, DC 20210.

Categories of individuals covered by the system:

Department of Labor employees in the National Office.

Categories of records in the system:

Name, title, business address, organization symbol, business telephone number of employees.

Authority for maintenance of the system:

5 USC 301, 44 USC 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

None.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Manual files.

Retrievability:

By employee name.

Safeguards:

Locked storage equipment.

Retention and disposal:

Records are maintained until a notice of change or employment is terminated, then destroyed.

System manager(s) and address:

Chief, Division of Telecommunications, OASAM, Room S1503, 200 Constitution Ave. NW, Washington, DC 20210.

Notification procedure:

As above.

Record access procedures:

As above.

Contesting record procedures:

As above.

Record source categories:

Individual employees.

DOL/OSEC-4

System name:

Credit Data on Individual Debtors.

System location:

A. Offices in Washington, D.C., (1) Office of the Secretary of Labor, including (a) Office of the Assistant Secretary for Administration and Management, (b) Office of the Solicitor of Labor, (c) Office of Information and Public Affairs, (d) Bureau of International Labor Affairs, (e) Employees' Compensation Appeals Board, (f) Wage Appeals Board, (g) Benefits Review Board, (h) Office of Administrative Law Judges, and (i) President's Committee on the Employment of the Handicapped; (2) Office of Pension Welfare Benefits Programs; (3) Office of Labor-Management Standards; (4) Office of Labor-Management Relations Services; (5) Bureau of Labor Statistics; (6) Employment Standards Administration; (7) Employment and Training Administration; (8) Occupational Safety and Health Administration; (9) Mine Safety and Health Administration; (10) Office of the Inspector General.

B. Regional, area and other offices of the above, including FECA and Black Lung District Offices, and Wage-Hour Area Offices.

Categories of individuals covered by the system:

Individuals, including DOL employees, former DOL employees, and other individuals who are indebted to the United States.

Categories of records in the system:

Commercial credit reports, correspondence to and from the debtor, information or records relating to the debtor's current whereabouts, assets, liabilities, income and expenses, debtor's personal financial statements, and other information such as Social Security Number, address, nature, amount and history of the debt, and other records and reports relating to the implementation of the Debt Collection Act of 1982, including any investigative reports or administrative review matters.

Authority for maintenance of the system:

Federal Claims Collection Act of 1966, as amended, 80 Statute 309; 31 U.S.C. 3700; Debt Collection Act of 1982, Pub. L. 97-365; and Title 4, Code of Federal Regulations, Chapter II.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

a. Pursuant to section 13 of the Debt Collection Act of 1982, the name, address(es), telephone number(s), Social Security Number, and nature, amount, and history of the debt of an individual may be disclosed to private debt collection agencies for the purpose of collecting or compromising a debt existing in this system.

b. Department of Justice/General Accounting Office: Information may be forwarded to the General Accounting Office and/or the Department of Justice as prescribed in the Joint Federal Claims Collection Standards, 4 CFR Chapter II. When debtors fail to make payment through normal collection routines, the files are analyzed to determine the feasibility of enforced collection by referring the cases to the Department of Justice for litigation.

c. Other Federal Agencies:

(1) Pursuant to sections 5 and 10 of the Debt Collection Act of 1982, information relating to the implementation of the Debt Collection Act of 1982 may be disclosed to other Federal Agencies to effect salary or administrative offsets, or for other purposes connected with the collection of debts owed to the United States.

(2) A record from this system may be disclosed to a Federal Agency in response to its request in connection with the hiring/retention of an employee, the letting of a contract or the issuance of a grant, license, or other benefit by the requesting agency, to the extent that the information is necessary and relevant to the requesting agency's decision on the matter.

d. Internal Revenue Service:

(1) Information contained in the system of records may be disclosed to the Internal Revenue Service to obtain taxpayer mailing addresses for the purpose of locating such taxpayer to collect, compromise, or write-off a Federal claim against the taxpayer.

(2) Information may be disclosed to the Internal Revenue Service concerning the discharge of an indebtedness owed by an individual.

Disclosure to consumer reporting agencies:

The amount, status, and history of overdue debts; the name and address, taxpayer identification (SSN), and other information necessary to establish the identity of a debtor, the agency and program under which the claim arose, are disclosed pursuant to 5 U.S.C. 552a(b)(12) to consumer reporting agencies as defined by section 603(f) of the Fair Credit Reporting Act (15 U.S.C. 1681a(f)), in accordance with section 3(d)(4)(A)(ii) of the Federal Claims Collection Act of 1966, as amended (31 U.S.C. 3711(f)) for the purpose of encouraging the repayment of an overdue debt.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

The records are in manual files, magnetic tapes or other computer storage media, or on computer printouts.

Retrievability:

Credit data is maintained by debtor name, claim number, cross referenced to the social security number (when available) to verify name and address.

Safeguards:

When not in use by personnel responsible for the records, they are stored in locked file cabinets.

Retention and disposal:

After becoming inactive, records are cutoff at the end of the fiscal year, held one year, and then retired to a Federal Records Center under Record Group 217, GAO. Records created prior to July 2, 1975, will be retained for 10 years 3 months after the close of the account. Records created after July 2, 1975, will be retained by GAO for 6 years and 3 months after the close of the account.

System manager(s) and address:

See the appropriate agency official, 29 CFR 70.43.

Notification procedure:

As above.

Record access procedures:

As above.

Contesting record procedures:

DOL rules and regulations for contesting any record contents disclosure, and for appealing same, are promulgated by 29 CFR 70a.9.

Record source categories:

Information in this system is obtained from commercial credit reports, agency investigative reports, debtor's personal financial statements, correspondence and records relating to hearings on the debt, and from other DOL systems of records.

DOL/OASAM-1

System name:

Attendance, Leave, and Payroll File.

System location:

A. Offices in Washington, D.C., (1) Office of the Secretary of Labor, including (a) Office of the Assistant Secretary for Administration and Management, (OASAM), (b) Office of the Solicitor of Labor, (c) Office of Information and Public Affairs, (d) Bureau of International Labor Affairs, (e) Employees' Compensation Appeals Board, (f) Wage Appeals Board, (g) Benefits Review Board, (h) Office of Administrative Law Judges, (i) Pension Benefit Guaranty Corporation, and (j) President's Committee on the Employment of the Handicapped, (2) Bureau of Labor Statistics, (3) Employment Standards Administration, (4) Labor-Management Services Administration, (5) Employment and Training Administration, (6) Occupational Safety and Health Administration, (7) Mine Safety and Health Administration, (8) Office of Inspector General, B. Regional Offices of the Above, C. Copies of time cards may be maintained by office time keepers, as appropriate.

Categories of individuals covered by the system:

Department of Labor employees.

Categories of records in the system:

Name, social security number and employee number, grade, step, and salary, organization (code), retirement or FICA data as applicable. Federal, State and local tax deductions, as appropriate. IRS tax lien data, savings bond and charity deductions; regular and optional government life insurance deduction(s), health insurance deduction and plan or code; cash award data; jury duty data, military leave data, pay differentials, union dues deductions, allotments by type and amount, financial institution code and employee account number, leave status and data of all types (including annual, compensatory, jury duty, maternity, military, retirement, disability, sick, transferred, and without pay), time and attendance records, including flexitime log sheets indicating number of regular, overtime, holiday, Sunday, and other hours worked, pay period number and ending date, cost of living allowances, co-owner and/or beneficiary of bonds, marital status, number of dependents, mailing address, and "Notification of Personnel Action." Commercial credit reports of individuals indebted to the United States, correspondence to and from the debtor, information or records relating to the debtor's current whereabouts, assets, liabilities, income and expenses, debtor's personal financial statements, and other information such as the nature, amount and history of a debt owed by an individual covered by this system, and other records and reports relating to the implementation of the Debt Collection Act of 1982, including any investigative reports or administrative review matters. The individual records listed herein are included only as pertinent or applicable to the individual employee.

Authority for maintenance of the system:

31 U.S.C. 66(a).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

a. Transmittal of data to the U.S. Treasury to effect issuance of paychecks to employees and distribution of pay according to employee directions for savings bonds, allotments to financial institutions, and other authorized purposes. Tax withholding data is sent to the Internal Revenue Service and appropriate State and local taxing authorities, FICA deductions to the Social Security Administration, dues deductions to labor unions, withholdings for health insurance to insurance carriers and the Office of Personnel Management, charity deductions to agents of charitable institutions, annual W-2 statements to taxing authorities and the individual, and transmittal of computer tape data to appropriate State and local governments for their benefits matching projects.

b. Pursuant to section 13 of the Debt Collection Act of 1982, the name, Social Security Number, address(es), telephone number(s), and nature, amount and history of the debt of a current or former employee may be disclosed to private debt collection agencies for the purpose of collecting or compromising a debt existing in this system.

c. Department of Justice and General Accounting Office: Information may be forwarded to the General Accounting Office and/or the Department of Justice as prescribed in the Joint Federal Claims Collection Standards (4 CFR Chapter II). When debtors fail to make payment through normal collection routines, the files are analyzed to determine the feasibility of enforced collection by referring the cases to the Department of Justice for litigation.

d. Other Federal Agencies:

(1) Pursuant to sections 5 and 10 of the Debt Collection Act of 1982, information relating to the implementation of the Debt Collection Act of 1982 may be disclosed to other Federal Agencies to effect salary or administrative offsets, or for other purposes connected with the collection of debts owed to the United States.

(2) A record from this system may be disclosed to a Federal Agency in response to its request in connection with the hiring/retention of an employee, the letting of a contract, or the issuance of a grant, license, or other benefit by the requesting agency, to the extent that the information is necessary and relevant to the requesting agency's decision on the matter.

(e) Internal Revenue Service:

(1) Information contained in the system of records may be disclosed to the Internal Revenue Service to obtain taxpayer mailing addresses for the purpose of locating such taxpayer to collect, compromise, or write-off a Federal claim against the taxpayer.

(2) Information may be disclosed to the Internal Revenue Service concerning the discharge of an indebtedness owed by an individual.

Disclosure to consumer reporting agencies:

The amount, status, and history of overdue debts; the name and address, taxpayer identification number (SSN), and other information necessary to establish the identity of a debtor, the agency and program underwhich the claim arose, are disclosed pursuant to 5 U.S.C. 552a(b)(12) to consumer reporting agencies as defined by section 603(f) of the Fair Credit Reporting Act (15 U.S.C. 1681a(f)), in accordance with section 3(d)(4)(A)(ii) of the Federal Claims Collection Act of 1966, as amended (31 U.S.C. 3711(f)) for the purpose of encouraging the repayment of an overdue debt.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Manual, and machine-readable files.

Retrievability:

By name and SSN.

Safeguards:

Personnel screening and locked storage equipment.

Retention and disposal:

Retained until after GAO audit. Records are then disposed of, or retired, according to specified agency/GRS records schedules.

System manager(s) and address:

See the appropriate Agency Official in attached listing and at 29 CFR 70a.43.

Notification procedure:

As above.

Record access procedures:

As above.

Contesting record procedures: As above.

Record source categories:

Employees, supervisors, timekeepers, official personnel records, the IRS, commercial credit reports, personal financial statements, correspondence with the debtor, records relating to hearings on the debt, and from other DOL systems of records.

DOL/OASAM-2

System name:

Employee Locator Card File.

System location:

Directorate of Personnel Management, Office of Special Personnel Services, Office of the Assistant Secretary for Administration and Management (OASAM), U.S. Department of Labor, Room N-4421, 200 Constitution Avenue, NW, Washington, DC 20210.

Categories of individuals covered by the system:

Employees of the Department prior to January 1, 1968.

Categories of records in the system:

Name, date of birth, organization, location, type of separation and effective date.

Authority for maintenance of the system: Federal Personnel Manual, Chapter 294, Subchapter 1.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

None.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Card File (3 by 5 cards).

Retrievability:

By name.

Safeguards:

Locked filing equipment.

Retention and disposal:

Disposed of 3 years after employee leaves the agency.

System manager(s) and address:

Assistant Director, Office of Special Personnel Services, U.S. Department of Labor, Room N-4421, 200 Constitution Avenue, NW, Washington, D.C. 20210.

Notification procedure:

As above.

Record access procedures:

As above.

Contesting record procedures:

As above.

Record source categories:

Personnel Records.

DOL/OASAM-4

System name:

Occupational Accident/Injury/ Illness Reporting (AIIRS) File.

System location:

Office of Employee Safety and Health, OASAM, U.S. Department of Labor, Room C-5319, 200 Constitution Avenue, NW, Washington, D.C. 20210.

Categories of individuals covered by the system:

DOL employees, including Job Corps members and those covered under contract, involved in occupationally related accidents, injuries and illnesses.

Categories of records in the system:

Days worked/lost workdays, detailed accounts of occupationally related accidents, injuries and illnesses.

Authority for maintenance of the system:

Pub.L. 91-596, 29 CFR Part 1960, Section 7902 of Title 5 U.S.C., DOL Secretary's Order 6-81, Executive Order 12196.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

None.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Manual files and machine readable magnetic tape.

Retrievability:

By any record element including name.

Safeguards:

Locked storage equipment. Computer files accessible only through proper code numbers.

Retention and disposal:

Records are maintained for five years after each report is filed with the Agency, according to the OSHA Act of 1970. They are then retired/disposed of according to NARS approved records schedules.

System manager(s) and address:

Director, Office of Safety and Health, U.S. Department of Labor, 200 Constitution Avenue, NW, Room C-5319, Washington, D.C. 20210.

Notification procedure:

As above.

Record access procedures:

As above.

Contesting record procedures:

As above.

Record source categories:

Employee, Supervisor's Report of Accident/Injury/Illness Reporting (AIIRS), DL 1-440, OWCP computer tapes and printouts, payroll computer printouts, health units, and compensation claims.

DOL/OASAM-5

System name:

Rehabilitation and Counseling File.

System location:

Office of Employee Safety and Health, OASAM, U.S. Department of Labor, Room C-5321, 200 Constitution Avenue, NW, Washington, D.C. 20210.

Categories of individuals covered by the system:

DOL employee/clients receiving counseling.

Categories of records in the system:

Intake interview forms relating to employee/clients problem, e.g., medical, emotional, alcoholism, etc.

Authority for maintenance of the system: Pub. L.91-616 and 92-255.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

None.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Manual Files.

Retrievability:

Name of employee/client.

Safeguards:

Locked storage equipment, accessible by authorized staff employees.

Retention and disposal:

Records are maintained for the duration of the counseling contact or until the employee's separation or for five (5) years, whichever is sooner.

System manager(s) and address:

Chief, Division of Health Services, Office of Safety and Health, U.S. Department of Labor, 200 Constitution Avenue, NW, Room C-5321, Washington, D.C. 20210.

Notification procedure:

As above.

Record access procedures:

As above.

Contesting record procedures: As above.

Record source categories:

Employee, personnel office, supervisors, relatives, community.

DOL/OASAM-6

System name:

Executive Assignment System/Senior Executive Service File.

System location:

Office of Executive Personnel Management, OASAM, U.S. Department of Labor, Room S-6206, 200 Constitution Avenue, NW, Washington, D.C. 20210.

Categories of individuals covered by the system:

Personnel information concerning candidates and appointees of supergrade or SES positions.

Categories of records in the system:

Personal information concerning candidates and appointees of supergrade or SES positions.

Authority for maintenance of the system: Federal Personnel Manual, Chapter 305, Federal Personnel Issuances in the 920 series.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Disclosure to other Federal Agencies' personnel offices, and the Office of Personnel Management/Executive Personnel Group.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Manual files.

Retrievability:

Organizational location and name.

Safeguards:

Locked storage equipment.

Retention and disposal:

Active files are retained during employment. Inactive files are retained by organization for historical/comparative purposes, and then destroyed when no longer needed.

System manager(s) and address:

Director, Office of Executive Personnel Management, Room S-6206, U.S. Department of Labor, 200 Constitution Avenue, NW, Washington, D.C. 20210.

Notification procedure:

As above.

Record access procedures:

As above.

Contesting record procedures: As above.

Record source categories:

DOL Agency personnel offices.

DOL/OASAM-7

System name:

Employee Medical Records.

System location:

U.S. Department of Labor, OASAM, Room S-3214, 200 Constitution Avenue, NW, Washington, D.C. 20210.

Categories of individuals covered by the system:

DOL National Office employees receiving medical treatment.

Categories of records in the system:

Medical information re: illness, injury, and examinations.

Authority for maintenance of the system: Pub.L. 658-49, Office of Management and Budget Circular No. A-72.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

None.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Manual files.

Retrievability:

By name.

Safeguards:

Records are maintained in a locked file cabinet with access limited to authorized staff employees.

Retention and disposal:

Records are retained for five (5) years and retired to an appropriate Federal Records Center, according to retention standards established by the NARA/GRS.

System manager(s) and address:

Director, Division of Health Services, U.S. Department of Labor, 200 Constitution Avenue, NW, Room C-5321, Washington, D.C. 20210.

Notification procedure:

As above.

Record access procedures:

As above.

Contesting record procedures: As above.

Record source categories:

Employees, and their supervisors.

DOL/OASAM-10

System name:

ACT Program Counseling and Evaluation Files.

System location:

A. Offices in Washington, D.C.: (1) Office of the Assistant Secretary for Administration and Management (OASAM), Office of Education and Career Development; (2) Office of the Solicitor; (3) Bureau of Labor Statistics; (4) Employment Standards Administration; (5) Employment and Training Administration; (6) Labor-Management Standards Administration; (7) Occupational Safety and Health Administration; (8) Mine Safety and Health Administration; and B. OASAM Regional Personnel Offices.

Categories of individuals covered by the system:

DOL Administrative, Clerical, and Technical (ACT) employees, GS-1-11, who participate in the ACT Career Development Program.

Categories of records in the system:

Individual Development Plans, Counselors' Worksheets, Counseling Activity forms, intake interview forms, employee evaluations, transcripts, testing records, and counselor's notes.

Authority for maintenance of the system:

FPM Chapter 410, Subchapter 9, as supplemented by the Department's Manual Series Handbook, (DLMS Handbook 4-1, July, 1979).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

None.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Manual files and computer system.

Retrievability:

By name and Social Security Number.

Safeguards:

Locked storage equipment and magnetic tape. Computer files accessed through a code/password.

Retention and disposal:

Records are disposed of when an employee transfers, resigns or retires, from the DOL.

System manager(s) and address:

Director, Office of Education and Career Development, Room N-5456, 200 Constitution Avenue, NW, Washington, D.C. 20210.

Notification procedure:

As above.

Record access procedures:

As above.

Contesting record procedures:

As above.

Record source categories:

Interviews, questionnaires.

DOL/OASAM-11

System name:

DOL Training Records.

System location:

A. Offices in Washington, D.C.: (1) Office of Education and Career Development; (2) Office of the Solicitor; (3) Bureau of Labor Statistics; (4) Employment Standards Administration; (5) Employment and Training Administration, (6) Labor-Management Standards Administration; (7) Occupational Safety and Health Administration; (8) Mine Safety and Health Administration; (9) Office of Inspector General; and B. OASAM Regional Personnel Offices.

Categories of individuals covered by the system:

All DOL employees.

Categories of records in the system:

Individual Development Plans, records of training received by individual employees, requests and applications for training, follow-up evaluations on training received, and records of payment for training from non-DOL sources.

Authority for maintenance of the system:

5 U.S.C. 301, FPM Chapter 410, Subchapter 9, as supplemented by the Department's Manual Series Handbook 4-1, (July, 1979).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To the Office of Personnel Management, and the Office of Management and Budget to prepare statistical reports.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Manual files and computer system.

Retrievability:

By name and/or Social Security Number.

Safeguards:

Locked storage equipment, and magnetic tape.

Retention and disposal:

Disposed of on separation of the employee.

System manager(s) and address:

See the appropriate Agency official in attached listing and at 29 CFR 70a.43.

Notification procedure:

As above.

Record access procedures:

As above.

Contesting record procedures:

As above.

Record source categories:

Interviews with employees and supervisors, training requests and applications, follow-up evaluations of training received.

DOL/OASAM-12

System name:

Employee Relations Files.

System location:

A. (1) Directors of Personnel Management, Office of Policy and Standards, U.S. Department of Labor, 200 Constitution Avenue, NW, Room N-5472, Washington, D.C. 20210; DOL Agency and Regional Personnel Offices; (2) Office of the Solicitor, Washington, D.C., and Regional Offices of the Solicitor.

Categories of individuals covered by the system:

Individual DOL employees and former employees who have filed grievances under the administrative grievance procedure, have been the subject of adverse actions, actions based on unacceptable performance, or who have been denied a within-grade increase.

Categories of records in the system:

Correspondence, merit staffing records, performance reports, Merit Systems Protection Board decisions, and administrative grievance fact-finders reports.

Authority for maintenance of the system:

5 CFR Part 432, 5 CFR Part 531, Subpart D, 5 CFR Part 752, 5 CFR Part 771.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Selected information may be disclosed at the appropriate stages of the grievance, adverse actions, and appeal processes to representatives of the affected employees, administrative grievance fact-finders, the Office of Personnel Management, the Merit Systems Protection Board, and the Office of the Special Counsel.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Manual files.

Retrievability:

By name and/or case number.

Safeguards:

Locked storage equipment.

Retention and disposal:

Unacceptable performance records are destroyed 1 year from the date of the advance written notice if, because of performance improvement during the notice period no action is taken and the employee's performance continues to be acceptable for 1 year; otherwise, unacceptable performance records and all other records in this system are destroyed 4 years after the closing of the case.

System manager(s) and address:

See the appropriate Agency Official in the attached listing and at 29 CFR 70a.43.

Notification procedure:

As above.

Record access procedures:

As above.

DOL/OASAM-13

System name:

Performance Requirements and Evaluation Files.

System location:

DOL Agency Personnel Offices in Washington, D.C. and in each DOL Regional Personnel Office.

Categories of individuals covered by the system:

DOL employees in the competitive service.

Categories of records in the system:

Performance Requirements and Evaluation forms.

Authority for maintenance of the system:

FPM Chapter 335.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Joint union-management review team under terms of contracts with DOL bargaining unit.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Manual files.

Retrievability:

By employee's name.

Safeguards:

Locked storage equipment.

Retention and disposal:

Records are retained for 2 years or for a longer period if periodic DOL Joint Union-Management Review has not been completed and after which they can be destroyed.

System manager(s) and address:

See the appropriate Agency Official in the attached listing and at 29 CFR 70a.43.

Notification procedure:

As above.

Record access procedures:

As above.

Contesting record procedures:

As above.

Record source categories:

Supervisor's personal records and notes; discussions with rated employee.

DOL/OASAM-14

System name:

Automated Position Control System.

System location:

A. Offices in Washington, D.C., (1) Office of the Secretary of Labor, including (a) Office of the Assistant Secretary for Administration and Management, (OASAM), (b) Office of the Solicitor of Labor, (c) Office of Information, and Public Affairs, (d) Bureau of International Labor Affairs, (e) Employees' Compensation Appeals Board, (f) Wage Appeals Board, (g) Benefits Review Board, (h) Office of Administrative Law Judges, (i) Pension Benefit Guaranty Corporation, and (j) President's Committee on the Employment of the Handicapped, (2) Bureau of Labor Statistics, (3) Employment Standards Administration, (4) Labor-Management Services Administration, (5) Employment and Training Administration, (6) Occupational Safety and Health Administration, (7) Mine Safety and Health Administration, B. Regional Offices of the Above.

Categories of individuals covered by the system:

DOL employees of the Office of the Secretary.

Categories of records in the system:

Internal reports submitted to prepare the Departmental budget.

Authority for maintenance of the system:

5 U.S.C. Chapter 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To the OMB, Congress, and other Federal Agencies.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Manual files and computer records.

Retrievability:

By budget position number and grade.

Safeguards:

Locked file cabinets and magnetic tapes.

Retention and disposal:

Destroy 1 year after the close of the FY.

System manager(s) and address:

See the appropriate Agency Official in the attached listing and at 29 CFR 70a.43.

Notification procedure:

As above.

Record access procedures:

As above.

Contesting record procedures:

As above.

Record source categories:

Form DL-50, Notification of Personnel Action.

DOL/OASAM-15

System name:

Travel Authorization and Voucher System.

System location:

A. Offices in Washington, D.C., (1) Office of the Secretary of Labor, including (a) Office of the Assistant Secretary for Administration and Management, (OASAM), (b) Office of the Solicitor of Labor, (c) Office of Information, and Public Affairs, (d) Bureau of International Labor Affairs, (e) Employees' Compensation Appeals Board, (f) Wage Appeal Board, (g) benefits Review Board, (h) Office of Administrative Law Judges, (i) Pension Benefit Guaranty Corporation, and (j) President's Committee on the Employment of the Handicapped, (2) Bureau of Labor Statistics, (3) Employment Standards Administration (4) Labor-Management Services Administration, (5) Employment and Training Administration, (6) Occupational Safety and Health Administration, (7) Mine Safety and Health Administration, (8) Office of Inspector General, B. Regional Offices of the Above.

Categories of individuals covered by the system:

All employees of the Department of Labor who travel in performance of their official duties.

Categories of records in the system:

Copies of Travel Authorizations, DL1-33, Travel Voucher, SF-1012 and GTR, SF-1171. The following additional records may be maintained for individuals indebted to the government for delinquent travel advances: Commercial credit reports, information or records relating to the debtor's current whereabouts, assets, liabilities, income and expenses, debtor's personal financial statements, and other information such as the nature, amount and history of the debt, and other records and reports relating to the implementation of the Debt Collection Act of 1982, including any investigative reports or administrative review matters.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

a. Transmittal of data to the U.S. Treasury to effect issuance of checks to employees for travel and other related purposes, including permanent change of station allotments, temporary duty travel expenses, and other authorized purposes.

b. Pursuant to section 13 of the Debt Collection Act of 1982, the name, address(es), telephone number(s), Social Security Number, and nature, amount and history of the debt of a current or former employee may be disclosed to private debt collection agencies for the purpose of collecting or compromising a debt existing in this system.

c. Department of Justice/General Accounting Office. Information may be forwarded to the General Accounting Office and/or the Department of Justice as prescribed in the Joint Federal Claims Collections Standards (4 CFR Chapter II). When debtors fail to make payment through normal collection routines, the files are analyzed to determine the feasibility of enforced collection by referring the cases to the Department of Justice for litigation.

d. Other Federal Agencies.

(1) Pursuant to sections 5 and 10 of the Debt Collection Act of 1982, information relating to the implementation of the Debt Collec-

tion Act of 1982 may be disclosed to other Federal Agencies to effect salary or administrative offsets, or for other purposes connected with the collection of debts owed to the United States.

(2) A record from this system may be disclosed to a Federal Agency in response to its request in connection with the hiring/retention of an employee, the letting of a contract, or the issuance of a grant, license, or other benefit by the requesting agency, to the extent that the information is relevant to the requesting agency's decision on the matter.

e. Internal Revenue Service:

(1) Information contained in the system of records may be disclosed to the Internal Revenue Service to obtain taxpayer mailing addresses for the purpose of locating such taxpayer to collect, compromise, or write off a Federal claim against the taxpayer.

(2) Information may be disclosed to the Internal Revenue Service concerning the discharge of an indebtedness owed by an individual.

Disclosure to consumer reporting agencies:

The amount, status, and history of overdue debts; the name and address, taxpayer identification number (SSN), and other information necessary to establish the identity of a debtor, the agency and program under which the claim arose, are disclosed pursuant to 5 U.S.C. 552a(b)(12) to consumer reporting agencies as defined by section 603(f) of the Fair Credit Reporting Act (15 U.S.C. 1681a(f)), in accordance with section 3(d)(4)(A)(ii) of the Federal Claims Collection Act of 1966, as amended (31 U.S.C. 3711(f)) for the purpose of encouraging the repayment of an overdue debt.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Manual files and computer systems.

Retrievability:

By traveler's name and SSN.

Safeguards:

Locked storage equipment and magnetic tapes.

Retention and disposal:

Destroy when three years old, or after audit, whichever is sooner.

System manager(s) and address:

See the appropriate Agency Official in the attached listing and at 29 CFR 70a.43.

Notification procedure:

As above.

Record access procedures:

As above.

Contesting record procedures: As above.

Record source categories:

Travel Authorization, DLI-33, Travel Voucher, SF-1012 and GTR, SF-1171. Commercial credit reports, agency investigative reports, debtor's personal financial statements, correspondence with the debtor, records relating to hearings on the debt, and from other DOL systems of records.

DOL/OASAM-16

System name:

Individual Career Plan Forms on Senior Executive Service Incumbents and Candidates Development Program Participants.

System location:

Office of Executive Personnel Management, OASAM, U.S. Department of Labor, 200 Constitution Avenue, NW, Room S-6206, Washington, D.C. 20210.

Categories of records in the system:

Information concerning participants' career plans and goals.

Authority for maintenance of the system:

DOL SES Personnel Regulations.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To other Federal organizations and Agencies when required.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Manual files.

Retrievability:

By participant's name and file numbers.

Safeguards:

Locked storage equipment.

Retention and disposal:

Retained until new plans are approved, and previous plans disposed.

System manager(s) and address:

Director, Office of Executive Personnel Management, Room S-6206, 200 Constitution Avenue, NW, Washington, D.C. 20210.

Notification procedure:

As above.

Record access procedures: As above.

Contesting record procedures: As above.

Record source categories:

Personnel interviews with DOL Agency staff and with participant's supervisor.

DOL/OASAM-17

System name:

Equal Employment Opportunity Complaint Files.

System location:

Office of Civil Rights, OASAM, U.S. Department of Labor, Room N-4101, 200 Constitution Avenue, NW, Washington, D.C. 20210.

Categories of individuals covered by the system:

All Department of Labor employees and applicant for employment who have filed complaints of employment discrimination against the Department or one of its component Agencies.

Categories of records in the system:

Background information compiled during investigation of complaints of discrimination; investigative records and reports; correspondence files.

Authority for maintenance of the system:

EO 11478; Pub.L. 90-202, 92-261, 93-112, 92-259 and 95-454; 29 CFR part 1613; and Chapter 713 of the Federal Personnel Manual.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Records may be disclosed during the course of an investigation to persons who may thereby provide information or testimony directly relevant to the complaint. If the Department issues an Administrative decision which, directly or indirectly, finds that a named alleged discriminating official (ADO) has discriminated or committed any other significant error, that official may review a copy of the file from which the names and other identifying information for all parties except the ADO and the complainant have been deleted. In the event that DOL proposes or takes any adverse action or other disciplinary action against any official because of information disclosed in the investigation, that official may review the entire file with no deletions.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Manual files.

Retrievability:

Alphabetically, by the complainant's name.

Safeguards:

Locked storage equipment.

Retention and disposal:

Dispose of the files 4 years after resolution or administrative decision without appeal, or after administrative decision subsequent to appeal without civil suit, or after court adjudication, or after withdrawal or cancellation for failure to prosecute. A permanent alphabetical record is kept of complaints by name of the complainant, giving the basis of the complaint, the matter giving rise to the complaint, and the disposition.

System manager(s) and address:

Director, Office of Civil Rights, OASAM, 200 Constitution Avenue, NW, Washington, D.C. 20210.

Notification procedure:

As above.

Record access procedures:

As above.

Contesting record procedures: As above.

Record source categories:

Individual compainants, respondent Agency officials and witnesses, Departmental and Agency records, and interrogatories.

Systems exempted from certain provisions of the act:

Under the specific exemption authority provided by 5 U.S.C. 552a(k)(2), exempting this system from the following provisions of the Privacy Act: 5 U.S.C. 552a(d)(3)4(F) and (G) of the Act. The disclosure of information contained in these files may in some circumstances tend to discourage persons who have knowledge of facts and circumstances pertinent to charges from giving statements or cooperating investigations. In addition, disclosure of medical records contained in these files may adversely affect the health of individuals without guidance of a responsible physician.

DOL/OASAM-19

System name:

Negotiated Grievance Procedure and Unfair Labor Practice Files.

System location:

A. Offices in Washington, D.C.: (1) Office of Labor-Management Relations (OASAM); (2) Office of the Solicitor; (3) Bureau of Labor Statistics; (4) Employment Standards Administration; (5) Employment and Training Administration; (6) Labor-Management Services Administration; (7) Occupational Safety and Health Administration; (8) Mine Safety and Health Administration; and B. OASAM Regional Offices.

Categories of individuals covered by the system:

DOL employees who have filed grievances under negotiated grievance procedures, and DOL employees who have filed Unfair Labor Practices charges against the Department.

Categories of records in the system:

Correspondence, merit staffing reports, performance appraisal reports, and reports of arbitrators.

Authority for maintenance of the system:

Section 7121 of 5 U.S. Code for grievances, Section 7116 of 5 U.S. Code for unfair labor practices, Federal Service Labor-Management Relations statutes and related amendments of 5 U.S. Code 5596(b) for back pay.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Selected information may be disclosed at appropriate stages of the grievance process to the Office of Personnel Management, arbitrators, the Merit Systems Protection Board, or the Federal Labor Relations Authority.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Manual file.

Retrievability:

By name and or case file number.

Safeguards:

Locked storage equipment.

Retention and disposal:

Records are destroyed 3 years after all administrative remedies have been exhausted.

System manager(s) and address: Director, Office of Labor-Management Relations, U.S. Department of Labor, Room N-5700, 200 Constitution Ave. NW, Washington, DC 20210.

Notification procedure: As above.

Record access procedures:

As above.

Contesting record procedures:

As above.

Record source categories:

Employee compliants and charges, employee/supervisor interviews, investigative and employment records, and finding of arbitrators and other tribunals.

DOL/OASAM-20

System name:

Personnel Investigation Records.

System location:

Office of Special Personnel Programs, (OASAM), Personnel Security Unit, U.S. Department of Labor, Room N-4427, 200 Constitution Avenue, NW., Washington, D.C. 20210.

Categories of individuals covered by the system:

Employees and applicants for employment with the Department.

Categories of records in the system:

Investigative files and investigative index card files which pertain to clearance investigations for federal employment.

Authority for maintenance of the system:

E.O. 10450.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To other Federal Agencies including OPM, and the FBI.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Manual case files, and on index file cards alphabetically keyed to case files.

Retrievability:

By name of individual who is subject of the record.

Safeguards:

Automated combination lock file cabinets. Access is by DOL employees with appropriate security clearances.

Retention and disposal:

Indexed file cards which show the existence of an investigation file are maintained for 20 years plus the current year, or longer if further investigative activity was initiated within the past 20 years. Reports are destroyed after 5 years.

System manager(s) and address:

Assistant Director, Special Personnel Programs, OASAM. U.S. Department of Labor, 200 Constitution Avenue, NW., Room N 4421, Washington, D.C. 20210.

Notification procedure:

As above.

Record access procedures: As above.

Contesting record procedures:

As above.

Record source categories:

Investigative data compiled by various sources, OPM, FBI, and other government agencies.

Systems exempted from certain provisions of the act: Investigatory Portion of system Exempted From Certain Provisions of the Act:

(a) Criminal law enforcement. In accordance with paragraph 3(j)(2) of the Privacy Act, information maintained in this system of files is exempt from all provisions contained in 5 U.S.C. 552a except those requirements set forth in paragraphs (b), (c)(1) and (2), (e)(4) (A) through (F), (e)(6), (7), (9), (10), and (11) and paragraph (i) of the Privacy Act. The disclosure of criminal investigatory information, if any, contained in the files, including the names of persons or agencies to whom the information has been transmitted would substantially compromise the effectiveness of any investigations. Knowledge of such investigations could enable subjects to take such action as is necessary to prevent detection of criminal activities, conceal evidence, or to escape prosecution. Disclosure of this information could lead to the intimidation of, or harm to, informants, witnesses, and their respective families, and could jeopardize the safety and well-being of investigative personnel and their families. The imposition of certain restrictions on the manner in which investigative information is collected, verified, and retained would impede significantly the effectiveness of investigatory activities, and in addition, may often preclude the apprehension and successful prosecution of persons engaged in fraud of the compensation program.

(b) Other law enforcement. In accordance with paragraph 3(k)(2) of the Privacy Act, investigatory material compiled for law enforcement purposes other than material declared exempt under paragraph 3(j)(2) of the Privacy Act, which is maintained in this system's files is exempt from paragraphs (c)(3), (d), (e)(4), (G), (H), and (I), and paragraph (f) of 5 U.S.C. 552a. The disclosure of civil investigatory information, if any, contained in this system's files, including the names of persons and agencies to whom the information has been transmitted, would substantially compromise the effectiveness of investigations. Knowledge of such investigations would enable subjects to take such action as is necessary to prevent detection of illegal activities, conceal evidence, or otherwise escape civil enforcement action. Disclosure of this information could lead to the intimidation of, or harm to informants, witnesses, and their respective families, and in addition, could jeopardize the safety and well-being of investigative personnel and their families. The imposition of certain restrictions on the manner in which investigative information is collected, verified, and retained could also impede significantly the effectiveness of investigatory activities.

DOL/OASAM-21

System name:

Senior Executive Service Certification File.

System location:

Office of Executive Personnel Management, U.S. Department of Labor, Room S-6206, 200 Constitution Avenue, NW, Washington, DC 20210.

Categories of individuals covered by the system:

Senior Executive Service Candidates Program participants.

Categories of records in the system:

Individual Development Plans; evaluations; OPM Form 1390; SF-171 and staff reviews determining whether program requirements have been satisfied.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To other Federal organizations and agencies when required in performance of their responsibilities.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Manual file.

Retrievability:

By individual's name.

Safeguards:

Locked file cabinets with restricted access.

Retention and disposal:

Records are retained until the employee retires, resigns, or transfers, after which they are destroyed.

System manager(s) and address:

Director, Office of Executive Personnel Management, Room S-6206, 200 Constitution Avenue, NW, Washington, D.C. 20210.

Notification procedure:

As above.

Record access procedures:

Mail inquiries to the System Manager at the above address.

Contesting record procedures:

As above.

Record source categories:

IDP completed by Candidate, Mentor, and DOL Agency DRB Chairperson, Evaluation by DOL Agency DRB Chairperson, Mentors and assignment supervisors, OPM Form 1390, and SF-171.

DOL/OASAM-22

System name:

Office of Civil Rights Citizen Discrimination Complaint Case Files.

System location:

A. Office of Civil Rights, (OASAM), U.S. Department of Labor, Room N-4101, 200 Constitution Avenue, NW, Washington, D.C. 20210, and B. All Regional Offices of Civil Rights.

Categories of individuals covered by the system:

Individuals filing complaints of discrimination under Title IV of the Civil Rights Act of 1964, as amended; Section 504 of the Rehabilitation Act of 1973, as amended; Age Discrimination Act of 1975, as amended; Section 132 of the Comprehensive Employment and Training Act, as amended; Title IX of the Education Amendements of 1972, as amended.

Categories of records in the system:

Personal employment or program participation information, medical records and/or recipient information, correspondence files.

Authority for maintenance of the system:

29 CFR 31.8; 20 CFR 676.86, Subpart D; 20 CFR 658.411, Subpart E, and Section 5(3) of Secretary's Order 2-81.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Disclosure to the Equal Employment Opportunity Commission or Department of Justice for investigatory, conciliation or enforcement purposes; disclosure to recipients of Federal financial assistance under applicable internal review procedures.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Manual files.

Retrievability:

By complainant's name or by OCR case number.

Safeguards:

Locked storage equipment.

Retention and disposal:

Records are retained for 3 years after final resolution of case. They are then retired to the Federal Records Center of 2 additional years, and then destroyed.

System manager(s) and address:

Director, Office of Civil Rights, 200 Constitution Avenue, NW, Room N-4101, Washington, D.C. 20210.

Notification procedure:

As above.

Record access procedures:

As above.

Contesting record procedures:

As above.

Record source categories:

Individual complainants, witnesses of the complainant and the respondent, respondent statements, matters of public record, interrogatories, recipient and/or employer files and records.

Systems exempted from certain provisions of the act:

Under the specific exemption authority provided by 5 U.S.C. 552a(h) (2), exempting this system from the following provisions of the Privacy Act: 5 U.S.C. 552a(c), 3(d), (e) (1), (e)(4) (G), (H), (I), and (f) of the Act. Disclosure of information could enable the subject of the record to take action to escape prosecution and could avail the subject greater access to information than already provided under rules of discovery. In addition, disclosure of information might lead to intimidation of witnesses, informants, or their families, and impair future investigations by making it more difficult to collect similar information.

DOL/BLS-2

System name:

Staff Utilization System.

System location:

Records stored on computer at Optimum Systems, Inc., Rockville, Md. Access and maintenance occur by remote terminal in Room 2852, GAO Building, 441 G St., NW, Washington, DC. 20212.

Categories of individuals covered by the system:

Regular full- and part-time and intermittent employees in the BLS National and Regional Offices.

Categories of records in the system:

Payroll, accounting and staff utilization data: Name, SSN, grade, and step, cost center, PAS home code, staff hours by PAS code, by function and by task (function and task specified by each office).

Authority for maintenance of the system:

5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

None.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Magnetic disk packs.

Retrievability:

Retrievable by any element, including name and SSN.

Safeguards:

Data on private disk, accessible only by authorized employees.

Retention and disposal:

Cumulative file is retained by fiscal year until all research is completed, then it is destroyed.

System manager(s) and address:

Chief, Division of Management Information Systems, Room 2852, GAO Building, 441 G St. NW, Washington, DC 20212.

Notification procedure:

Mail all inquiries or present in writing to System Manager at above address. Give name, SSN, and fiscal years of employment.

Record access procedures:

As above.

Contesting record procedures:

As above.

Record source categories:

Input from employees' bi-weekly Time and Attendance cards and time distribution forms (DL 1-129, "Project Reporting Form"); Sf-52's "Request for Personnel Action."

DOL/BLS-3

System name:

Regional Office Staff Utilization File.

System location:

Records stored on computer at the National Institutes of Health, Bethesda, Maryland. Access and maintenance is generally by remote terminal in Room 1836, GAO Building, 441 G Street, NW, Washington, D.C. 20212.

Categories of individuals covered by the system:

All BLS Regional Office employees.

Categories of records in the system:

Staff utilization and travel expenditures data: Name, SSN, pay period, hours worked and units accomplished by PAS code for functions such as personal visit, telephone collection, training, and costs for transportation and subsistence.

Authority for maintenance of the system:

5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

None.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Mag tapes and disks.

Retrievability:

By a data field, including name and SSN.

Safeguards:

Only authorized employees have access to tapes/disks, to the programs, and to the Regions' backup documents.

Retention and disposal:

Cumulative file is retained by fiscal year until all research is completed, then it is destroyed.

System manager(s) and address:

Chief, Division of Field Collection Activities, Room 1834, GAO Building, 441 G Street, NW, Washington, D.C. 20212.

Notification procedure:

Mail all inquiries or present in writing to System Manager at above address. Give name, SSN and dates of employment.

Record access procedures:

As above.

Contesting record procedures:

As above.

Record source categories:

"Staff Utilization Report (form number SO-1) filled out each pay period by each R.O. employee (in place of the DL 1-291, "Project Reporting Form") and SF-1012 (Travel Voucher).

DOL/ESA-1

System name:

Division of State Employment Standards Public Inquiry File.

System location:

Room S3221, Department of Labor Building, 200 Constitution Ave., NW, Washington, D.C. 20210.

Categories of individuals covered by the system:

The general public, government officials (usually of State labor departments), and private organizations such as those representing labor, management, or private citizens.

Categories of records in the system:

Copies of incoming letters and reports of telephone requests.

Authority for maintenance of the system:

5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

None.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Manual files.

Retrievability:

By subject matter, State, chronologically, and name if a private citizen.

Safeguards:

Building security guards.

Retention and disposal:

Time retained depends on subject matter and importance, varying from 3 to 10 years.

System manager(s) and address:

Director, ESA Office of Program Development and Accountability, Room S3325, 200 Constitution Ave., NW, Washington, D.C. 20210.

Notification procedure:

DSES/OPDA, Room N4430, 200 Constitution Ave., NW, Washington, D.C. 20210. Name and approximate date of previous correspondence should be provided.

Record access procedures:

Same as above.

Contesting record procedures:

Same as above.

Record source categories:

Information voluntarily submitted by correspondent on own initiative.

DOL/ESA-2

System name:

Office of Federal Contract Compliance Programs Complaint Files.

System location:

Room C3225, Department of Labor Building, 200 Constitution Ave., NW, Washington, D.C. 20210; and OFCCP Regional and Area offices.

Categories of individuals covered by the system:

Individuals filing complaints of discrimination under Executive Order 11246, Section 402 of the Vietnam Era Veterans' Readjustment Assistance Act of 1974, and Section 503 of the Rehabilitation Act of 1973, as amended.

Categories of records in the system:

Personal employment information, medical records, investigative reports, employer information.

Authority for maintenance of the system:

Executive Order 11246, as amended; 29 U.S.C. 793; 38 U.S.C. 2012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Disclosure to the Equal Employment Opportunity Commission, Department of Justice, to other Federal, State or local agencies with jurisdiction over a complaint, for investigatory, conciliation or enforcement purposes; to Federal contractors, subcontractors, or federally-assisted construction contractors or subcontractors against whom a complaint is filed, including providing a copy of the complaint or a complaint summary for purposes of notice and/or under applicable internal review procedures; during an investigation to persons who may have knowledge pertinent to the complaint, but only to the extent necessary to determine the validity of complaint charges.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Power Files/Magnetic Tape/Manual Files.

Retrievability:

By name or OFCCP control number.

Safeguards:

Locked files and computer access codes.

Retention and disposal:

Active files retained 2-5 years, referred to storage for additional 5 years.

System manager(s) and address:

Director, OFCCP, Room C3325, 200 Constitution Ave., NW, Washington, D.C. 20210.

Notification procedure:

As above.

Record access procedures:

As above.

Contesting record procedures:

As above.

Record source categories:

Individual complainants, employers, co-workers, State rehabilitation agencies, physicians.

Systems exempted from certain provisions of the act:

In accordance with paragraph 3(k)(2) of the Privacy Act, these files have been exempted from section (d)(e)4(G), 4(H), and (f) of the Act. The disclosure of information contained in these files may in some circumstances tend to discourage persons who have knowledge of facts and circumstances pertinent to charges from giving statements or co-operating in investigations. In addition, disclosure of medical records contained in these files may adversely affect the health of individuals without guidance of a responsible physician.

DOL/ESA-3 (Office of Federal Contract Compliance Programs Handicapped Worker Complaint File): Deleted February 13, 1981.

DOL/ESA-4 (Office of Federal Contract Compliance Programs Veteran's Complaints Files): Deleted February 13, 1981.

DOL/ESA-5

System name:

Office of Workers' Compensation Programs, Black Lung Anti-Discrimination Files.

System location:

Office of Workers' Compensation Programs, Division of Coal Mine Workers' Compensation, Department of Labor Building, 200 Constitution Ave., NW, Washington, D.C. 20210.

Categories of individuals covered by the system:

Individuals filing complaints against employers on account of discharge or other acts of discrimination by reason of a pneumoconiosis disease.

Categories of records in the system:

Personal, financial, medical.

Authority for maintenance of the system:

30 U.S.C. 938.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Disclosure of file content may be made to any party of interest to the complaint.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Manual files.

Retrievability:

By name.

Safeguards:

Locked file with access by authorized personnel only.

Retention and disposal:

Files are destroyed 10 years after case is closed.

System manager(s) and address:

Associate Director, Division of Coal Mine Workers' Compensation, Department of Labor Building, Room C3520, 200 Constitution Ave., NW, Washington, D.C. 20210.

Notification procedure:

As above.

Record access procedures:

As above.

Contesting record procedures:

As above.

Record source categories:

Individual, correspondence, investigative records, employment records, payroll records, medical reports, any other documents or reports pertaining to an individual's work history, education, medical condition, or hiring practices of the employer.

DOL/ESA-6

System name:

Office of Workers' Compensation, Black Lung Benefit Claim File.

System location:

Office of Workers' Compensation Programs, Division of Coal Mine Workers' Compensation, Department of Labor Building, 200 Constitution Ave., NW, Washington, D.C. 20210.

Categories of individuals covered by the system:

Individuals filing claims for black lung (pneumoconiosis) benefits under the provisions of Title IV of the Federal Coal Mine Health and Safety Act of 1969, as amended, including miners, and their surviving widows, orphans, dependent parents and siblings.

Categories of records in the system:

Personal, medical, financial. The system also may contain information gathered in connection with investigations concerning possible violations of Federal law, whether civil or criminal, under the authorizing legislation and related Acts. Such information may be derived from materials filed with the Department of Labor, other Federal, State and local departments and agencies, court records, medical records, insurance records, records of employers, articles from publications, published financial data, corporate information, bank information, telephone data, statements of witnesses, information received from Federal, State, local and foreign regulatory and law enforcement organizations, and from other sources. This record also contains the work product of the Department of Labor and other governmental personnel and consultants involved in the investigations. Commercial credit reports of individuals indebted to the United States, correspondence to and form the debtor, information of records relating to the debtor's current whereabouts, assets, liabilities, income and expenses, debtor's personal financial statements, and other information such as the nature, amount and history of a claim owed by an individual covered by this system, and other records and reports relating to the implementation of the Debt Collection Act of 1982 including any investigative reports or administrative review matters. The individual records listed herein are included only as pertinent or applicable to the individual employee.

Authority for maintenance of the system:

30 U.S.C. 901 et seq., 20 CFR 715.1 et seq., 20 CFR 720.1 et seq., 20 CFR 725.1 et seq.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

a. Disclosure to the employer at any time after report of the injury or report of the onset of occupational illness, or the filing of a notice of injury or claim related to such injury or occupational illness, also to any party providing the employer with workers' compensation insurance coverage; State workers' compensation agencies and the Social Security Administration for the purpose of determining offsets as specified under the Act; doctors and medical services providers for the purpose of obtaining medical evaluations, physical rehabilitation or other services, and labor unions and other voluntary employee associations of which the claimant is a member which exercise an interest in claims of members as part of their service to the members. Records are made available to other Federal agencies and State and local agencies conducting similar or related investigations, and to the Justice Department in that agency's determination regarding potential litigation and during the course of actual litigation. Records may be disclosed to contractors providing automated data processing services for the Department of Labor, and may also be disclosed in any proceeding where the authorizing legislation is in issue, or in which the Secretary of Labor, any past or present Federal Employee, or any consultant, is directly or indirectly involved in investigations or other enforcement activities, is a party, or is otherwise involved in an official capacity under the Act.

A record from this system may be disclosed as a "routine use" to a Federal, State or local agency maintaining pertinent records, if necessary to obtain information relevant to a Departmental decision concerning the determination of initial or continuing eligibility for program benefits.

c. Records may be disclosed to a debt collection agency that DOL has contracted for collection services to recover indebtedness owed to the United States.

d. Department of Justice/General Accounting Office. Information may be forwarded to the General Accounting Office (GAO), and/or the DOJ as prescribed in the Joint Federal Claims Collections Standards (4 CFR Ch. II). When debtors fail to make payment through normal collection routines, the file is analyzed to determine the feasibility of enforced collection by referring the cases to the Department of Justice (DOJ) for litigation.

e. Other Federal Agencies.

(1) Pursuant to sections 5 and 10 of the Debt Collection Act of 1982, information relating to the implementation of the Debt Collec-

tion Act of 1982 may be disclosed to other Federal Agencies to effect salary or administrative offsets.

(2) A record from this system may be disclosed to a Federal Agency in response to its request in connection with the hiring/retention of an employee, the letting of a contract, or the issuance of a grant, license, or other benefit by the requesting agency, to the extent that the information is necessary and relevant to the requesting agency's decision on the matter.

f. Internal Revenue Service.

(1) Information contained in the system of records may be disclosed to the Internal Revenue Service to obtain taxpayer mailing addresses for the purpose of locating such taxpayer to collect, compromise, or write-off a Federal claim against the taxpayer.

(2) Information may be disclosed to the Internal Revenue Service concerning the discharge of an indebtedness owed by an individual.

Disclosure to consumer reporting agencies:

The amount, status and history of overdue debts; the name and address, taxpayer identification (SSAN), and other information necessary to establish the identity of a debtor, the agency and program under which the claim arose, are disclosed pursuant to 5 U.S.C. 552a(b)(12) to consumer reporting agencies as defined by section 603(f) of the Fair Credit Reporting Act (15 U.S.C. 1681a(f)); or in accordance with section 3(d)(4)(A)(ii) of the Federal Claims Collection Act of 1966 as amended (31 U.S.C. 3711(f)) for the purpose of encouraging the repayment of an overdue debt.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Case file documents, both original and copies in manual files.

Retrievability:

Coal miner's name and social security number, and claimant's name when different from miner's must be provided.

Safeguards:

Files located in restricted area of a Federal building under guard by security officers.

Retention and disposal:

Approved claims files are destroyed 10 years after death of last beneficiary. Denied claims are destroyed 17 years after final denial.

System manager(s) and address:

Associate Director, Division of Coal Mine Workers' Compensation, Department of Labor Building, Room C3520, 200 Constitution Ave., NW, Washington, D.C. 20210.

Notification procedure:

As above.

Record access procedures:

As above.

Contesting record procedures:

As above.

Record source categories:

Claim forms, medical reports, correspondence, investigative reports, employment reports, Federal and State agency records, any other record or document pertaining to a claimant or his dependent as it relates to the claimant's age, education, work history, marital history or medical condition. Commercial credit reports, personal financial statements, correspondence with the debtor, records relating to hearing on the debt, and from other DOL systems of records.

Systems exempted from certain provisions of the act:

Investigatory portion of system exempted from certain provisions of the act:

(a) Criminal law enforcement. In accordance with paragraph 3(j)(2) of the Privacy Act, information maintained in this system of files in the Office of Workers' Compensation Programs of the Employment Standards Administration is exempt from all provisions contained in 5 U.S.C. 552a except those requirements set forth in paragraphs (b), (c)(1) and (2), (e)(4) (A) through (F), (e)(6), (7), (9), (10), and (11) and paragraph (i) of the Privacy Act. The disclosure of criminal investigatory information, if any, contained in the files, including the names of persons or agencies to whom the information has been transmitted would substantially compromise the effectiveness of any investigations. Knowledge of such investigations could enable subjects to take such action as is necessary to prevent detection of criminal activities, conceal evidence, or to escape prosecution. Disclosure of this information could lead to the intimidation of, or harm to, informants, witnesses, and their respective families, and could jeopardize the safety and well-being of investigative personnel and their families. The imposition of certain restrictions on the manner in which investigative information is collected, verified, and retained would impede significantly the effectiveness of investigatory activities, and in addition, may often preclude the apprehension and successful prosecution of persons engaged in fraud of the compensation program. (b) Other law enforcement. In accordance with paragraph 3(k)(2) of the Privacy Act, investigatory material compiled for law enforcement purposes other than material declared exempt under paragraph 3(j)(2) of the Privacy Act, which is maintained in this system's files of the Office of Workers' Compensation Programs of the Employment Standards Administration is exempt from paragraphs (c)(3), (d), (e)(4) (G), (H), and (I), and paragraph (f) of 5 U.S.C. 552a. The disclosure of civil investigatory information, if any, contained in this system's files, including the names of persons and agencies to whom the information has been transmitted, would substantially compromise the effectiveness of investigations. Knowledge of such investigations would enable subjects to take such action as is necessary to prevent detection of illegal activities, conceal evidence, or otherwise escape civil enforcement action. Disclosure of this information could lead to the intimidation of, or harm to informants, witnesses, and their respective families, and in addition, could jeopardize the safety and well-being of investigative personnel and their families. The imposition of certain restrictions on the manner in which investigative information is collected, verified, and retained could also impede significantly the effectiveness of investigatory activities.

DOL/ESA-7

System name:

Office of Workers' Compensation Programs, Black Lung Benefit Payments File.

System location:

Burroughs Corporation, Federal and Supply Systems Group, 7726 Old Spring House Road, McLean, Va. 22102.

Categories of individuals covered by the system:

Claimants receiving benefits.

Categories of records in the system:

Personal, financial. Commercial credit reports of individuals indebted to the United States, correspondence to and from the debtor, information or records relating to the debtor's current whereabouts, assets, liabilities, income and expenses, debtor's personal financial statements, and other information such as the nature, amount and history of a claim owed by an individual covered by this system, and other records and reports relating to the implementation of the Debt Collection Act of 1982, including any investigative reports or administrative review matters. The individual records listed herein are included only as pertinent or applicable to the individual employee.

Authority for maintenance of the system:

30 U.S.C. 901 et seq., 20 CFR 715.1 et seq., 20 CFR 720.1 et seq., 20 CFR 725.1 et seq.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

a. Disclosure to mine operators who have been determined to the potentially liable for the claim and any party providing the mine operator with workers' compensation insurance coverage; state workers' compensation agencies and the Social Security Administration for the purpose of determining offsets as specified under the Act; and labor unions and other voluntary employee associations of which the claimant is a member which exercise an interest in claims of members as part of their service to the members.

b. A record from this system may be disclosed as a "routine use" to a Federal, State or local agency maintaining pertinent records, if necessary to obtain information relevant to a Departmental decision concerning the determination of initial or continuing eligibility for program benefits.

c. Records may be disclosed to a debt collection agency that DOL has contracted for collection services to recover indebtedness owed to the United States.

d. Department of Justice/General Accounting Office. Information may be forwarded to the General Accounting Office (GAO), and/or the DOJ as prescribed in the Joint Federal Claims Collections Standards (4 CFR Ch. II). When debtors fail to make payment through normal collection routines, the file is analyzed to determine the feasibility of enforced collection by referring the cases to the Department of Justice (DOJ) for litigation.

e. Other Federal Agencies. (1) Pursuant to sections 5 and 10 of the Debt Collection Act of 1982, information relating to the implementation of the Debt Collection Act of 1982 may be disclosed to other Federal Agencies to effect salary or administrative offsets.

(2) A record from this system may be disclosed to a Federal Agency in response to its request in connection with the hiring/

retention of an employee, the letting of a contract, or the issuance of a grant, license, or other benefit by the requesting agency, to the extent that the information is necessary and relevant to the requesting agency's decision on the matter.

f. Internal Revenue Service.

(1) Information contained in the system of records may be disclosed to the Internal Revenue Service to obtain taxpayer mailing address for the purpose of locating such taxpayer to collect, compromise, or write-off a Federal claim against the taxpayer.

(2) Information may be disclosed to the Internal Revenue Service concerning the discharge of an indebtedness owed by an individual.

Disclosure to consumer reporting agencies:

The amount, status and history of overdue debts; the name and address, taxpayer identification (SSAN), and other information necessary to establish the identity of a debtor, the agency and program under which the claim arose, are disclosed pursuant to 5 U.S.C. 552a(b)(12) to consumer reporting agencies as defined by section 603(f) of the Fair Credit Reporting Act (15 U.S.C. 1681a(f)); or in accordance with section 3(d)(4)(A)(ii) of the Federal Claims Collection Act of 1966 as amended (31 U.S.C. 3711(f)) for the purpose of encouraging the repayment of an overdue debt.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Magnetic tapes.

Retrievability:

Social Security Number.

Safeguards:

Files located in restricted area of a Federal building under guard by security officers.

Retention and disposal:

Files are destroyed when 12 years old.

System manager(s) and address:

Associate Director, Division of Coal Mine Workers' Compensation, Department of Labor Building, Room C3520, 200 Constitution Ave., NW., Washington, D.C. 20210.

Notification procedure:

As above.

Record access procedures:

As above.

Contesting record procedures:

As above.

Record source categories:

Black Lung Benefit Claims Files. Commercial credit reports, agency investigative reports, debtor's personal financial statements, correspondence with the debtor, records relating to hearings on the debt, and from other DOL systems of records.

DOL/ESA-8

System name:

Office of Workers' Compensation Programs, Black Lung Benefit Claimant Information File.

System location:

Burroughs Corporation, Federal and Supply Systems Group, 7726 Old Spring House Road, McLean, Va. 22102.

Categories of individuals covered by the system:

Black lung claimants.

Categories of records in the system:

Personal (name, date of birth, SSN, type claimant, miner's date of death); demographic (State, county, city, congressional district, zip code), mine employment history, medical disability, initial determination, conference results, hearing results.

Authority for maintenance of the system:

30 U.S.C. 901 et seq., 20 CFR 715.1 et seq., 20 CFR 720.1 et seq., 20 CFR 725.1 et seq.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Disclosure to mine operators who have been determined to be potentially liable for the claim and any party providing the mine operator with workers' compensation insurance coverage; State workers' compensation agencies and the Social Security Administration for the purpose of determining offsets as specified under the Act; doctors and medical services providers for the purpose of obtaining medical evaluations, physical rehabilitation or other services, and labor unions and other voluntary employee associations of which the claimant is a member which exercise an interest in claims of members as part of their service to the members.

A record from this system may also be disclosed as a "routine use" to a Federal, State or local agency maintaining pertinent records, if necessary to obtain information relevant to a Departmental decision concerning the determination of initial or continuing eligibility for program benefits.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Nine track magnetic tape and punched cards.

Retrievability:

Social Security Number.

Safeguards:

Files located in restricted area of a Federal building under guard by security officers.

Retention and disposal:

Files are destroyed when 12 years old.

System manager(s) and address:

Associate Director, Division of Coal Mine Workers' Compensation, Department of Labor Building, Room C3520, 200 Constitution Ave., NW., Washington, D.C. 20210.

Notification procedure:

As above.

Record access procedures:

As above.

Contesting record procedures:

As above.

Record source categories:

District Office Reports, Claims Forms, Claim Files Tracking Cards.

DOL/ESA-9

System name:

Office of Workers' Compensation Programs, Black Lung Medical Treatment Records File.

System location:

Office of Workers' Compensation Programs, Division of Coal Mine Workers' Compensation, Department of Labor Building, 200 Constitution Ave., NW., Washington, D.C. 20210.

Categories of individuals covered by the system:

Division of Coal Mine Workers' Compensation Beneficiaries.

Categories of records in the system:

Medical and financial. The system also may contain information gathered in connection with investigations concerning possible violations of Federal law, whether civil or criminal under the authorizing legislation and related Acts. Such information may be derived from materials filed with the Department of Labor, other Federal, State and local departments and agencies, court records, medical records, insurance records, records of employers, articles from publications, published financial data, corporate information, bank information, telephone data, statements of witnesses, information received from Federal, State, local and foreign regulatory and law enforcement organizations, and from other sources. This record also contains the work product of the Department of Labor and other government personnel and consultants involved in the investigations.

Authority for maintenance of the system:

30 U.S.C. 901 et seq., 20 CFR 715.1 et seq., 20 CFR 720.1 et seq., 20 CFR 725.1 et seq.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Disclosure to the employer at any time after report of the injury or report of the onset of the occupational illness, or the filing of a notice of injury or claim related to such injury or occupational illness, also to any party providing the employer with workers' compensation insurance coverage; State workers' compensation agencies and the Social Security Administration for the purpose of determining offsets as specified under the Act; and labor unions and other voluntary employee associations of which the claimant is a member which exercise an interest in claims of members as part of their service to the members. Records are made available to other Federal agencies and State and local agencies conducting similar or related investigations, and to the Justice Department in that agency's determination regarding potential litigation and during the course of actual litigation. Records may be disclosed to contractors providing automated data processing services for the Department of Labor, and may also be disclosed in any proceeding where the authorizing legislation is in issue, or in which the Secretary of Labor, any past or present Federal employee, or any consultant, is directly or indirectly involved in investigations or other enforcement activities, is a party, or is otherwise involved in an official capacity under the Act.

A record from this system may also be disclosed as a "routine use" to a Federal, State or local agency maintaining pertinent records, if necessary to obtain information relevant to a Departmental decision concerning the determination of initial or continuing eligibility for program benefits.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Manual files to be transferred to magnetic tapes.

Retrievability:

Name and Social Security Number.

Safeguards:

Files located in restricted area of a Federal building under guard by security officers.

Retention and disposal:

Files are retained for 6 years and 3 months after becoming inactive.

System manager(s) and address:

Associate Director, Division of Coal Mine Workers' Compensation, Department of Labor Building, Room C3520, 200 Constitution Ave., NW, Washington, D.C. 20210.

Notification procedure:

As above.

Record access procedures:

As above.

Contesting record procedures:

As above.

Record source categories:

Medical reports and bills from physician of beneficiary's choosing providing medical treatment.

Systems exempted from certain provisions of the act:

Investigatory portion of system exempted from certain provisions of the Act:

(a) Criminal law enforcement. In accordance with paragraph 3(j)(2) of the Privacy Act, information maintained in this system of files in the Office of Workers' Compensation Programs of the Employment Standards Administration is exempt from all provisions contained in 5 U.S.C. 552a except those requirements set forth in paragraphs (b), (c)(1) and (2), (e)(4) (A) through (F), (e)(6), (7)(9), (10), and (11) and paragraph (i) of the Privacy Act. The disclosure of criminal investigatory information, if any, contained in the files, including the names of persons or agencies to whom the information has been transmitted would substantially compromise the effectiveness of any investigations. Knowledge of such investigations could enable subjects to take such action as is necessary to prevent detection of criminal activities, conceal evidence, or to escape prosecution. Disclosure of this information could lead to the intimidation of, or harm to, informants, witnesses, and their respective families, and could jeopardize the safety and well-being of investigative personnel and their families. The imposition of certain restrictions on the manner in which investigative information is collected, verified, and retained would impede significantly the effectiveness of investigatory activities, and in addition, may often preclude the apprehension and successful prosecution of persons engaged in fraud of the compensation program. (b) Other law enforcement. In accordance with paragraph 3(k)(2) of the Privacy Act, investigatory material compiled for law enforcement purposes other than material declared exempt under paragraph 3(j)(2) of the Privacy Act, which is maintained in this system's files of the Office of Workers' Compensation Programs of the Employment Standards Administration is exempt from paragraphs (c)(3), (d), (e)(4), (G), (H), and (I), and paragraph (f) of 5 U.S.C. 552a. The disclosure of civil investigatory information, if any, contained in this system's files, including the names of persons and agencies to whom the information has been transmitted, would substantially compromise the effectiveness of investigations. Knowledge of such investigations would enable subjects to take such action as is necessary to prevent detection of illegal activities, conceal evidence, or otherwise escape civil enforcement action. Disclosure of this information could lead to the intimidation of, or harm to informants, witnesses, and their respective families, and in addition, could jeopardize the safety and well-being of investigative personnel and their families. The imposition of certain restrictions on the manner in which investigative information is collected, verified, and retained could also impede significantly the effectiveness of investigatory activities.

DOL/ESA-10

System name:

Office of Workers' Compensation Programs, Black Lung Profile Beneficiaries File.

System location:

Office of Workers' Compensation Programs, Division of Coal Mine Workers' Compensation, Department of Labor Building, 200 Constitution Ave., NW, Washington, D.C. 20210.

Categories of individuals covered by the system:

Division of Coal Mine Workers' Compensation Beneficiaries.

Categories of records in the system:

Medical, personal. The system also may contain information gathered in connection with investigations concerning possible violations of Federal law, whether civil or criminal under the authorizing legislation and related Acts. Such information may be derived from materials filed with the Department of Labor, other Federal, State and local departments and agencies, court records, medical records, insurance records, records of employers, articles from publications, published financial data, corporate information, bank information, telephone data, statements of witnesses, information received from Federal, State, local and foreign regulatory and law enforcement organizations, and from other sources. This record also contains the work product of the Department of Labor and other government personnel and consultants involved in the investigations.

Authority for maintenance of the system:

30 U.S.C. 901 et seq., 20 CFR 715.1 et seq., 20 CFR 720.1 et seq., 20 CFR 725.1 et seq.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Disclosure to the employer at any time after report of the injury or report of the onset of the occupational illness, or the filing of a notice of injury or claim related to such injury or occupational illness, also to any party providing the employer with workers' compensation insurance coverage; State workers' compensation agencies and the Social Security Administration for the purpose of determining offsets as specified under the Act; and labor unions and other voluntary employee associations of which the claimant is a member which exercise an interest in claims of members as part of their service to the members. Records are made available to other Federal agencies and State and locan agencies conducting similar or related investigations, and to the Justice Department in that agency's determination regarding potential litigation and during the course of actual litigation. Records may be disclosed to contractors providing automated data processing services for the Department of Labor, and may also be disclosed in any proceeding where the authorizing legislation is in issue, or in which the Secretary of Labor, any past or present Federal employee, or any consultant, is directly or indirectly involved in investigations or other enforcement activities, is a party, or is otherwise involved in an official capacity under the Act.

A record from this system may also be disclosed as a "routine use" to a Federal, State, or local agency maintaining pertinent records, if necessary to obtain information relevant to a Departmental decision concerning the determination of initial or continuing eligibility for program benefits.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Manual files.

Retrievability:

Name and Social Security Number.

Safeguards:

Files located in restricted area of a Federal building under guard by security officers.

Retention and disposal:

Files are destroyed when 12 years old.

System manager(s) and address:

Associate Director, Division of Coal Mine Workers' Compensation, Department of Labor Building, Room C3520, 200 Constitution Ave., NW, Washington, D.C. 20210.

Notification procedure:

As above.

Record access procedures:

As above.

Contesting record procedures:

As above.

Record source categories:

Individual, Correspondence, Employment Records, Payroll Records, Medical Reports.

Systems exempted from certain provisions of the act:

Investigatory portion of system exempted from certain provisions of the Act: (a) Criminal law enforcement. In accordance with paragraph 3(j)(2) of the Privacy Act, information maintained in this system of files in the Office of Workers' Compensation Programs of the Employment Standards Administration is exempt from all provisions contained in 5 U.S.C. 552a except those requirements set forth in paragraphs (b), (c)(1) and (2), (e)(4) (A) through (F), (e)(6), (7), (9), (10), and (11) and paragraph (i) of the Privacy Act. The disclosure of criminal investigatory information, if any, contained in the files, including the names of persons or agencies to whom the information has been transmitted would substantially compromise the effectiveness of any investigations. Knowledge of such investigations could enable subjects to take such action as is necessary to prevent detection of criminal activities, conceal evidence, or to escape prosecution. Disclosure of this information could lead to the intimidation of, or harm to, informants, witnesses, and their respective families, and could jeopardize the safety and well-being of investigative personnel and their families. The imposition of certain restrictions on the manner in which investigative information is collected, verified, and retained would impede significantly the effectiveness of investigatory activities, and in addition, may often preclude the apprehension and successful prosecution of persons engaged in fraud of the compensation program. (b) Other law enforcement. In accordance with paragraph 3(k)(2) of the Privacy Act, investigatory material compiled for law enforcement purposes other than material declared exempt under paragraph 3(j)(2) of the Privacy Act, which is maintained in this system's files of the Office of Workers' Compensation Programs of the Employment Standards Administration is exempt from paragraphs (c)(3), (d), (e)(4) (G), (H), and (I), and paragraph (f) of 5 U.S.C. 552a. The disclosure of civil investigatory information, if any, contained in this system's files, including the names of persons and agencies to whom the information has been transmitted, would substantially compromise the effectiveness of investigations. Knowledge of such investigations would enable subjects to take such action as is necessary to prevent detection of illegal activities, conceal evidence, or otherwise escape civil enforcement action. Disclosure of this information could lead to the intimidation of, or harm to informants, witnesses, and their respective families, and in addition, could jeopardize the safety and well-being of investigative personnel and their families. The imposition of certain restrictions on the manner in which investigative information is collected, verified, and retained could also impede significantly the effectiveness of investigatory activities.

DOL/ESA-11

System name:

Office of Workers' Compensation Programs, Black Lung Service Payments File.

System location:

Burroughs Corporation, Federal and Supply Systems Group, 7726 Old Spring House Road, McLean, Va. 22102.

Categories of individuals covered by the system:

Claimants, physicians and medical facilities providing services.

Categories of records in the system:

Medical, personal, financial.

Authority for maintenance of the system:

30 U.S.C. 901 et seq., 20 CFR 715.1 et seq., 20 CFR 720.1 et seq., 20 CFR 725.1 et seq.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Disclosure to mine operators who have been determined to be potentially liable for the claim and any party providing the mine operators with workers' compensation insurance coverage; State workers' compensation agencies and the Social Security Administration for the purpose of determining offsets as specified under the Act; doctors and medical services providers for the purpose of obtaining medical evaluations, physical rehabilitation or other services, and labor unions and other voluntary employee associations of which the claimant is a member which exercise an interest in claims of members as part of their service to the members.

A record from this system may also be disclosed as a "routine use" to a Federal, State, or local agency maintaining pertinent records, if necessary to obtain information relevant to a Departmental decision concerning the determination of initial or continuing eligibility for program benefits.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Magnetic tape.

Retrievability:

Provider number, claimant's SSN.

Safeguards:

Files located in restricted area of a Federal building under guard by security officers.

Retention and disposal:

Files are destroyed when 10 years old

System manager(s) and address:

Associate Director, Division of Coal Mine Workers' Compensation, Department of Labor Building, Room C3520, 200 Constitution Ave., NW., Washington, D.C. 20210.

Notification procedure:

As above.

Record access procedures:

As above.

Contesting record procedures:

As above.

Record source categories:

Billings, Claims Files, Medical Reports.

DOL/ESA-12

System name:

Office of Workers' Compensation Programs, Black Lung X-ray Interpretation File.

System location:

Office of Workers' Compensation Programs, Division of Coal Mine Workers' Compensation, Department of Labor Building, 200 Constitution Ave., NW., Washington, D.C. 20210.

Categories of individuals covered by the system:

Division of Coal Mine Workers' Compensation claimants.

Categories of records in the system:

Medical, personal.

Authority for maintenance of the system:

30 U.S.C. 901 et seq., 20 CFR 715.1 et seq., 20 CFR 720.1 et seq., 20 CFR 725.1 et seq.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Disclosure to mine operators who have been determined to be potentially liable for the claim and any party providing the mine operator with workers' compensation insurance coverage; State workers' compensation agencies and the Social Security Administration for the purpose of determining offsets as specified under the Act; doctors and medical services providers for the purpose of obtaining medical evaluations, physical rehabilitation or other services, and labor unions and other voluntary employee associations of which the claimant is a member which exercise an interest in claims of members as part of their service to the members.

A record from this system may also be disclosed as a "routine use" to a Federal, State or local agency maintaining pertinent records, if necessary to obtain information relevant to a Department decisions concerning the determination of initial or continuing eligibility for program benefits.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Manual files.

Retrievability:

Name and SSN.

Safeguards:

Files located in restricted area of a Federal building under guard by security officers.

Retention and disposal:

Files are destroyed 17 years after final adjudication or denial.

System manager(s) and address:

Associate Director, Division of Coal Mine Workers' Compensation, Department of Labor Building, Room C3520, 200 Constitution Ave., NW., Washington, D.C. 20210.

Notification procedure:

As above.

Record access procedures:

As above.

Record access procedures:

As above.

Record source categories:

Individual's medical records.

DOL/ESA-13

System name:

Office of Workers' Compensation Programs, Federal Employees' Compensation Act File.

System location:

Optimum Systems, Inc., 5615 Fishers Road, Rockville, Md. 20852.

Categories of individuals covered by the system:

FECA benefits recipients are Federal employees injured or killed while in the performance of duty. In case of death, beneficiary records are maintained. In addition to Federal employees the FECA covers volunteers in the Civil Air Patrol, Peace Corps Volunteers, Job Corps Enrollees, Volunteers in Service to America, members of the National Teachers Corps, certain student employees, employees of the Alaska Railroad, members of the Reserve Officers Training Corps, certain law enforcement officers not employed by the United States. Prior to January 1, 1957, the FECA also covered reservists in the Armed Forces of the United States. Also covered are various classes of persons who provide or have provided services to the Government of the United States.

Categories of records in the system:

Record includes reports of injury by employee and employing establishment, authorization for medical treatment, medical records, medical and transportation bills, compensation payment records, formal orders for or against payment of compensation, vital statistics such as birth, death and marriage certificates. The system also may contain information gathered in connection with investigations concerning possible violations of Federal law, whether civil or criminal, under the authorizing legislation and related Acts. Such information may be derived from materials filed with the Department of Labor, other Federal, State, and local departments and agencies, court records, medical records, insurance records, records of employers, articles from publications, published financial data, corporate information, bank information, telephone data, statements of witnesses, information received from Federal, State, local and foreign regulatory and law enforcement organizations, and from other sources. This record also contains the work product of the Department of Labor and other government personnel and consultants involved in the investigations. Commercial credit reports of individuals indebted to the United States, correspondence to and from the debtor, information or records relating to the debtor's current whereabouts, assets, liabilities, income and expenses, debtor's personal financial statements, and other information such as the nature, amount and history of a claim owed by an individual covered by this system, and other records and reports relating to the implementation of the Debt Collection Act of 1982, including any investigative reports or administrative review matters. The individual records listed herein are included only as pertinent or applicable to the individual employee.

Authority for maintenance of the system:

5 U.S.C. 8101 et seq., 20 CFR 1.1 et seq.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

a. Disclosure to any third-party named in a claim or representative acting on his/her behalf until the claim is adjudicated and all appeals resolved; Federal agencies which employed the claimant at the time of occurrence or recurrence of the injury or occupational illness; Federal, State or private rehabilitation agencies to whom the claimant has been referred for evaluation of the extent and nature of the disability and/or rehabilitation; physicians making an examination for the United States under 5 U.S.C. 8213(a); medical insurance plans or health and welfare plans which the claimant is covered by in instances when there is evidence of payment by OWCP for treatment of a medical condition which is not compensable; and labor unions and other voluntary employee associations of which the claimant is a member as part of their service to members. Records are made available to other Federal agencies and State and local agencies conducting similar or related investigations, and to the Justice Department in that agency's determination regarding potential litigation and during the course of actual litigation. Records may be disclosed to contractors providing automated data processing services for the Department of Labor, and may also be disclosed in any proceeding where the authorizing legislation is in issue, or in which the Secretary of Labor, any past or present Federal employee, or any consultant, is directly or indirectly involved in investigations or other enforcement activities, is a party, or is otherwise involved in an official capacity under the Act.

b. A record from this system may be disclosed as a "routine use" to a Federal, State, or local agency maintaining pertinent records, if necessary to obtain information relevant to a Departmental decision concerning the determination of initial or continuing eligibility for program benefits.

c. Records may be disclosed to a debt collection agency that DOL has contracted for collection services to recover indebtedness owed to the United States.

d. Department of Justice/General Accounting Office. Information may be forwarded to the General Accounting Office (GAO), and/or the DOJ as prescribed in the Joint Federal Claims Collections Standards (4 CFR Ch. II). When debtors fail to make payment through normal collection routines, the file is analyzed to determine the feasibility of enforced collection by referring the cases to the Department of Justice (DOJ) for litigation.

e. Other Federal Agencies.

(1) Pursuant to sections 5 and 10 of the Debt Collection Act of 1982, information relating to the implementation of the Debt Collection Act of 1982 may be disclosed to other Federal Agencies to effect salary or administrative offsets.

(2) A record from this system may be disclosed to a Federal Agency in response to its request in connection with the hiring/retention of an employee, the letting of a contract, or the issuance of a grant, license, or other benefit by the requesting agency, to the extent that the information is necessary and relevant to the requesting agency's decision on the matter.

f. Internal Revenue Service.

(1) Information contained in the system of records may be disclosed to the Internal Revenue Service to obtain taxpayer mailing addresses for the purpose of locating such taxpayer to collect, compromise, or write-off a Federal claim against the taxpayer.

(2) Information may be disclosed to the Internal Revenue Service concerning the discharge of an indebtedness owed by an individual.

Disclosure to consumer reporting agencies:

The amount, status and history of overdue debts; the name and address, taxpayer identification (SSAN), and other information necessary to establish the identity of a debtor, the agency and program under which the claim arose, are disclosed pursuant to 5 U.S.C. 552a(b)(12) to consumer reporting agencies as defined by section 603(f) of the Fair Credit Reporting Act (15 U.S.C. 1681a(f)); or in accordance with section 3(d)(4)(A)(ii) of the Federal Claims Collection Act of 1966 as amended (31 U.S.C. 3711(f)) for the purpose of encouraging the repayment of an overdue debt.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Case files are maintained in manual files, security case files in locked cabinets, and FECA management information system information is stored on computer discs which are stored in cabinets.

Retrievability:

Files are retrieved after identification by coded file number which is cross referenced to employee by name, employing establishment, date and nature of injury. Files located in District Offices are identified by master index file, which is maintained in the National Office.

Safeguards:

Files are maintained under supervision of OWCP personnel during normal working hours—only authorized personnel may handle or disclose any information contained therein. Only personnel having security clearance may handle or process security files. After normal working hours, security files are kept in locked cabinets. All files are maintained in guarded Federal buildings.

Retention and disposal:

This system was first published on February 13, 1981. As this is a relatively new system, retention periods have not yet been finalized.

System manager(s) and address:

Associate Director, Division of Federal Employees' Compensation, Department of Labor Building, Room S3229, 200 Constitution Ave., NW, Washington, D.C. 20210.

Notification procedure:

As above.

Record access procedures:

Any individual seeking information about a case in which he/she is a party of interest may write or telephone the OWCP District Office and arrangement will be made to provide review of the file, consonant with restrictions defined as a Routine Use.

Contesting record procedures:

As above.

Record source categories:

Injured employees, beneficiaries, employing Federal agencies, other Federal agencies, physicians, hospitals, clinics, educational institutions, attorneys, members of congress, OWCP field investigations, State governments. Commercial credit reports, agency investigative reports, debtor's personal financial statements. correspondence with the debtor, records relating to hearings on the debt, and from other DOL systems of records.

Systems exempted from certain provisions of the act:

Investigatory portion of system exempted from certain provisions of the act:

(a) Criminal law enforcement. In accordance with paragraph 3(j)(2) of the Privacy Act, information maintained in this system of files in the Office of Workers' Compensation Programs of the Employment Standards Administration is exempt from all provisions contained in 5 U.S.C. 552a except those requirements set forth in paragraphs (b), (c)(1) and (2), (e)(4) (A) through (F), (e)(6), (7), (9), (10), and (11) and paragraph (i) of the Privacy Act. The disclosure of criminal investigatory information, if any, contained in the files, including the names of persons or agencies to whom the information has been transmitted would substantially compromise the effectiveness of any investigations. Knowledge of such investigations could enable subjects to take such action as is necessary to prevent detection of criminal activities, conceal evidence, or to escape prosecution. Disclosure of this information could lead to the intimidation of, or harm to, informants, witnesses, and their respective families, and could jeopardize the safety and well-being of investigative personnel and their families. The imposition of certain restrictions on the manner in which investigative information is collected, verified, and retained would impede significantly the effectiveness of investigatory activities, and in addition, may often preclude the apprehension and successful prosecution of persons engaged in fraud of the compensation program. (b) Other law enforcement. In accordance with paragraph 3(k)(2) of the Privacy Act, investigatory material compiled for law enforcement purposes other than material declared exempt under paragraph 3(j)(2) of the Privacy Act, which is maintained in this system's files of the Office of Workers' Compensation Programs of the Employment Standards Administration is exempt from paragraphs (c)(3), (d), (e)(4) (G), (H), and (I), and paragraph (f) of 5 U.S.C. 552a. The disclosure of civil investigatory information, if any, contained in this system's files, including the names of persons and agencies to whom the information has been transmitted, would substantially compromise the effectiveness of investigations. Knowledge of such investigations would enable subjects to take such action as is necessary to prevent detection of illegal activities, conceal evidence, or otherwise escape civil enforcement action. Disclosure of this information could lead to the intimidation of, or harm to informants, witnesses, and their respective families, and in addition, could jeopardize the safety and well-being of investigative personnel and their families. The imposition of certain restrictions on the manner in which investigative information is collected, verified, and retained could also impede significantly the effectiveness of investigatory activities.

DOL/ESA-14

System name:

Office of Workers' Compensation Programs, Federal Employees' Compensation Act Chargeback File.

System location:

Optimum Systems, Inc., 5615 Fishers Road, Rockville, Md. 20852.

Categories of individuals covered by the system:

FECA benefits recipients.

Categories of records in the system:

Personal, financial.

Authority for maintenance of the system:

5 U.S.C. 8147.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Reports sent to all other agencies in order to support the billing of cost paid by DOL.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Magnetic tape.

Retrievability:

OWCP case number within OWCP District Office.

Safeguards:

Physical security—tapes are locked up.

Retention and disposal:

OWCP/FECA is responsible for source data records. Computer records are maintained or destroyed (deleted) by OWCP/FECA authority.

System manager(s) and address:

Associate Director, Division of Federal Employees' Compensation, Department of Labor Building, Room S3229, 200 Constitution Ave., NW, Washington, D.C. 20210.

Notification procedure:

As above.

Record access procedures:

As above.

Contesting record procedures:

As above.

Record source categories:

CA45, CA135 at originating OWCP District Office servicing injured employee's government agency.

DOL/ESA-15

System name:

Office of Workers' Compensation Programs, Longshoremen's and Harbor Worker's Compensation Act Case Files.

System location:

Most files are located in the following District Offices but cases involving special issues may be in the National Office—

JFK Bldg., Room 1800, Government Center, Boston, MA 02203.
1515 Broadway, Room 3362, New York, NY 10036.
Gateway Bldg., Room M-450, 3535 Market Street, Philadelphia, PA 19104.
Federal Bldg., Room 1026, 31 Hopkins Plaza, Baltimore, MD 23510.
Federal Bldg., Room 212, 200 Granby Mall, Norfolk, VA 23510.
1111 20th Street, NW, Room 1014, Washington, DC 20211.
U.S. Post Office and Courthouse Bldg., 311 W. Monroe Street, Jacksonville, FL 32201.
230 S. Dearborn, 7th Floor, Chicago, IL 60604.
U.S. Post Office Bldg., Room 212, Galveston, TX 77563.
2320 La Branch Street, Room 2108, Houston, TX 77004.
Hale Boggs Federal Bldg., Room 1020, 500 Camp Street, New Orleans, LA 70130.
450 Golden Gate Ave., Room 10301, San Francisco, CA 94102.
300 S. Ferry Street, Room 2525, Terminal Island, CA 90731.

Categories of individuals covered by the system:

Records of injuries, occupational disease and death of employees working in private industry who are covered by the provisions of the Longshoremen's and Harbor Worker's Compensation Act and related acts.

Categories of records in the system:

Reports of injury by employees and employers, authorization for medical care; medical reports; medical and transportation bills; formal orders for or against payment of compensation, vocational evaluations, rehabilitation plans and awards and vocational progress reports, vital statistics such as birth, marriage, death certificates, enrollment and attendance records at educational institutions.

Authority for maintenance of the system:

33 U.S.C. 901 et seq. (20 CFR Parts 701 et seq.); 36 U.S.C. 501 et seq.; 42 U.S.C. 1951 et seq.; 43 U.S.C. 1331 et seq.; 5 U.S.C. 8171 et seq.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Disclosure to the employer at any time after report of the injury or report of the onset of the occupational illness, or the filing of a notice of injury or claim related to such injury or occupational illness, also to any party providing the employer with workers' compensation insurance coverage; doctors and medical service providers for the purpose of obtaining medical evaluations, physical rehabilitations or other services; public or private agencies to whom the injured worker has been referred for vocational rehabilitation services; contractors providing automated data processing services for the Department of Labor and labor unions and other voluntary associations of which the claimant is a member acting on behalf of the individual member.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Manual files.

Retrievability:

Name and SSN.

Safeguards:

Files are maintained in guarded Federal buildings.

Retention and disposal:

Time retained varies by type of case ranging from destroy one year after creation for incomplete reported cases to destroy 6 years and 3 months after death of last possible beneficiary.

System manager(s) and address:

Associate Director, FECA, Room S3229, U.S. Department of Labor Building, 200 Constitution Ave., NW, Washington, D.C. 20210; and District Offices listed above.

Notification procedure:

As above.

Record access procedures:

As above.

Contesting record procedures:

As above.

Record source categories:

The system obtains information from injured employees, their qualified dependents, employers, insurance carriers, physicians, medical facilities, educational institutions, attorneys, State and Federal vocational rehabilitation agencies and Members of Congress.

DOL/ESA-18

System name:

Advisory Committee on Sheltered Workshop Members' Files.

System location:

Room S3513, U.S. Department of Labor Building, Washington, D.C. 20210.

Categories of individuals covered by the system:

Past and current members of the Advisory Committee on Sheltered Workshops.

Categories of records in the system:

Biographical information and correspondence.

Authority for maintenance of the system:

Fair Labor Standards Act, as amended. Advisory Committee on Sheltered Workshops Charter, January 5, 1975.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Biographical information submitted to the Office of Personnel Management and the FBI for name checks prior to nomination.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Manual files.

Retrievability:

By members name.

Safeguards:

Files are maintained in guarded Federal building.

Retention and disposal:

Retained in files 20 years then offered to the National Archives.

System manager(s) and address:

Chief, Branch of Handicapped Worker Problems, Room S3513, U.S. Department of Labor Building, Washington, D.C. 20210.

Notification procedure:

Administrator Wage and Hour Division, 200 Constitution Ave., NW, Washington, D.C. 20210.

Record access procedures:

As above.

Contesting record procedures:

As above.

Record source categories:

Members, their offices, or other Federal agencies.

DOL/ESA-22

System name:

Advisory Committee for Higher Education Equal Employment Opportunity Programs Members' Files.

System location:

Room C3225, Department of Labor Building, 200 Constitution Ave., NW, Washington, D.C. 20210.

Categories of individuals covered by the system:

Members of the Advisory Committee for Higher Education Equal Employment Opportunity Programs.

Categories of records in the system:

Biographical information.

Authority for maintenance of the system:

Charter of the Advisory Committee for Higher Education Equal Employment Opportunity Programs, January 28, 1976, Executive Order 11246.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Name checks obtained from Office of Personnel Management and FBI. Membership list including names, positions and addresses sent to the public on request and published in press releases.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Manual files.

Retrievability:

By member's name.

Safeguards:

Room is locked when unattended. Files are in a Federal building under guard by security officers.

Retention and disposal:

Records will be maintained for the life of the committee.

System manager(s) and address:

Executive Secretary, Advisory Committee for Higher Education Equal Employment Opportunity Programs, Room C3225, Department of Labor Building, 200 Constitution Ave., NW, Washington, D.C. 20210.

Notification procedure:

Same as above.

Record access procedures:

Same as above.

Contesting record procedures:

Same as above.

Record source categories:

Individuals covered or their offices.

DOL/ESA-24

System name:

Office of Workers' Compensation Programs, Longshoremen's and Harbor Workers' Compensation Act Special Fund System.

System location:

Division of Longshore and Harbor Workers' Compensation, Room C4315, Department of Labor Building, 200 Constitution Ave., NW, Washington, D.C. 20210.

Categories of individuals covered by the system:

Persons receiving compensation and related benefits under the Longshoremen's and Harbor Workers' Compensation Act.

Categories of records in the system:

Bills, vouchers, and records of payment for compensation and related benefits under the Longshoremen's and Harbor Workers' Compensation Act.

Authority for maintenance of the system:

33 U.S.C. 901 et seq. (20 CFR Parts 701 et seq.); 36 U.S.C. 501 et seq.; 42 U.S.C. 1951 et seq.; 43 U.S.C. 1331 et seq.; 5 U.S.C. 8171 et seq.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Disclosure of payment information to insurance carriers or self-insurers under the Longshoremen's and Habor Workers' Compensation Act in instances of verification of payment.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Manual files.

Retrievability:

By name of payee.

Safeguards:

Files are locked at night and maintained during working hours under the constant supervision of OWCP personnel. Files are in a Federal building under guard by security officers.

Retention and disposal:

Files are destroyed 7 years after last payment is made.

System manager(s) and address:

Associate Director, FECA, Room S3229, U.S. Department of Labor Building, 200 Constitution Ave., NW, Washington, D.C. 20210; and District Offices listed above.

Notification procedure:

As above.

Record access procedures:

As above.

Contesting record procedures:

As above.

Record source categories:

Insurers and self-insurers under the Longshoremen's and Harbor Workers' Compensation Act and parties providing covered benefits and service to approved claimants under the Act.

DOL/ESA-25

System name:

Office of Federal Contract Compliance Programs Management Information System (OFCC/MIS).

System location:

Room C3225, Department of Labor Building, 200 Constitution Ave., NW, Washington, D.C. 20210; U.S. Department of Health and Human Services, National Institute of Health, Building 12A DCRT, Bethesda, MD 20014.

Categories of individuals covered by the system:

Individuals filing complaints of employment discrimination by Federal contractors and individuals who correspond with program officials, managers, and employees.

Categories of records in the system:

Individual complaints, Federal procurement (contract) actions, contractor establishment, contractor employment, enforcement/litigation, and correspondence control.

Authority for maintenance of the system:

Executive Order 11246, as amended; 29 U.S.C. 793; 38 U.S.C. 2012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Disclosure to the Equal Employment Opportunity Commission, Department of Justice, to other Federal, State or local agencies with jurisdiction over a complaint, for investigatory, conciliation or enforcement purposes; to Federal contractors, subcontractors, or federally-assisted construction contractors or subcontractors against whom a complaint is filed, including providing a copy of the complaint or a complaint summary for purposes of notice and/or under applicable internal review procedures; during an investigation to persons who may have knowledge pertinent to the complaint, but only to the extent necessary to determine the validity of complaint charges.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Manual files for working copies of source documents and magnetic tapes and disks for central computer processing.

Retrievability:

Complaints are retrievable by complainant name, OFCCP control number, and contractor establishment number. Correspondence is retrievable by correspondent name, OFCCP control number, and status and action codes. Other data is retrievable by OFCCP control numbers, Dunn and Bradstreet Universal Numbering System establishment number, and status and action codes.

Safeguards:

Files are locked except during working hours, and only authorized personnel have access to files. Computer systems are restricted to authorized operators and each subsystem has multiple layers of password protection depending upon sensitivity of data.

Retention and disposal:

Inactive records retained in system for two years before being purged to history files where they are stored for three years. Transfer to FARC and scratch 5 years after transfer.

System manager(s) and address:

Director, OFCCP, Room C3325, 200 Constutition Ave., NW, Washington, D.C. 20210.

Notification procedure:

As above.

Record access procedures:

As above.

Contesting record procedures:

As above.

Record source categories:

Individuals, correspondents, Federal contractors, Federal Procurement Data Center, OFCCP personnel working in area, regional, and national office organizational components, Solicitor of Labor in regional and national offices, Department of Justice, and Equal Employment Opportunity Commission.

Systems exempted from certain provisions of the act:

In accordance with paragraph 3(k)(2) of the Privacy Act, these files have been exempted from section (d), 4(G), 4(H), and (f) of the Act. The disclosure of information contained in these files may in some circumstances tend to discourage persons who have knowledge of facts and circumstances pertinent to charges from giving statements or co-operating in investigations. In addition, disclosure of medical records contained in these files may adversely affect the health of individuals without guidance of a responsible physician.

DOL/ESA-26

System name:

Division of Longshore and Harbor Workers' Compensation Investigation Files.

System location:

Division of Longshore and Harbor Workers Compensation, Office of Workers' Compensation Programs, Room C4315, 200 Constitution Ave., NW., Washington, D.C. 20210.

Assistant Deputy Commissioner's office for LS/HW in the following regional locations—

JFK Bldg., Room 1800, Government Center, Boston, MA 02203.
1515 Broadway, Room 3362, New York, NY 10036.
Gateway Bldg., Room M-450, 3535 Market Street, Philadelphia, PA 19104.
Federal Bldg., Room 1026, 31 Hopkins Plaza, Baltimore, MD 23510.
Federal Bldg., Room 212, 200 Granby Mall, Norfolk, VA 23510.
1111 20th Street, NW., Room 1014, Washington, DC 20211.
U.S. Post Office and Courthouse Bldg., 311 W. Monroe Street, Jacksonville, FL 32201.
230 S. Dearborn, 7th Floor, Chicago, IL 60604.
U.S. Post Office Bldg., Room 212, Galveston, TX 77563.
2320 La Branch Street, Room 2108, Houston, TX 77004.
Hale Boggs Federal Bldg., Room 1020, 500 Camp Street, New Orleans, LA 70130.
450 Golden Gate Ave., Room 10301, San Francisco, CA 94102.
300 S. Ferry Street, Room 2525, Terminal Island, CA 90731.

Categories of individuals covered by the system:

Individuals filing claims for workers' compensation benefits under the Longshoremen's and Harbor Workers' Compensation Act as amended and extended (33 U.S.C. 901 et seq., except as it applies to the Office of Administrative Law Judges and the Benefits Review Board); individuals providing medical and other services to the Division; employees of insurance companies and of medical and other services providers to the Division; and other persons suspected of violations of law under the Act including related civil and criminal provisions as well as respondents, witnesses and other individuals involved in investigations and enforcement actions instituted by the Department of Labor.

Categories of records in the system:

The system contains information gathered in connection with investigations concerning possible violations of Federal law, whether civil or criminal under the Longshoremen's and Harbor Workers' Compensation Act and related Acts. Such information may be derived from materials filed with the Department of Labor, other Federal, State and local departments and agencies, court records, medical records, insurance records, records of employers, articles from publications, published financial data, corporate information, bank information, telephone data, statements of witnesses, information received from Federal, State, local and foreign regulatory and law enforcement organizations, and from other sources. This record also contains the work product of the Department of Labor and other government personnel and consultants involved in the investigations.

Authority for maintenance of the system:

33 U.S.C. 901 et seq.; 36 D.C. Code 501 et seq.; 42 U.S.C. 1651 et seq.; 43 U.S.C. 1331 et seq., 5 U.S.C. 8171 et seq.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Records are made available to other Federal agencies and State and local agencies conducting similar or related investigations, and to the Justice Department in that agency's determination regarding potential litigation and during the course of actual litigation. Records may be disclosed to contractors providing automated data processing services for the Department of Labor, and may also be disclosed in any proceeding where the Longshoremen's and Harbor Workers' Compensation Act and related Acts are in issue, or in which the Secretary of Labor, any past or present Federal employee, or any consultant, is directly or indirectly involved in investigations or other enforcement activities, is a party, or is otherwise involved in an official capacity under the Act.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Retrievability:

Records are indexed by name.

Safeguards:

Access to and use of these records are limited to those persons whose official duties require such access.

Retention and disposal:

To be determined.

System manager(s) and address:

Associate Director, Division of Longshore and Harbor Workers' Compensation, 200 Constitution Ave, NW, Washington, D.C. 20210; and, Assistant Deputy Commissioners for LS/HW in each city listed in Systems Location section.

Notification procedure:

Notify system manager.

Record access procedures:

Contact system manager.

Contesting record procedures:

Contact system manager.

Record source categories:

Records from Division claim and payment files (DOL/ESA-15 and 24) and from employees, insurers, service providers; and information received from parties leading to the opening of an investigation, or developed as a product of interviews held during the course of an investigation.

Systems exempted from certain provisions of the act:

(a) Criminal law enforcement. In accordance with paragraph 3(j)(2) of the Privacy Act, information maintained in investigation files in the Division of Longshore and Harbor Workers' Compensation of the Office of Workers' Compensation Programs of the Employment Standards Administration is exempt from all provisions contained in 5 U.S.C. 552a except those requirements set forth in paragraphs (b), (c)(1) and (2), (e)(4) (A) through (F), (e)(6), (7), (9), (10), and (11) and paragraph (i) of the Act. The disclosure of information contained in the criminal investigative files, including the names of persons or agencies to whom the information has been transmitted would substantially compromise the effectiveness of investigations. Knowledge of such investigations could enable subjects to take such action as is necessary to prevent detection of criminal activities, conceal evidence, or to escape prosecution. Disclosure of this information could lead to the intimidation of, or harm to, informants, witnesses, and their respective families, and could jeopardize the safety and well-being of investigative personnel and their families. The imposition of certain restrictions on the manner in which investigative information is collected, verified, and retained would impede significantly the effectiveness of the investigatory activities, and in addition, may often preclude the apprehension and successful prosecution of persons engaged in fraud of the Longshore and Harbor Workers' compensation program. (b) Other law enforcement. In accordance with paragraph 3(k)(2) of the Privacy Act, investigatory material compiled for law enforcement purposes other than material declared exempt under paragraph 3(j)(2) of the Act, which is maintained in the investigation files of the Division of Longshore and Harbor Workers' Compensation of the Office of Workers' Compensation Programs of the Employment Standards Administration is exempt from paragraphs (c)(3), (d), (e)(4) (G), (H), and (I), and paragraph (f) of 5 U.S.C. 552a. The disclosure of information contained in civil investigative files, including the names of persons and agencies to whom the information has been transmitted, would substantially compromise the effectiveness of the investigations. Knowledge of such investigations would enable subjects to take such action as is necessary to prevent detection of illegal activities, conceal evidence, or otherwise escape civil enforcement action. Disclosure of this information could lead to the intimidation of, or harm to informants, witnesses, and their respective families, and in addition, could jeopardize the safety and well-being of investigative personnel and their families. The imposition of certain restrictions on the manner in which investigative information is collected, verified, and retained could also impede significantly the effectiveness of the investigatory activities.

DOL/ETA-1

System name:

Bureau of Apprenticeship, (BA), Budget and Position Control File.

System location:

Employment and Training Administration, (ETA), Bureau of Apprenticeship, Patrick Henry Building, 601 D St. NW, Washington, D.C. 20213.

Categories of individuals covered by the system:

Federal employees currently employed by BA.

Categories of records in the system:

Personnel matters concerning grades and salaries.

Authority for maintenance of the system:

5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

None.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Kardex files.

Retrievability:

By region, budget position number, or name of employee.

Safeguards:

Locked storage equipment.

Retention and disposal:

Retained until employee is terminated, then destroyed.

System manager(s) and address:

Administrator, Bureau of Apprenticeship, ETA, Patrick Henry Building, 601 D St NW, Washington, DC 20213.

Notification procedure:

As above.

Record aceess procedures:

As above.

Contesting record procedures:

As above.

Record source categories:

SF-Form 50.

DOL/ETA-2

System name:

Bureau of Apprenticeship, (BA), Field Service Staff Budget and Position Control File.

System location:

ETA, Bureau of Apprenticeship, Patrick Henry Building, 601 D St. NW, Washington, D.C. 20213.

Categories of individuals covered by the system:

Regional employees currently employed by BA.

Categories of records in the system:

Personnel matters concerning grades and salaries, addresses and telephone numbers of employes, and copies of each position description in effect.

Authority for maintenance of the system:

Pub.L. 308 (Fitzgerald Act).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

None.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Kardex files.

Retrievability:

By participant name and geographical location.

Safeguards:

Locked storage equipment.

Retention and disposal:

Maintained until employee is terminated, then material is shredded.

System manager(s) and address:

Administrator, Bureau of Apprenticeship, Patrick Henry Building, 601 D St NW, Washington, DC 20213.

Notification procedure:

As above.

Record access procedures:

As above.

Contesting record procedures:

As above.

Record source categories:

SF-Form 50.

DOL/ETA-3

System name:

Bureau of Apprenticeship Foreign National Individual Program File.

System location:

ETA, Bureau of Apprenticeship, Patrick Henry Building, 601 D St. NW., Washington, D.C. 20213.

Categories of individuals covered by the system:

Foreign Nationals programmed by the Bureau of Apprenticeship under the Technical Assistance Act.

Categories of records in the system:

Personal information of the Foreign National and programming operation information.

Authority for maintenance of the system:

Pub.L.308 (Fitzgerald Act).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

None.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Magnetic tape.

Retrievability:

By participant's name.

Safeguards:

Locked storage equipment.

Retention and disposal:

Records are destroyed by scratching tape after the participant leaves the program.

System manager(s) and address:

Administrator, Office of Management Information Systems, Patrick Henry Building, 601 D St. NW, Washington, D.C. 20213.

Notification procedure:

As above.

Record access procedures:

As above.

Contesting record procedures:

As above.

Record source categories:

Program sponsor.

DOL/ETA-4

System name:

Bureau of Apprenticeship, National Industry.

System location:

ETA, Bureau of Apprenticeship, Patrick Henry Building, 601 D St. NW, Washington, D.C. 20213.

Categories of individuals covered by the system:

Apprentices.

Categories of records in the system:

Name of program sponsor.

Authority for maintenance of the system:

Pub. L.308 (Fitzgerald Act).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

None.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Manual files—program and apprentice registration cards for apprentices.

Retrievability:

Program sponsor's name, apprentice's name, and apprenticeable occupation.

Safeguards:

Standard file cabinets with locks.

Retention and disposal:

Retain for three years, then destroy.

System manager(s) and address:

Director, Bureau of Apprenticeship, Employment and Training Administration, 601 D St. NW, Washington, D.C. 20213.

Notification procedure:

As above.

Record access procedures:

As above.

Contesting record procedures:

As above.

Record source categories:

Program sponsor.

DOL/ETA-5

System name:

ESARS 2 Sample File.

System location:

Optimum Systems Inc., 5615 Fishers Ln., Rockville, MD. 20852.

Categories of individuals covered by the system:

Employment Service Applicants.

Categories of records in the system:

Characteristics of individuals such as age, sex, race, and ES service provided.

Authority for maintenance of the system:

29 U.S.C. 49, et seq.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

None.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Magnetic tape.

Retrievability:

By region, State, and SSN.

Safeguards:

Routine computer precautions limiting access to authorized expenditure codes.

Retention and disposal:

Destroyed after 5 years by scratching of tape.

System manager(s) and address:

Administrator, Office of Management Information Systems, Patrick Henry Building, 601 D St. NW., Washington, D.C. 20213.

Notification procedure:

As above.

Record access procedures:

As above.

Contesting record procedures:

As above.

Record source categories:

All records came from the State Employment Service Offices in the 50 states, P.R., and D.C.

DOL/ETA-6

System name:

Exemplary Rehabilitation Certification Program File.

System location:

ETA, Office of Foreign Labor Certifications, Patrick Henry Building, 601 D St. NW., Washington, D.C. 20213.

Categories of individuals covered by the system:

Ex-servicemen with less than honorable discharges from the U.S. Armed Forces.

Categories of records in the system:

Personal information such as: Local law enforcement reference, fingerprint card, character references, employer references.

Authority for maintenance of the system:

10 U.S.C. 26.1; 80 Stat. 1017; Pub.L. 89-690.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

None.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Kept in locked storage equipment.

Retrievability:

Records are indexed by name, address, serial number, social security number, and date of birth.

Safeguards:

Individual application folders are kept in file cabinets under lock and key.

Retention and disposal:

Folders are maintained in the division, and destroyed.

System manager(s) and address:

Administrator, Office of Foreign Labor Certifications, ETA, Patrick Henry Building, 601 D St. NW., Washington, D.C. 20213.

Notification procedure:

As above.

Record access procedures:

As above.

Contesting record procedures:

As above.

Record source categories:

Upon request of an ex-serviceman, an application packet, which includes an application form, employer reference form, character reference forms, local law authority reference form, and a fingerprint card is sent. When the completed application forms are returned to the Department of Labor, the fingerprint card is sent to the FBI for investigation. The FBI then returns the fingerprint card and report to the Department of Labor.

DOL/ETA-7

System name:

Immigration and Rehabilitation Certification Program File.

System location:

ETA, Office of Foreign Labor Certifications, Patrick Henry Building, 601 D St. NW., Washington, D.C. 20213; Regional Offices.

Categories of individuals covered by the system:

Employers who file application for alien employment certification on behalf of aliens.

Categories of records in the system:

Information of record consists of employer's type, size and nature of business offer of employment to alien, and alien's background and qualifications.

Authority for maintenance of the system:

Pub.L. 414, Immigration and Nationality Act as amended by Pub.L. 89.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Any and all materials pertinent to the alien certification program are disclosed to employer's attorneys, aliens, State Department and Immigration and Naturalization Service.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Manual files are stored in the national office, the 10 regional offices, and the office in Virgin Islands.

Retrievability:

Records are maintained on all applications for alien employment certification filed by means of Immigration Case Record and Transmittal. PES form 71-30 (Rev. June 1968). Job offer applications are filed alphabetically by employer name, and applications by alien name if filed by alien on his own behalf.

Safeguards:

Access to records provided only to authorized personnel.

Retention and disposal:

Retain case file in office for two years, transfer to a records center for disposition after two additional years.

System manager(s) and address:

Administrator, Office of Foreign Labor Certifications, ETA, U.S. Employment Service, 601 D St. NW., Washington, D.C. 20213.

Notification procedure:

As above.

Record access procedures:

As above.

Contesting record procedures:

As above.

Record source categories:

Information comes from application form completed by employers and aliens.

DOL/ETA-8

System name:

Job Corps Mainstream File.

System location:

Optimum Systems Inc., 5615 Fishers Ln., Rockville, MD 20852.

Categories of individuals covered by the system:

Job Corps enrollees.

Categories of records in the system:

Personal information about the trainees income, age, education, etc. In the placement system—was he placed—if not placed the reason for such.

Authority for maintenance of the system:

29 U.S.C. 911, et seq.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

None.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Magnetic tape.

Retrievability:

Social Security Number.

Safeguards:

Unique data set name and volume serial number for the file.

Retention and disposal:

Maintained in office until enrollee is terminated. The records are then shipped to a records center for storage and disposition.

System manager(s) and address:

Administrator, Office of Management Information Systems, ETA, Patrick Henry Building, 601 D St. NW, Washington, D.C. 20213.

Notification procedure:

As above.

Record access procedures:

As above.

Contesting record procedures:

As above.

Record source categories:

Job Corps Centers.

DOL/ETA-9

System name:

Job Corps Placement File.

System location:

Optimum Systems Inc., 5615 Fishers Ln., Rockville, Md. 20852.

Categories of individuals covered by the system:

Job Corps enrollees.

Categories of records in the system:

Personal characteristics.

Authority for maintenance of the system:

29 U.S.C. 911, et seq.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Report sent to Congress.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Magnetic tape.

Retrievability:

Name and Social Security Number.

Safeguards:

Restricted to only authorized personnel.

Retention and disposal:

Scratch tape 3 years after terminating of enrollee.

System manager(s) and address:

Administrator, Office of Job Corps, Patrick Henry Building, 601 D St. NW, Washington, D.C. 20213.

Notification procedure:

As above.

Record access procedures:

As above.

Contesting record procedures:

As above.

Record source categories:

Job Corps Centers and Job Corps regional offices.

DOL/ETA-10

System name:

Migrant Worker File.

System location:

Optimum Systems Inc., 5615 Fishers Ln., Rockville, Md. 20852; ETA, Patrick Henry Building, 601 D St. NW., Washington, D.C.

Categories of individuals covered by the system:

Migrant workers who have reported to ES office for service.

Categories of records in the system:

Characteristics of individual and ES services provided.

Authority for maintenance of the system:

Court Order (Civil Action 2010-72, NAACP vs. Brennan).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

None.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Magnetic tape.

Retrievability:

Region, State, SSN.

Safeguards:

Routine computer precautions limiting access to authorized expenditure codes.

Retention and disposal:

Erase/destroy magnetic tape after 5 years.

System manager(s) and address:

Administrator, Office of Management Information Systems, ETA, Patrick Henry Building, 601 D St. NW., Washington, D.C. 20213.

Notification procedure:

As above.

Record access procedures:

As above.

Contesting record procedures:

As above.

Record source categories:

State ES officers.

DOL/ETA-11

System name:

Trainee Characteristic File.

System location:

Optimum Systems Inc., 5615 Fishers Ln., Rockville, MD 20852.

Categories of individuals covered by the system:

Manpower trainees under MDTA and EOA Acts.

Categories of records in the system:

Personal, financial, and medical. System no longer active. Files are historical.

Authority for maintenance of the system:

42 USC 2571, et seq. (Manpower Development Training Act) 42 USC 2701, et seq., (Economic Opportunity Act).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

None.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Magnetic tape.

Retrievability:

Indexed by Social Security Number.

Safeguards:

None.

Retention and disposal:

Files are destroyed by scratching the magnetic tape.

System manager(s) and address:

Administrator, Office of Management Information Systems, ETA, Patrick Henry Building, 601 D St. NW., Washington, D.C. 20213.

Notification procedure:

Record access procedures:

As above.

Contesting record procedures:

As above.

Record source categories:

MDTA forms, MT101, 2, 3, 4, and EOA forms NYC-16 & OEO-16.

DOL/ETA-12

System name:

WIN II Characteristics File.

System location:

Optimums Systems, Inc., 5615 Fishers Ln., Rockville, MD.

Categories of individuals covered by the system:

WIN registrants.

Categories of records in the system:

Characteristics of individual such as age, sex, race, and ES Services provided.

Authority for maintenance of the system:

42 USC 630 et seq.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

None.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Magnetic tape.

Retrievability:

By region, state, and SSN.

Safeguards:

Routine computer precautions limiting access to authorized expenditure codes.

Retention and disposal:

Files are destroyed by scratching tape every 5 years.

System manager(s) and address:

Administrator, Office of Management Information Systems, ETA, Patrick Henry Building, 601 D St. NW., Washington, D.C. 20213.

Notification procedure:

As above.

Record access procedures:

As above.

Contesting record procedures:

As above.

Record source categories:

All records came from the Employment Security offices in the 50 states, P.R., and D.C.

DOL/ETA-13

System name:

1 percent Employee-Employer Sample File.

System location:

Optimum Systems Inc., 5615 Fishers Lane, Rockville, MD 20852.

Categories of individuals covered by the system:

1 percent of all employed persons covered by SSA in the US.

Categories of records in the system:

Information on wages, sex, race employer, size, etc.

Authority for maintenance of the system:

42 U.S.C. 501 et seq. 26 U.S.C. 3301 et seq.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

None.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Magnetic tape.

Retrievability:

By Social Security Number and State Code.

Safeguards:

Tape libraries.

Retention and disposal:

Tape is scratched every 3 years.

System manager(s) and address:

Administrator, Office of Management Information Systems, ETA, Patrick Henry Building, 601 D St. NW, Washington, D.C. 20213.

Notification procedure:

As above.

Record access procedures:

As above.

Contesting record procedures:

As above.

Record source categories:

Social Security Administration.

DOL/ETA-14

System name:

Job Corpsmember Personnel File.

System location:

State Employment Agencies, private contract screening agencies, Job Corps Regional Offices, Job Corps Center, Gatehouse (contract placement), and Federal Records Centers (FRC).

Categories of individuals covered by the system:

Job Corps trainees.

Categories of records in the system:

Complete personnel file of each corpsmember with all pertinent papers including pay allowance, health, education, vocational training, and any correspondence or other documents relating to individual corpsmember status, assignment, promotion, discipline investigation, or course participation.

Authority for maintenance of the system:

Economic Opportunity Act of 1964 as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Training and work experience data to state and local agencies, county boards of assistance, potential employers and state, county, or private employment agencies.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Locked file cabinet with policy of limited access.

Retrievability:

File retrieved only by name.

Safeguards:

Locked file cabinets with policy of very limited access.

Retention and disposal:

Records are retained at JC Center until member is terminated. Records are then forwarded to an appropriate records center for eventual disposition.

System manager(s) and address:

Administrator, Office of Job Corps, ETA, Patrick Henry Building, 601 D St., NW, Washington, D.C. 20213.

Notification procedure:

Regional Job Corps office, or Systems manager at above address.

Record access procedures:

As above.

Contesting record procedures:

As above.

Record source categories:

Pertinent personnel data received from various employment related sources.

DOL/ETA-15

System name:

DOL/ETA Evaluation or Research Contractors Project Files.

System location:

Individual Contractors Project Worksites.

Categories of individuals covered by the system:

Vary according to requirements of studies.

Categories of records in the system:

Vary according to requirements of studies.

Authority for maintenance of the system:

Part B, Title III, CETA, Social Security Act, Sec. 441 and 906.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To provide a variety of data required by contract to researchers or evaluators to carry out the research and evaluation goals of the studies for which they are responsible. These records are used solely for statistical research or evaluation and not used in any way for making any determinaton about an identifiable individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Files are maintained by the contractors at their sites as folders, tapes, punchcards, etc., as appropriate, until the conclusion of the studies and for a limited time following a required by the ETA Systems Manager.

System manager(s) and address:

Systems Manager, Strategic Planning & Policy Dev., ETA, Patrick Henry Building, 601 D St. NW, Washington, D.C. 20213.

Notification procedure:

As above.

Record access procedures:

As above.

Contesting record procedures:

As above.

Record source categories:

Evaluation contractors project files, research contractors project files.

DOL/ETA-16

System name:

Employment and Training Administration, Investigatory File.

System location:

Special Review Staff, ETA, Patrick Henry Building, 601 D St. NW, Washington, D.C. 20213.

Categories of individuals covered by the system:

Applicants, contractors, subcontractors, grantees, private organizations and general public.

Categories of records in the system:

Resolution of investigations of allegations about criminal and civil violations, and on-going investigations.

Authority for maintenance of the system:

5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Federal, state, or local government agencies for civil, criminal, or regulatory law enforcement contracting and grant officers for award and administration of grants and contracts.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Information in the system is stored in case files.

Retrievability:

By name.

Safeguards:

Physical security.

Retention and disposal:

Retain 5 years after case is closed. The files are sent to the FRC for eventual disposition.

System manager(s) and address:

Director, Special Review Staff, ETA, Patrick Henry Building, 601 D St. NW, Washington, D.C. 20213.

Notification procedure:

As above.

Record access procedures:

As above.

Contesting record procedures:

As above.

Record source categories:

Program sponsors, contractors, complaints, witnesses, Federal, state, and local government records.

Systems exempted from certain provisions of the Act:

Investigatory portion of system exempted from certain provisions of the act:

(a) Criminal law enforcement. In accordance with paragraph 3(j)(2) of the Privacy Act, information maintained in this system of files is exempt from all provisions contained in 5 U.S.C. 552a except those requirements set forth in paragraphs (b), (c)(1) and (2), (e)(4) (A) through (F), (e)(6), (7), (9), (10), and (11) and paragraph (i) of the Privacy Act. The disclosure of criminal investigatory information, if any, contained in the files, including the names of persons or agencies to whom the information has been transmitted would substantially compromise the effectiveness of any investigations. Knowledge of such investigations could enable subjects to take such action as is necessary to prevent detection of criminal activities, conceal evidence, or to escape prosecution. Disclosure of this information could lead to the intimidation of, or harm to, informants, witnesses, and their respective families, and could jeopardize the safety and well-being of investigative personnel and their families. The imposition of certain restrictions on the manner in which investigative information is collected, verified, and retained would impede significantly the effectiveness of investigatory activities, and in addition, may often preclude the apprehension and successful prosecution of persons engaged in fraud of the compensation program. (b) Other law enforcement. In accordance with paragraph 3(k)(2) of the Privacy Act, investigatory material compiled for law enforcement purposes other than material declared exempt under paragraph 3(j)(2) of the Privacy Act, which is maintained in this system's files is exempt from paragraphs (c)(3), (d), (e)(4) (G), (H), and (I), and paragraph (f) of 5 U.S.C. 552a. The disclosure of civil investigatory information, if any, contained in this system's files, including the names of persons and agencies to whom the information has been transmitted, would substantially compromise the effectiveness of investigations. Knowledge of such investigations would enable subjects to take such action as is necessary to prevent detection of illegal activities, conceal evidence, or otherwise escape civil enforcement action. Disclosure of this information could lead to the intimidation of, or harm to, informants, witnesses, and their respective families, and in addition, could jeopardize the safety and well-being of investigative personnel and their families. The imposition of certain restrictions on the manner in which investigative information is collected, verified, and retained could also impede significantly the effectiveness of investigatory activities.

DOL/ETA-18

System name:

Analysis of Delayed and Never Filers for Unemployment Insurance.

System location:

ABT Associates, Inc., Cambridge, MA.

Categories of individuals covered by the system:

Individuals in employment covered by the unemployment insurance system, unemployment insurance claimants.

Categories of records in the system:

Name, wage information, unemployment insurance claims information, questionnaire responses supplied by the individual, and SSN supplied by the individual.

Authority for maintenance of the system:

Sec. 906 of the SSA, 42 USC 1106.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

None.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

When questionnaire responses have transferred to tape, questionnaires will be destroyed.

Retrievability:

By name until merger of data sources has been completed.

Safeguards:

ABT Associates research staff have files access.

Retention and disposal:

Questionnaires will be destroyed after responses have been transferred to tape. When all necessary cross references and file mergers of state agency administrative information and questionnaire data have been completed, personal identifiers will be destroyed. Data tapes provided to the Federal government will have no personal identifiers.

System manager(s) and address:

Project Director, ABT Associates, Inc., Cambridge, MA.

Notification procedure:

As above.

Record access procedures:

As above.

Contesting record procedures:

As above.

Record source categories:

State employment security agency quarterly wage files and unemployment insurance claim files, information voluntarily submitted by questionnaire respondents. Source of mailing addresses for nonfilers to be determined.

Systems exempted from certain provisions of the act:

Under the specific exemption authority provided by 5 U.S.C. 552a(k)(4), exempting this system from the following provisions of the Privacy Act: 5 U.S.C. 552a(c), 3(d), (e)(1), (e)(4) (G), (H), (I), and (f) of the Act. The sole purpose in collecting the information contained in the system is for the preparation of a statistical report under sec. 906 of the Social Security Act. The information will not be used in whole or in part in making any determination about an identifiable individual. Identifiable information will be destroyed after all necessary cross references have been accomplished and the resulting data will be transmitted by the contractor to the Federal Agency without personal identifiers.

DOL/ETA-19

System name:

Impact of Disqualifications Provisions of State Unemployment Insurance Laws.

System location:

Stanford Research Institute, Menlo Park, CA.

Categories of individuals covered by the system:

Disqualified unemployment insurance claimants and unemployment insurance beneficiaries.

Categories of records in the system:

Personal and labor force characteristics of unemployment insurance claimants.

Authority for maintenance of the system:

SSA, sec. 906, 42 USC 1106.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

None.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Magnetic tape.

Retrievability:

Indexed by contractor's control number.

Safeguards:

Locked file cabinets.

Retention and disposal:

Questionnaires and master file of names of respondents are destroyed after data is entered into computer.

System manager(s) and address:

Project Director, Center for the Study of Welfare Policy, Stanford Research Institute, Menlo Park, CA.

Notification procedure:

As above.

Record access procedures:

As above.

Contesting record procedures:

As above.

Record source categories:

State agency records containing unemployment insurance data, and data voluntarily submitted by unemployment insurance claimants.

Systems exempted from certain provisions of the act:

Under the specific exemption authority provided by 5 U.S.C. 552a(k)(4), exempting this system from the following provisions of the Privacy Act: 5 U.S.C. 552a(c)(3), (d), (e)(1), (e)(4) (G), (H), (I), and (f) of the Act. The sole purpose in collecting the information contained in the system is for the preparation of a statistical report under sec. 906 of the Social Security Act. The information will not be used in whole or in part in making any determination about an identifiable individual. Indentifiable information will be destroyed after all necessary cross references have been accomplished and the resulting data will be transmitted by the contractor to the Federal Agency without personal identifiers.

DOL/ETA-20

System name:

Federal Bonding Program, Bondees Certification Files.

System location:

Punch Card Processing Co., 6875 New Hampshire Ave., Takoma Park, MD, 20012, and the McLaughlin Co., Suite 514, 2000 L St. NW, Washington, DC. 20036.

Categories of individuals covered by the system:

State Job Service applicants who are eligible and need bond to get a job.

Categories of records in the system:

Personal (name, SSN, employer name), employment data, (DOT and SIC codes), employer data (address, city, State ZIP code), amount of bond (expressed in 500 units), cost of bond (expressed in units), effective date of bond, and termination date of bond.

Authority for maintenance of the system:

CETA of 1973, as amended, Title II, Part B, Sec. 211(9); and Title III, Part A, Sec. 301(b)(2).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

None.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Disk Operated System (DOS) and printout.

Retrievability:

Assigned Bond Number.

Safeguards:

Located in locked offices of Federal, State, and private buildings.

Retention and disposal:

States & Regions dispose of data 3 years and older; punch card processing keeps master DOS of all bondees prior to 1980.

System manager(s) and address:

Chief, Division of Special National Level Programs, ETA, Office of Employment and Training Programs, Patrick Henry Building, 601 D St. NW, Washington, D.C. 20213.

Notification procedure:

As above.

Record access procedures:

As above.

Contesting record procedures:

As above.

Record source categories:

Federal Bonding Program, Bondees Certification Files.

DOL/OIG-1

System name:

General Investigative Files, Case Tracking Files, and Subject/Title Index, USDOL/OIG.

System location:

In the Headquarters Office of the Inspector General, U.S. Department of Labor, 200 Constitution Avenue, NW, Washington, D.C. 20210, and in the OIG Investigative Field Offices.

Categories of individuals covered by the system:

DOL employees, applicants, contractors, subcontractors, grantees, subgrantees, claimants, individuals threatening DOL employees or the Secretary of Labor, alleged violators of Labor laws and regulations, union officers, individuals investigated and interviewed, and individuals filing claims for workers' compensation benefits under (1) the Federal Employees' Compensation Act, and amended and extended (5 U.S.C. 8101 et seq.) (except 8149 as it pertains to the Employees' Compensation Appeals Board) (2) the Longshoremen's and Harbor Workers' Compensation Act as amended and extended (33 U.S.C. 901 et seq.) (except 33 U.S.C. 912(b) as it applies to the Benefits Review Board) and (3) Title IV, Section 415 and Part C, of the Federal Coal Mine Health and Safety Act of 1969, as amended by the Black Lung Benefits Act of 1972, 30 U.S.C. 901 et seq.; individuals providing medical and other services to OWCP; employees of insurance companies and of medical and other services provided to OWCP; and other persons suspected of violations of law under the above acts and related civil and criminal provisions.

Categories of records in the system:

The system contains investigative files regarding possible violations of Federal law whether civil or criminal, resolution of criminal or conduct violations, investigatory index file cards, information relating to investigations under the LMRDA-1959 and EO 11491 and information concerning possible violations of (1) the Federal Employees' Compensation Act and related Acts (2) the Longshoremen's and Harbor Workers' Compensation Act and related Acts and (3) Title IV, Section 415 and Part C, of the Federal Coal Mine Health and Safety Act of 1969, as amended by the Black Lung Benefits Act of 1972, 30 U.S.C. 901 et seq. This information may be derived from records filed with the Department of Labor, other Federal, state and local departments and agencies, court records, medical records, insurance records, records of employers, articles from publications, published financial data, corporate information, bank information, telephone data, statements of witnesses information received from Federal, state, local and foreign regulatory and law enforcement organizations and from other sources, the records also contain information obtained by DOL investigators, auditors, and other government personnel and consultants involved in investigations.

Authority for maintenance of the system:

EO 11222, EO 11491, LMRDA-1959, 5 U.S.C. 301, 5 U.S.C. 8101 et seq.; 20 CFR 1.1 et seq.; 33 U.S.C. 901 et seq.; 20 CFR 701 et seq.; 36 U.S.C. 501 et seq.; 42 U.S.C. 1951 et seq.; 43 U.S.C. 1331 et seq.; 5 U.S.C. 8171 et seq.; 30 U.S.C. 901 35 et seq.; 20 CFR 715 et seq.; 20 CFR 720.1 et seq.; 20 CFR 725.1 et seq. and Pub. L. 95-452.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Information may be disclosed to other Federal, state and local law enforcement agencies for civil or criminal law enforcement, including the Justice Department regarding potential litigation and during the course of actual litigation. These records may be disclosed to other Federal agencies for hiring or retention of employees; security clearances; letting of contracts; and issuances of licenses, grants or other benefits. The records may be disclosed to participants in the President's Anti-Organized Crime Program, and also as part of any proceeding where the Federal Employees' Compensation Act and related Acts, Longshoremen's and Harbor Worker's Compensation Act and related Acts, Title IV, Section 415 and Part C, of the Federal Coal Mine Health and Safety Act of 1969, as amended by the Black Lung Benefits Act of 1972 is in issue. The records may be disclosed as part of any proceeding in which the Secretary of Labor, or any past or present Federal employee or consultant directly or indirectly involved in investigations or other enforcement activities under the above Acts, is a party or otherwise involved in an official capacity. In addition, records may also be provided to (1) the Merit Systems Protection Board, (2) the Office of Personnel Management, (3) any source from which information is requested in the course of an investigation, to the extent necessary to identify the individual being investigated, inform the source of the nature and purpose of the investigation, and to identify the type of information requested, (4) disclose, as necessary, to a contractor, subcontractor, or grantee firm of or organization to the extent that the disclosure is in USDOL's interest and is relevant and necessary in order that the contractor/subcontractor/grantee is able to take administrative or corrective action; and (5) disclose information to Federal, state or local agencies for their use in granting, amending or revoking a certification or license.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

The information is maintained both as written records stored in manual case files and on 3 x 5 card files, punch cards, disc/magnetic tapes, and computer printed listings. The investigative files and indices are stored in steel file and lektriever cabinets or in Federal Records Centers (FARC). The records are maintained in limited access areas during duty hours and in locked offices at all other times.

Retrievability:

The written case records are indexed by case number, while the file cards are indexed by subject name. The automated records are retrieved by using batch retrieval applications.

Safeguards:

Direct access is restricted to authorize staff members of the OIG. Access within DOL is limited to the Secretary, Under-Secretary, Inspector General, and other officials of employees on a need-to-know basis. Automated records can be accessed only through use of confidential procedures and passwords.

Retention and disposal:

Investigative case files are retained for 15 years after completion of the investigation and/or actions based thereon, and then destroyed. Index and cross-indexed cards are retained permanently. In instances of computer matching of files, only those records which meet predetermined criteria for investigations are maintained. All records which do not meet these criteria are destroyed. All original source computer tapes are returned or destroyed once computer matching has been accomplished.

System manager(s) and address:

Assistant Inspector General for Investigations and Directors, OOCR Program, Office of Inspector General, U.S. Department of Labor, 200 Constitution Avenue, NW, Room S-1303, Washington, D.C. 20210.

Notification procedure:

Mail all inquiries to: Director of Information, Privacy & MIS, OIG, 200 Constitution Avenue, NW, Washington, D.C. 20210.

Record access procedures:

Investigatory data compiled for civil or criminal law enforcement purposes are exempt from the provisions pursuant to 5 U.S.C. 552a(j) and (k). Individuals desiring to contest or amend information maintained in the system should direct their requests to the System Manager listed above, stating clearly and concisely what information is being contested, the reasons for contesting it and the proposed amendment to the information sought.

Contesting record procedures:

Same as above.

Record source categories:

The information contained in this system was received from individual complaints, witnesses, interviews conducted during investigations, respondents, Federal, state and local government records, individual or company records, claim and payment files, employees, insurers, service providers, grantees, subgrantees, contractors and subcontractors.

Contesting record procedures:

Same as above.

Systems exempted from certain provisions of the act:

a. Criminal Law Enforcement: In accordance with paragraph 3(j)(2) of the Privacy Act, information maintained in the files of the Office of Inspector General is exempt from all provisions contained in 5 U.S.C. 552a except those requirements set forth in paragraphs (b), (c) (1) and (2), (e)(4) (A) through (F), (e) (6), (7), (9), (10) and (11), and paragraph (i) of the Act. A function of OIG is that of enforcement of criminal laws within (1) the meaning of 5 U.S.C. 552a(j)(2), and (2) the provisions of the President's Anti-Organized Crime Program and Titles II, V, and VI of the Labor-Management Reporting and Disclosure Act of 1959; as amended. The disclosure of information contained in the criminal investigative files, including the names of persons or agencies to whom the information has been transmitted, would substantially compromise the effectiveness of OIG investigations. Knowledge of such investigations could enable suspects to take such action as is necessary to prevent detection of criminal activities, conceal evidence, or to escape prosecution. Disclosure of this information could lead to the intimidation of, or harm to, informants, witnesses, and their respective families, and could jeopardize the safety and well-being of investigative personnel and their families. This imposition of certain restrictions on the manner in which investigative information is collected, verified or retained would impede significantly the effectiveness of OIG investigatory activities and in addition, may preclude the apprehension and successful prosecution of persons engaged in fraud or criminal activity.

b. Other Law Enforcement: In accordance with paragraph 3(k)(2) of the Privacy Act, investigatory material compiled for law enforcement purposes other than material declared exempt under paragraph 3(j)(2) of the Act, including certain material compiled from reciprocal investigations, which is maintained in OIG investigative files is exempt from paragraphs (c)(3), (d), (e)(4) (G), (H) and (I), and (f) of 5 U.S.C. 552a, until such time as a determination is made based upon such information. The disclosure of information contained in civil investigative files, including names of persons and agencies to whom the information has been transmitted would substantially compromise the effectiveness of OIG investigations. Knowledge of such investigations would enable subjects to take such action as is necessary to prevent detection of illegal activities, conceal evidence, or otherwise escape civil enforcement action. Disclosure of this information could lead to the intimidation of, or harm to informants, witnessess, and their respective families, and in addition, could jeopardize the safety and well-being of investigative personnel and their families. The imposition of certain restrictions on the manner in which investigative information is collected, verified, and retained would also impede significantly the effectiveness of OIG investigatory activities.

c. Protective service: In accordance with paragraph 3(k)(3) of the Act, OIG investigatory material maintained in connection with assisting the U.S. Secret Service (USSS) to provide protective service to the President of the United States or other individuals pursuant to Section 3056 of Title 18 is exempt from paragraph (c)(3), (d), (e)(4) (G), (H), and (I) and paragraph (f) of the Act. This exemption will enable OIG to continue its support of the U.S. Secret Service without compromising the effectiveness of either agency's activities.

d. Contract Investigations: In accordance with paragraph 3(k)(5) of the Act, investigatory material compiled in connection with contract investigations solely for the purpose of determining integrity, suitability, eligibility, or qualifications for a DOL contract is exempt from paragraphs (c)(3), (d) and (f) of the Act to the extent that disclosure of such material would reveal the identity of a confidential source when an express promise has been given to withhold the identity of the source (or prior to September 27, 1975, under an implied promise that the sources identity would not be revealed). This exemption is necessary for OIG to collect information from certain sources who would otherwise be unwilling to provide information necessary to conduct such investigations.

DOL/OIG-2

System name:

Freedom of Information/Privacy Acts Records.

System location:

Freedom of Information/Privacy Acts Disclosure Officer, Office of Inspector General, 200 Constitution Avenue, NW, Room S-5512, Washington, D.C. 20210.

Categories of individuals covered by the system:

Persons who request disclosure of records pursuant to the Freedom of Information Act, persons who request access to or correction of records pertaining to themselves contained in the Office of Inspector General's systems of records pursuant to the Privacy Act; and, where applicable, persons about whom records have been requested or about whom information is contained in requested records.

Categories of records in the system:

The system contains (1) copies of all correspondence and internal memorandums related to the Freedom of information Act and Privacy Act requests, and related records necessary to the processing of such requests; (2) copies of all documents relevant to appeals and lawsuits under the Freedom of Information and Privacy Acts.

Authority for maintenance of the system:

Freedom of Information Act, 5 U.S.C. 552, and the Privacy Act, 5 U.S.C. 552a.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

A record maintained in this system may be disseminated as a routine use of such records as follows: (1) A record may be disseminated to a Federal agency which furnished the record for the purposes of permitting a decision as to access or correction to be made by that agency, or for the purpose of consulting with that agency as to the propriety of access or correction; (2) a record may be disseminated to any appropriate Federal, state, local, foreign agency for the purpose of verifying the accuracy of information submitted by an individual who has requested amendment or correction of records contained in the systems of records maintained by the Freedom of Information/Privacy Acts Disclosure Officer; and (3) a record from this system of records may be disclosed as a routine use to the National Archives and Records Administration (NARA) in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

The records in this system are maintained in standard case file folders and in corresponding control log/cards.

Retrievability:

A record is retrieved by the name of the individual or person making a request for access or correction of records.

Safeguards:

This system of records is maintained at OIG Headquarters which is protected by twenty-four hour guard service. In addition, the system is stored in Conserva-File(s) and Safe(s) and access is restricted to the staff of the Freedom of Information/Privacy Acts Disclosure Officer on a need-to-know basis.

Retention and disposal:

Individual case files are disposed of in accordance with General Records Schedule 14, items 16-25.

System manager(s) and address:

Director of Information, Privacy and Management Information Systems, Office of Inspector General, 200 Constitution Avenue, NW, Room S-5512, Washington, D.C. 20210.

Notification procedure:

A part of this system is exempted from this requirement under 5 U.S.C. 552a (j) or (k). To the extent that this system of records is not subject to exemption, it is subject to access and contest. A determination as to exemption shall be made at the time a request is received by the Office of Inspector General, 200 Constitution Avenue, NW, Washington, D.C. 20210. A request shall be made in writing, with envelope and the letter clearly marked "Privacy Request".

Record access procedures:

Same as Notification Procedures above.

Contesting record procedures:

Same as Notification Procedures above except individuals desiring to contest or amend information maintained in the system should direct their written request to the System Manager listed above, and state clearly and concisely what information is being contested, the reasons for contesting it, and the proposed amendment to the information sought.

Record source categories:

Sources of information contained in this system are the individuals and persons making requests, the systems of records searched in the process of responding to requests, and other agencies referring requests for access or correction of records originating in the Office of Inspector General.

DOL/OIG-3

System name:

Case Development Records.

System location:

In the Headquarters Office(s) in the USDOL Building, 200 Constitution Avenue, NW, Washington, D.C. 20210 and in the OIG offices listed in the System of Records designated USDOL/OIG-1.

Categories of individuals covered by the system:

Known individuals or individuals suspected of being involved in Organized Crime Labor Racketeering and Informants.

Categories of records in the system:

Records containing names, individuals, occupations, other information about known individuals or individuals suspected of being involved in Organized Crime Labor Racketeering, their business dealings and allegations against them; and types of information previously furnished by or to be expected from informants.

Authority for maintenance of the system:

5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine uses for law enforcement purposes will include referral to the appropriate agency, whether Federal, state, local or foreign, charged with the responsibility of investigating or prosecuting a violation of law or of enforcing or implementing the statute, rule, regulation, or order issued pursuant thereto, of any record within this system when information available indicates a violation of law or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by rule, regulation, or order issued pursuant thereto.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Stored on sheets of papers/index cards and or computer discs or tapes.

Retrievability:

Retrievable by name of individual subject.

Safeguards:

Available on an official need-to-know basis and kept in locked storage when not in use.

Retention and disposal:

Kept indefinitely and continually updated.

System manager(s) and address:

Office of Organized Crime and Labor Racketeering Directors, OIG/DOL, Washington, D.C. 20210. Inquiries and requests should be addressed to: Director of Information, Privacy and Management Information Systems, USDOL, Office of Inspector General, 200 Constitution Avenue, NW, Washington, D.C. 20210.

Systems exempted from certain provisions of the act:

This system has been exempted from the provisions of sections (c) (3), (4), (d), (e) (1), (2) and (3), (e)(4) (G), (H), (e)(5) and (8)-(f), and (h) pursuant to 5 U.S.C. 552a (j) and (k), as investigatory material compiled for law enforcement purposes.

DOL/OIG-4

System name:

Temporary Matching Files, Loss Analysis Files.

System location:

Office of the Inspector General, U.S. Department of Labor, Frances Perkins Building, 200 Constitution Avenue, NW, Washington, D.C. 20210.

Categories of individuals covered by the system:

DOL employees, contractors, subcontractors, union officials, and those individuals or organizations filing for or receiving benefits from a program funded or operated in whole or in part by the Department of Labor—including grantees, subgrantees, claimants, representatives, beneficiaries and their dependents, providers of medical, legal or other services.

Categories of records in the system:

Records contain information which may be pertinent to the possible illegal or questionable practices of individuals or organizations as regards their connection with the Department of Labor. This information may be derived from records filed with or compiled by the Department of Labor or other Federal, state or local government agencies, records of contractors, subcontractors, grantees, subgrantees, records of employers, records of employee organizations, court records, medical records, insurance records, published data, corporate data, bank data, or information obtained from individuals with pertinent knowledge.

Authority for maintenance of the system:

5 USC 301 and 5 USC 552a.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

These records may be disclosed to other Federal agencies for hiring or retention of employees; security clearances; letting of contracts; and issuances of licenses, grants or other benefits.

In the event that a system of records maintained by this agency indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute or by regulation, rule or order issued pursuant thereto, the relevant records may be referred to the appropriate agency, whether Federal, state or local, charged with the responsibility of investigating, enforcing or implementing the statute, rule, regulation or order issued pursuant thereto.

Disclosure may be made as necessary to a Federal, state, or local government agency, to a government contractor, subcontractor or grantee, to labor unions and insurance carriers or to a provider of medical or other services to the extent that the disclosure is necessary in order that the appropriate organization may take administrative or corrective action to improve program integrity.

Disclosure may be made to the Congress when the appropriate Departmental official determines that the information may be relevant to the deliberations of Congress.

A record from this system may be disclosed as a "routine use" to a Federal, state or local agency maintaining pertinent records if necessary to obtain a record relevant to a Department decision concerning the determination of initial or continuing eligibility for program benefits.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

The records are stored on computer disks/tapes and computer printed listings.

Retrievability:

The records in this system are retrieved by computer and manually using name, social security number or other personal identifier.

Safeguards:

Direct access is restricted to authorized staff members of the OIG. Access within DOL is limited to the Secretary, Under Secretary, Inspector General and other officials or employees on a need-to-know basis. Automated records can be accessed only through use of confidential procedures and passwords.

Retention and disposal:

Original source data will be maintained for a maximum of three years and will then be either returned or destroyed. For internally generated data, only those records which meet predetermined criteria will be maintained. Records which do not meet those criteria will be destroyed. At the minimum, records retention periods will meet the specifications of USDOL records schedules.

System manager(s) and address:

Director, Office of Loss Analysis and Prevention, Office of Inspector General, U.S. Department of Labor, 200 Constitution Avenue, NW, Washington, D.C. 20210. Inquiries and requests should be addressed to Director of Information, Privacy and Management Information Systems, USDOL, Office of the Inspector General, 200 Constitution Avenue, NW, Washington, D.C. 20210.

Record source categories:

Information contained in this system is obtained from Federal, state and local government records, individual or company records, industrial or trade union records, employees, insurers, service providers, grantees, subgrantees, contractors, subcontractors.

Systems exempted from certain provisions of the act:

This system has been exempted from the provisions of section (c)(3), (d), (e)(1), (e)(2), (e)(3), (e)(4) (G), (H), and (I) and (f) pursuant to 5 U.S.C. 552a(j)(k).

DOL/OIG-5

System name:

Investigative Case Tracking System/Audit Tracking System, USDOL/OIG.

System location:

Office of Inspector General, U.S. Department of Labor, Frances Perkins Building, 200 Constitution Avenue, NW, Washington, D.C. 20210 and Regional Offices.

Categories of individuals covered by the system:

Auditors, investigators and certain administrative support staff assigned to the Office of Inspector General.

Categories of records in the system:

Records or information contained in the system may include: (1) Individual's name; (2) Social Security Number; (3) grade/step; (4) training; (5) details; (6) audit and investigative case tracking data (e.g. audit/investigative case number, program, findings, results, etc.) on audits/investigations.

Authority for maintenance of the system:

Pub. L. 95-452.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

None.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Stored on magnetic disks with backup records on magnetic tape. Records are also stored on computer print-outs and manual source document(s).

Retrievability:

Records are retrieved by computer using individual name(s).

Safeguards:

Direct access is restricted to authorized staff members of the OIG. Automated records can be accessed only through use of confidential procedures and passwords by authorized personnel in both OIG Headquarters and Regional Offices.

Retention and disposal:

Records will be maintained and disposed of in accordance with records disposition authority approved by the Archivist of the United States.

System manager(s) and address:

ICTS—Assistant Inspector General—Investigations, Room S-5512, FPB, 200 Constitution Avenue, NW, Washington, D.C. 20210.

ATS—Assistant Inspector General—Audit, Room S-5030, FPB, 200 Constitution Avenue, NW, Washington, D.C. 20210.

Notification procedure:

Individuals seeking information concerning the existence of records or the contents of records on himself/herself must furnish a written request to the OIG Disclosure Officer, Room S-1303, 200 Constitution Avenue, NW, Washington, D.C. 20210.

Record access procedures:

See notification procedure above.

Contesting record procedures:

See notification procedure above.

Record source categories:

Official personnel folders; other personnel documents; activity supervisors; audit/investigation report standard forms.

DOL/LMSA-1

System name:

LMSE index cards and case files, Division of Compliance and Enforcement.

System location:

U.S. Department of Labor, 200 Constitution Avenue, NW, Room N-5101, Washington, D.C. 20216, all Area Offices.

Categories of individuals covered by the system:

Union Officers, individuals investigated, and individuals interviewed.

Categories of records in the system:

Primarily investigative material relating to investigations under the LMRDA-1959 and CSRA.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Information is disclosed to other Federal, state and local law enforcement agencies, to various congressional committees, including but not limited to reports of investigation, reports of interview and memoranda relating to investigations, and intelligence information.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Manual file.

Retrievability:

By name of individual.

Safeguards:

Cards are in roladex machine which is locked at night. In addition, cards are number-coded so that only an authorized employee can find a desired file.

Retention and disposal:

Cards will be retained by LMSE until they can be incorporated into the LMSE records disposition schedule. Files are kept for three years, at which time they are sent to Federal Records Center for two years after which except for those records with historical value are destroyed.

System manager(s) and address:

Director, LMSE, U.S. Department of Labor, 200 Constitution Avenue, Room N5408, Washington, D.C. 20216.

Notification procedure:

Mail all inquiries to Systems Manager at above address.

Record access procedures:

As above.

Contesting record procedures:

As above.

Record source categories:

Information compiled from interviews conducted during investigations, written complaints, and written reports received from other agencies.

Systems exempted from certain provisions of the act:

a. Criminal law enforcement: In accordance with paragraph 3(j)(2) of the Privacy Act, information maintained in the system of records consisting of the card index and case files in the Division of Compliance and Enforcement of the Office of Labor-Management Standards Enforcement which relates to criminal investigations is exempt from all provisions contained in 5 U.S.C. 552a except those requirements set forth in paragraphs (b), (c) (1) and (2), (e)(4) (A) through (F), (e) (6), (7), (9), (10) and (11), and paragraph (i) of the Act. One of the three branches in the Division of Compliance and Enforcement perform activities primarily relating to the enforcement of criminal laws and Titles II, V, and VI of the Labor-Management Reporting and Disclosure Act of 1959, as amended. The disclosure of information contained in the criminal investigative files, including the names of persons or agencies to whom the information has been transmitted, would substantially compromise the effectiveness of the Division's investigations. Knowledge of such investigations could enable subjects to take such action as is necessary to prevent detection of criminal activities, conceal evidence, or to escape prosecution. Disclosure of this information could lead to the intimidation of, or harm to, informants, witnesses and their respective families, and could jeopardize the safety and well-being of investigative personnel and their families. The imposition of certain restrictions on the manner in which investigative information is collected, verified, or retained would impede significantly the effectiveness of the Division's investigatory activities and in addition, may often preclude the apprehension and successful prosecution of persons engaged in criminal activity in the labor-management area b. Other law enforcement: In accordance with paragraph 3(k)(2) of the Privacy Act, investigatory material compiled for law enforcement purposes other than material declared exempt under paragrpah 3(j)(2) of the Act, which is maintained in the card index and case files of the Division of Compliance and Enforcement of the Office of Labor-Management Standards Enforcement is exempt from paragraphs (c)(3), (d), (e)(4) (G), (H) and (I), and paragraph (f) of 5 U.S.C. 552a. The disclosure of information contained in civil investigative files, including the names of person or agencies to whom the information has been transmitted, would substantially compromise the effectiveness of the Division's investigations. Knowledge of such investigations would enable subjects to take such action as is necessary to prevent detection of illegal activities, conceal evidence, or otherwise escape civil enforcement action. Disclosure of this information could lead to the intimidation of, or harm to, informants, witnesses, and their respective families, and, in addition, could jeopardize the safety and well-being of investigative personnel and their families. The imposition of certain restrictions on the manner in which investigative information is collected, verified, or retained would also impede significantly the effectiveness of the Division's investigatory activities.

DOL/LMSA-3

System name:

OVRR Inquiry Files.

System location:

U.S. Department of Labor, 200 Constitution Avenue, NW., Room N5414, Washington, D.C. 20210.

Categories of individuals covered by the system:

Veterans, Reservists and members of the National Guard of the U.S. Armed Forces, labor organizations and Congressmen.

Categories of records in the system:

General inquiries and inquiries involving pending cases pertaining to military service, training, employment, personal, medical, financial, educational or union membership information.

Authority for maintenance of the system:

Chapter 43 of Title 38, U.S. Code and predecessor statutes.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Referral to other agencies and organizations for appropriate action.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Manual files.

Retrievability:

By name of veteran and geographical location.

Safeguards:

Any request for disclosure is screened by Office Director.

Retention and disposal:

Records are maintained for 3 years in National Office and then transferred to Federal Record Center where they are retained for 7 years and then destroyed.

System manager(s) and address:

Director, OVRR, 200 Constitution Avenue, NW., Room N5414, Washington, D.C. 20210.

Notification procedure:

As above.

Record access procedures:

As above.

Contesting record procedures:

As above.

Record source categories:

Correspondent.

DOL/LMSA-4

System name:

PWBP—Office of Enforcement Index Card File.

System location:

U.S. Department of Labor, 200 Constitution Avenue, NW., Room N-4716, Washington, D.C. 20216.

Categories of individuals covered by the system:

Plan administrators, trustees, and those individuals providing advice or services to the plan and other individuals involved in investigations and enforcement actions instituted by the Department of Labor under the Employee Retirement Income Security Act of 1974.

Categories of records in the system:

Information including plan name, plan administrator's name, service provider name, trustees and plan participant or beneficiary's name.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The index cards are used to access case files and correspondence files which may in turn be used for the following purposes:

1. By Department of Justice, Treasury Department, Commerce Department and other Federal government personnel and consultants investigating possible violations of the Employee Retirement Income Security Act of 1974.

2. In any proceeding where the Employee Retirement Income Security Act of 1974 is in issue or in which the Secretary of Labor, any past or present Federal employee or consultant directly or indirectly involved in investigations or other enforcement activities under the Employee Retirement Income Security Act of 1974, is a party or otherwise involved in an official capacity.

3. When considered appropriate and pursuant to 29 U.S.C. 1134(a), records in this system concerning any matter which is the subject of an investigation by the Department of Labor under the Employee Retirement Income Security Act of 1974 may be available to any person actually affected by the matter under investigation, and to any department or agency of the United States.

4. Where there is an indication of a violation or potential violations of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, State, local or foreign, or, if such agency is participating in the particular investigation, the relevant records may continue to be used by the agency to investigate possible violations of the laws administered by it and to bring appropriate proceedings.

5. A record from this system of records may be disclosed to a Federal, State, local or foreign governmental authority, in response to its request in the connection with the hiring or retention of an employee, in the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant or benefit by the requesting to the extent that the information is relevant and necessary to the requesting agency's decision on the matter.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

3 x 5 index cards.

Retrievability:

Retrieved by name of plan, participant or beneficiary's name, service provider name, and/or trustee name. All cards are filed alphabetically.

Safeguards:

Access to and use of these records is limited to those persons whose official duties require access.

Retention and disposal:

Records will be retained by PWBP until they can be incorporated into the PWBP records disposition schedule.

System manager(s) and address:

Assistant Administrator, Pension and Welfare Benefit Programs, Department of Labor, LMSA, 200 Constitution Avenue, NW, Room S-4522, Washington, D.C. 20216.

Notification procedure:

Request should be submitted to above address, it should include the name, address and employee benefit plan association, identifying the employee benefit plan by name, address and EIN (if known).

Record access procedures:

As above.

Contesting record procedures:

As above.

Record source categories:

Cases opened in the Office of Enforcement or in any of the field offices of LMSA and other material and documents received in the Office of Enforcement.

Systems exempted from certain provisions of the act:

Other Law Enforcement. In accordance with subsection (k)(2) of the Privacy Act, any investigatory material maintained in the index and investigatory files of the Office of Enforcement, Pension and Welfare Benefit Programs, which is deemed not to be exempt under subsection (j)(2) of the Act is exempt from subsection (c)(3), (d), (e)(1), (e)(4) (G), (H), and (I) and (F) of 5 U.S.C. 552a. The disclosure of information contained in such investigative files including the names of persons or agencies to whom the information has been transmitted, would substantially compromise the effectiveness of the subject investigative activity. Knowledge of such investigations would enable subjects to take such action as is necessary to prevent detection of illegal activities, conceal evidence, or otherwise escape enforcement action. Disclosure of this information could lead to the intimidation of, or harm to, informants, witnesses and their respective families, and in addition, could jeopardize the safety and well-being of investigative personnel and their families. The imposition of certain restrictions on the manner in which investigative information is collected, verified, or retained would also impede significantly the effectiveness of the investigatory activities of the Office of Enforcement.

Material relating to criminal law enforcement [(j)(2)] is exempted from the provisions of the Act except subsections (b), (c)(1) and (2),(e)(4)(A) through (F) (e)(6), (7), (9), (10) and (11) and paragraph (i) of the Act. Disclosure of this material could enable the subject of the record to evade prosecution and could, in addition, jeopardize the safety and welfare of investigators, witnesses, informants and their respective families.

DOL/LMSA-5

System name:

Executive Secretary/Advisory Council on Employee Welfare and Pension Benefit Plans.

System location:

U.S. Department of Labor, 200 Constitution Avenue, NW., Room S4522, Washington, D.C. 20210.

Categories of individuals covered by the system:

Private persons who are members or have been recommended for appointment to the Advisory Council on Employee Welfare and Pension Benefit Plans.

Categories of records in the system:

Biographical and personal data, background files on members and proposed members.

Authority for maintenance of the system:

Section 512, Title I, Employee Retirement Income Security Act of 1974.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Material used to a limited extent by other agencies within the Executive Branch of the U.S. Government.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Retrievability:

Filed alphabetically by names, manually retrievable.

Safeguards:

Maintained by Executive Secretary of the Advisory Council, available or accessible only to limited Executive Staff members of LMSA and O/Secy.

Retention and disposal:

Remove from active file upon termination of individuals membership, hold three years, then destroy.

System manager(s) and address:

Administrator, Pension and Welfare Benefit Plans, Department of Labor, 200 Constitution Avenue, NW, Washington, D.C. 20210.

Notification procedure:

Request should be submitted to above address.

Record access procedures:

As above.

Contesting record procedures:

As above.

Record source categories:

Primarily from the individual concerned, although in some instances from groups or entities making recommendations for Council membership.

DOL/LMSA-6

System name:

Labor-Management Relations-Inquiries from Congressmen and Private Citizens.

System location:

U.S. Department of Labor, Room S2203, 200 Constitution Avenue, NW, Washington, D.C. 20210.

Categories of individuals covered by the system:

Congressmen, Senators, and general public.

Categories of records in the system:

General inquiries regarding pension benefits, unfair labor practice complaints, violations of standards of conduct for labor organizations, employee protection under UMTA, strike force activities, veterans reemployment rights, and policy advice and research on labor-management relations problems.

Authority for maintenance of the system:

Employee Retirement Income Security Act of 1974—Labor Management Reporting & Disclosure Act of 1959, Civil Service Reform Act: Vietnam Era Veterans Readjustment Assistance Act of 1974.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

None.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are maintained in file cabinets.

Retrievability:

Indexed alphabetically by name.

Safeguards:

Access limited to Assistant Secretary's staff.

Retention and disposal:

Records are retained one year after the Assistant Secretary retires, and then records are retired to the National Archives.

System manager(s) and address:

Assistant Secretary for Labor-Management Relations, Room S2203, 200 Constitution Avenue, NW, Washington D.C. 20210.

Notification procedure:

As above.

Contesting record procedures:

Same as above.

Record source categories:

Congressional and Public correspondence.

DOL/LMSA-7

System name:

Veterans' Reemployment Rights Complaint File.

System location:

LMSA Area offices, LMSA Regional offices, OVRR National Offices, Regional Solicitors' offices, National Solicitor's office.

Categories of individuals covered by the system:

Veterans of or rejectees from military service or reservists/National Guardsmen.

Categories of records in the system:

Military service, medical employment.

Authority for maintenance of the system:

38 U.S.C. 2021 et seq.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Sent to Department of Justice, United States Attorneys.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Manual.

Retrievability:

Name.

Safeguards:

Locked room and locked cabinets.

Retention and disposal:

Records will be retained by OVRR until incorporated into the OVRR records disposition schedule.

System manager(s) and address:

U.S. Department of Labor, Office of Veterans Reemployment Rights, Room N5414, 200 Constitution Avenue, NW, Washington, D.C. 20216.

Notification procedure:

As above.

Record access procedures:

As above.

Contesting record procedures:

As above.

Record source categories:

Veterans, employees, Department of Defense, Veterans Administration, physicians, fellow employees, union officers.

DOL/LMSA-19

System name:

Private Pension Plan Benefit Payments.

System location:

U.S. Department of Labor, 200 Constitution Avenue, NW, Washington, D.C. 20210.

Categories of individuals covered by the system:

Retirees, Terminated Employees and Beneficiaries.

Categories of records in the system:

Data collected in field survey and transferred into magnetic tape and linked to social security records.

Authority for maintenance of the system:

Chapter 43 of Title 38, United States Code and predecessor statutes.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

None.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Magnetic tape.

Retrievability:

Indexed by social security number. After matching retrievable with no individual identifications.

Safeguards:

Tapes and other documents containing the personal information are to be accessible only to personnel working to create the data base. Materials are not to be used for any other purpose. Individual identifiers are to be removed from magnetic tapes upon completion of matching.

Retention and disposal:

Records will be retained by PWBP until they can be incorporated into the PWBP records disposition schedule.

System manager(s) and address:

Assistant Administrator, Pension and Welfare Benefit Programs, Labor-Management Services Administration, U.S. Department of Labor, 200 Constitution Avenue, NW, Washington, D.C. 20216.

Notification procedure:

As above.

Record access procedures:

As above.

Contesting record procedures:

As above.

Record source categories:

Pension plan records of private pension plan administrators.

DOL/LMSA-20

System name:

LMSA, Division of Employee Protection.

System location:

U.S. Department of Labor, 200 Constitution Avenue, NW, Room N-5677, Washington, D.C. 20216.

Categories of individuals covered by the system:

Redwood Employee Protection Program Applicants.

Categories of records in the system:

Financial, medical, and personal information concerning applicant.

Authority for maintenance of the system:

Pub. L. 95-250.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Information can be shared with the following agencies: California Economic Development Department; all participating and non-participating Health & Welfare Trusts, Administrators, and Pension Insurance Carriers; prospective employers of affected employees, and other interested parties.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Legal and letter size folders.

Retrievability:

Filed manually, alphabetically.

Safeguards:

Maintained in National Office of LMSA, accessible to program personnel only.

Retention and disposal:

Records will be retained by LMRS until they can be incorporated into the LMRS records disposition schedule.

System manager(s) and address:

Program Officer, Redwood Program, U.S. Department of Labor, LMSA, 200 Constitution Avenue, NW, Room N-5677, Washington, D.C. 20216.

Notification procedure:

Address as above.

Record access procedures:

Written requests should be submitted to: Disclosure Officer, Room N-5677, U.S. Department of Labor, 200 Constitution Avenue, NW, Washington, D.C. 20216.

Contesting record procedures:

See "Record access procedures".

Record source categories:

Individual applicants, employer health and welfare trusts, California Economic Development Department.

DOL/LMSA-21

System name:

ERISA Coverage Correspondence Files.

System location:

Room N-4472, U.S. Department of Labor, 200 Constitution Avenue, NW, Washington, D.C. 20216.

Categories of individuals covered by the system:

Persons addressing inquiries to the Department regarding ERISA coverage.

Categories of records in the system:

Correspondence.

Authority for maintenance of the system:

Employee Retirement Income Security Act of 1974.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

None.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Manual files.

Retrievability:

Indexed by name.

Safeguards:

Limited to Division of Coverage staff.

Retention and disposal:

Records will be retained by PWBP until they can be incorporated into the PWBP records disposition schedule.

System manager(s) and address:

Assistant Administrator, Pension and Welfare Benefit Programs, Labor-Management Services Avenue, NW, Washington, D.C. 20216.

Notification procedure:

As above.

Record access procedures:

As above.

Record source categories:

Correspondence from individuals and responses thereto.

DOL/LMSA-22

System name:

PWBP—Office of Reporting and Plan Standards—Division of Collective Bargaining Correspondence Files.

System location:

U.S. Department of Labor, 200 Constitution Avenue, NW, Room N-4461, Washington, D.C. 20216.

Categories of individuals covered by the system:

The general public.

Categories of records in the system:

Letters from the general public raising issues such as the propriety of the suspension of pension benefits, the Department's replies thereto, notes regarding research on the issues posed, and memoranda regarding discussions at meetings and in telephone calls.

Authority for maintenance of the system:

Employee Retirement Income Security Act of 1974.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

None.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

In file folders in file cabinets.

Retrievability:

Files are indexed alphabetically by name of correspondent.

Safeguards:

Access to and use of these records are limited to those staff members of PWBP whose official duties require access.

Retention and disposal:

Records will be retained by PWBP until they can be incorporated into the PWBP records disposition schedule.

System manager(s) and address:

Assistant Administrator, Pension and Welfare Benefit Programs, Department of Labor, LMSA, Room S-4522, Washington, D.C. 20216.

Record access procedures:

All requests must be in writing and either mailed or, if presented in person, presented during the Department's normal working hours and all requests should give name and be directed to the Systems Manager.

Contesting record procedures:

Mail or present in writing all statements contesting records to the System Manager. Give name.

Record source categories:

Public correspondence.

DOL/LMSA-23

System name:

Pension and Welfare Benefits Program—Inquiries from congressmen, senators and private citizens.

System location:

U.S. Department of Labor, Room N-5459, 200 Constitution Avenue, NW, Washington, D.C. 20216.

Categories of individuals covered by the system:

Congressmen, senators and general public.

Categories of records in the system:

General inquiries and responses from the Department regarding all aspects of pension and welfare benefit plans and the status of individuals under these plans.

Authority for maintenance of the system:

Employee Retirement Income Security Act of 1974, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

None.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are maintained in file cabinets and boxes.

Retrievability:

Inquiries from congressmen and senators are indexed first alphabetically by last name of congressman or senator, then alphabetically by last name of constituent. Inquiries from private individuals are indexed alphabetically by last name.

Safeguards:

Access limited to staff of Pension and Welfare Benefit Programs, Labor-Management Services Administration, U.S. Department of Labor.

Retention and disposal:

Currently files are maintained for period extending from September, 1974 to present. Records will be retained by PWBP until they can be incorporated into the PWBP records disposition schedule.

System manager(s) and address:

Assistant Administrator, Pension and Welfare Benefit Programs, Labor-Management Services Administration, U.S. Department of Labor, Room S-4522, 200 Constitution Avenue, NW, Washington, D.C. 20216.

Notification procedure:

As above.

Record access procedures:

As above.

Contesting record procedures:

Same as above.

Record source categories:

Congressional and public correspondence.

LABOR/MSHA-1

System name:

Coal and Metal and Nonmetal Mine Accident and Injury.

System location:

Health and Safety Analysis Center, Technical Support Center, 730 Simms Street, Lakewood, Colorado 80215.

Categories of individuals covered by the system:

Individual workers in the coal and metal and nonmetal mining industries.

Categories of records in the system:

These records contain accident, injury, fatality, and occupational illness data which includes the accident or injury, place of accident or injury, man-hours worked, name of mine and mine identification number and type and cause of accident, injury, or illness.

Authority for maintenance of the system:

Section 103 of Pub. L. 91-173 as amended by Pub. L. 95-164, 30 U.S.C. 813.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary uses of the records are (a) To determine probable cause of accidents, injuries, and illnesses and (b) To provide a statistical analytic data base for allocation of MSHA and other resources to reduce occupational injuries and illnesses. Disclosures outside the Department of Labor may be made (1) To the U.S. Department of Justice when related to litigation or anticipated litigation; (2) To appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation of or for enforcing or implementing a statute, rule, regulation, order or license; (3) To a Federal agency which has requested information relevant or necessary to its hiring or retention of an employee, or issuance of a security clearance, license, contract, grant or other benefit.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Manual—in file folders, computer—disk pack.

Retrievability:

Indexed by mine identification number, name of mine, individual's name and social security number. Retrieved by manual search; frequently used information maintained on computer printouts.

Safeguards:

Computer—In accordance with the National Bureau of Standards publication "Computer Security Guidelines for Implementing the Privacy Act of 1974". Manual—File cabinets. During working hours records are accessible only to authorized personnel.

Retention and disposal:

Source documents are retained for up to three years and then transferred to Federal Records Center. Tapes are retained indefinitely for historical purposes. Microfilm records are held for five years and then disposed of.

System manager(s) and address:

Chief, Health and Safety Analysis Center, 730 Simms Street, Lakewood, Colorado 80215.

Notification procedure:

Inquiries regarding the existence of records should be addressed to the System Manager. A written, signed request stating that the requester seeks information concerning records pertaining to him is required.

Record access procedures:

As above.

Contesting record procedures:

As above.

Record source categories:

Information in these records is obtained from accident, injury, illness and fatality reports submitted by mine operators.

LABOR/MSHA-3

System name:

Metal and Nonmetal Mine Safety and Health Management Information System.

System location:

(1) Office of the Administrator for Metal and Nonmetal Mine Safety and Health, U.S. Department of Labor, 4015 Wilson Blvd., Arlington, Virginia 22203. (2) Substantially all Metal and Nonmetal Mine Safety and Health Offices listed in the appendix. (See appendix for addresses.)

Categories of individuals covered by the system:

Individual metal and nonmetal miners who are covered by the Federal Mine Safety and Health Act of 1977, Pub. L. 91-173 as amended by Pub. L. 95-164; MSHA personnel.

Categories of records in the system:

Contains records on metal and nonmetal mine safety and health activities which include annual manpower and activity plans, mine and mill locations, metal and nonmetal mine inspection personnel time and activity, inspections, citations and orders against operators, personal exposure data on personal exposure of miners and MSHA personnel to radiation, dust, noise and other contaminants, and comprehensive health surveys on individual operations.

Authority for maintenance of the system:

Pub. L. 91-173 as amended by Pub. L. 95-164, 30 U.S.C. 801 et seq.; 29 U.S.C. 668.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary uses of the records are (a) to determine the workload work scheduling and peformance of mine inspection personnel; (b) to maintain records on violations of health and safety standards and regulations; (c) to determine contaminant exposure level; (d) to maintain employment data relative to metal and nonmetal mine workers, e.g., number of workers, etc. Disclosure outside the Department of Labor may be made (1) to the National Institute of Occupational Safety and Health and the Environmental Protection Agency; (2) to state agencies; (3) to unions and company officials; (4) to the U.S. Department of Justice when related to litigation or anticipated litigation; and (5) to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation of or for enforcing or implementing a statute, rule, regulation, order or license.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Computer—Information from source documents to punch cards to disk storage for processing, final storage on magnetic tape. Manual—8x10½ inch report forms in standard file cabinets.

Retrievability:

Computerized and manual records are indexed by mine identification number for operators and by Authorized Representative number for individuals.

Safeguards:

Computer—In accordance with the National Bureau of Standards Publication Computer Security Guidelines for implementing the Privacy Act of 1974. Manual—Locked file cabinets. During working hours records are accessible only to authorized personnel.

Retention and disposal:

Computer tapes are updated annually and retained indefinitely. Source documents are retained for 2 years then destroyed.

System manager(s) and address:

Administrative Officer, Metal and Nonmetal Mine Safety and Health, 4015 Wilson Blvd., Arlington, Virginia 22203.

Notification procedure:

Inquiries regarding the existence of records should be addressed to the System Manager. A written, signed request stating that the requester seeks information concerning records pertaining to him is required.

Record access procedures:

As above.

Contesting record procedures:

As above.

Record source categories:

MSHA inspection personnel and individual mine operators submit reports and information in accordance with prescribed procedures.

LABOR/MSHA-10

System name:

Discrimination Investigations.

System location:

Office of the Administrator for Coal Mine Safety and Health, and the Office of the Administrator for Metal and Nonmetal Mine Safety and Health, Mine Safety and Health Administration, U.S. Department of Labor, 4015 Wilson Boulevard, Arlington, Virginia 22203 and some Coal and Metal and Nonmetal Mine Safety and Health Field Offices (see appendix for addresses).

Categories of individuals covered by the system:

Individuals alleged to have been discriminated against in violation of the Federal Mine Safety and Health Act of 1977 and the Coal Mine Health and Safety Act of 1969.

Categories of records in the system:

Contains name, address, telephone number, social security number, occupation, place of employment, and other identifying data along with the type of allegation. This material includes interviews and other confidential data gathered by the investigator.

Authority for maintenance of the system:

Investigations conducted pursuant to section 105(c) of Pub. L. 91-173 as amended by Pub. L. 95-164, 30 U.S.C. 815(c).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary uses of the records are (a) To determine validity of allegations and (b) To determine the amount of civil penalty assessments against individuals and operators. Disclosures outside of the Department of Labor may be made (1) To the U.S. Department of Justice when related to litigation or anticipated litigation; (2) To appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation of or enforcing or implementing a statute, rule, regulation, order or license, (3) To a Federal agency which has requested information relevant or necessary to its hiring or retention of an employee, or issuance of a security clearance, license, contract, grant or other benefit; and (4) To Federal, State, or local agencies where necessary to obtain information relevant to the hiring or retention of an employee, or the issuance of a security clearance, contract, license, grant or other benefit.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Manual: In manila file folders.

Retrievability:

Filed by docket and status of case, indexed by name of mine, docket number, and date of receipt. Retrieved by manual search.

Safeguards:

Maintained in locked file cabinets. Accessed only by authorized personnel.

Retention and disposal:

Retained for 5 years then transferred to Federal Records Center. Destroyed after ten years.

System manager(s) and address:

Administrator for Coal Mine Safety and Health, Ballston Towers No. 3, 4015 Wilson Boulevard, Arlington, Virginia 22203; Administrator for Metal and Nonmetal Mine Safety and Health, same address as above.

Notification procedure:

Inquiries regarding the existence of records should be addressed to the System Manager. A written, signed request stating that the requester seeks information concerning records pertaining to him is required.

Record access procedures:

As above.

Contesting record procedures:

As above.

Record source categories:

Individual complainants, witnesses, respondents, Federal, State and local government records, and individual or company records.

Systems exempted from certain provisions of the act:

Under section 3(k)(2) of the Privacy Act, 5 U.S.C. 552a(k)(2), investigatory material compiled for law enforcement purposes which is maintained in the Discrimination Investigations system is exempt from the following provisions: 5 U.S.C. 552a(c)(3), (d), (e)(1), (e)(4)(G), (H) and (I), and (f) of the Privacy Act, and the portions of 29 CFR Part 70a which implement those provisions.

LABOR/MSHA-12

System name:

Property Control.

System location:

(1) Chief, Division of Management Services, Mine Safety and Health Administration, 4015 Wilson Blvd., Arlington, Virginia 22203, (2) Substantially all field offices listed in the appendix.

Categories of individuals covered by the system:

Persons who have responsibility for MSHA property, who have reserved parking spaces assigned, or who have submitted invention reports and all records directly related to property control functions.

Categories of records in the system:

Contains information indicating what property, including equipment, application for motor vehicle operator's license, keys, motor pool vehicles, requests for assignment of carpool or reserved parking spaces, and transportation request books, for which the employee has custody and responsibility. A list of inventions is maintained by case numbers. In addition, all other records directly related to the property control function.

Authority for maintenance of the system:

Federal Property and Administrative Services Act of 1949, as amended, 40 U.S.C. 483(b)(1).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary use of the records is for the identification and control of MSHA property. Disclosure outside the Department of Labor may be made (1) to the U.S. Department of Justice when related to litigation or anticipated litigation; (2) to appropriate Federal, State, local or foreign agencies responsible for investigation or prosecuting the violation of or for enforcing or implementing a statute, rule, regulation, order or license.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are kept in manual form in file folders or card indexes, microfilm cassettes, and computer disks.

Retrievability:

Indexed by alphabetical order or control number. Entire file retrieved by manual search; frequently used information is maintained on computer printouts.

Safeguards:

Computer—In accordance with the National Bureau of Standards publication "Computer Security Guidelines for Implementing the Privacy Act of 1974". Manual—File cabinet. During working hours records are accessible only to authorized personnel.

Retention and disposal:

In accordance with the General Records Schedule.

System manager(s) and address:

Chief, Division of Management Services, MSHA, 4015 Wilson Blvd., Arlington, Virginia 22203.

Notification procedure:

To determine whether the records are maintained on you in this system, write to the System Manager or to the offices cited under "Records Location".

Record access procedures:

As above.

Contesting record procedures:

As above.

Record source categories:

MSHA employees and any property control records maintained by MSHA.

LABOR/MSHA-13

System name:

Coal Mine Respirable Dust Program.

System location:

Coal Mine Safety and Health, MSHA, U.S. Department of Labor, 4015 Wilson Blvd., Arlington, Virginia 22203, and substantially all Coal Mine Safety and Health Offices listed in the appendix.

Categories of individuals covered by the system:

Individual coal miners for whom personal dust samples have been submitted for analysis.

Categories of records in the system:

These records contain data concerning mine identification, mine section, name of individual sampled, social security number, date of sample, and concentration of respirable dust contained in the person sampler.

Authority for maintenance of the system:

Pub. L. 91-173, as amended by Pub. L. 95-164, sections 103(a) and 202, 30 U.S.C. 813(a), 842.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary use of the record is to determine respirable dust level standards. Disclosures outside the Department of Labor may be made (1) to the U.S. Department of Health and Human Services in accordance with provisions of Pub. L. 91-173, as amended by Pub. L. 95-164; (2) to mine operators to furnish information relevant to the respirable dust program as it applies to their operations as required by the law; (3) to the U.S. Department of Justice when related to litigation or anticipated litigation; (4) to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation of or for enforcing or implementing a statute, rule, regulation, order or license.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Computer on diskettes and mag tape.

Retrievability:

Indexed by mine identification number, sampling entity number and social security number of Part 90 miners. This information is maintained on computer printouts.

Safeguards:

Records for Part 90 miners are stored in locked steel cabients in locked rooms with access being granted only to duly authorized personnel. No other individual records are identifiable.

Retention and disposal:

Analysis forms are mailed to Denver and microfilmed. The forms and the microfilm record are maintained indefinitely. Computer tapes are purged periodically and computer output is utilized in the districts indefinitely.

System manager(s) and address:

Chief, Division of Health, Coal Mine Safety and Health, MSHA, 4015 Wilson Blvd., Arlington, Virginia 22203.

Notification procedure:

To determine whether the records are maintained on you in this system, write to the System Manager.

Record access procedures:

As above.

Contesting record procedures:

As above.

Record source categories:

Mine operators submit the information used in this system.

LABOR/MSHA-14

System name:

Coal Mine Noise Level Program.

System location:

(1) Coal Mine Safety and Health, MSHA, U.S. Department of Labor, 4015 Wilson Blvd., Arlington, Virginia 22203. (2) Substantially all Coal Mine Safety and Health Offices listed in the appendix.

Categories of individuals covered by the system:

Individual coal miners for whom noise level samples have been submitted for analysis.

Categories of records in the system:

These records contain data concerning mine identification, mine section, name of individual sampled, social security number, date of sample, and noise level data.

Authority for maintenance of the system:

Pub. L. 91-173, as amended by Pub. L. 95-164, sections 103(a) and 206, 30 U.S.C. 813(a), 846.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary uses of the records are (a) to determine noise levels in every active working mine to insure compliance with noise level standards and (b) for special studies relative to occupational types, mining methods, etc. Disclosures outside the Department of Labor may be made (1) to furnish mine operators with information relevant to the noise program as it applies to their operations as required by the law; (2) to the U.S. Department of Justice when related to litigation or anticipated litigation; (3) to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation of or for enforcing or implementing a statute, rule, regulation, order or license.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Currently noise level data is entered onto a form which is sent to district offices for manual processing and filing in manila folders. All district offices utilize diskettes and mini-computers to process the data.

Retrievability:

Data is indexed by mine identification number, name of mine, name of operator, name of individual and individual social security number.

Safeguards:

Maintained in file cabinet. Accessed only by authorized personnel.

Retention and disposal:

Forms and diskette are retained indefinitely in district offices.

System manager(s) and address:

Chief, Division of Health, Coal Mine Safety and Health, MSHA, 4015 Wilson Blvd., Arlington, Virginia 22203.

Notification procedure:

To determine whether the records are maintained on you in this system, write to the System Manager.

Record access procedures:

As above.

Contesting record procedures:

As above.

Record source categories:

Mine operators submit the information used in this system.

LABOR/MSHA-15

System name:

Health and Safety Training Records including Qualification and Certification Data.

System location:

Qualification and Certification Unit, Education, Policy and Development, Mine Safety and Health Administration, 730 Simms Street, Lakewood, Colorado 80215.

Categories of individuals covered by the system:

Contains training data on miners, mining industry personnel, and Federal employees who have taken MSHA approved training courses. Also individuals certified and qualified as required by regulations.

Categories of records in the system:

These records contain name, social security number of persons who have taken training, mine ID number, training course, instructor's name and other relevant data.

Authority for maintenance of the system:

Sections 115, 317(i) and 502 of Pub. L. 91-173 as amended by Pub. L. 95-165, 30 U.S.C. 825, 877(i), 952.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary uses of the records are to (a) maintain records of training of individual miners, mining industry personnel, and State and Federal employees who have taken MSHA approved training courses; (b) issue certificates or certification cards to individuals who become qualified or certified under the law, as appropriate; (c) issue certification cards to instructors authorizing them to teach MSHA approved training courses; (d) provide information to monitor and expand safety training programs; (e) verify that individuals have completed required training; (f) report training data in various formats for a variety of uses, e.g., reporting to Congress, publication, etc. Disclosures outside of the Department of Labor may be made (1) to coal companies requesting information to verify training required by law; (2) to unions requesting information on training status of its members; (3) to coal operators' associations requiring training for policy and programming utilization; (4) to the U.S. Department of Justice when related to litigation or anticipated litigation; (5) to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation of or for enforcing or implementing a statute, rule, regulation, order or license.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Input forms to key tape to magnetic tapes in the computer system. Microfilm records are stored in the Qualification and Certification Unit.

Retrievability:

Computerized records are indexed by mine identification and individual social security numbers. Microfilm records are retrieved on basis of mine identification numbers date and course.

Safeguards:

Computer safeguards as described in the National Bureau of Standards Publication "Computer Security Guidelines for Implementing the Privacy Act of 1974" and procedures developed by MSHA under GSA Circular E-34. Files are posted with the appropriate Privacy Act warning. During working hours only authorized personnel have access to files.

Retention and disposal:

Computer records are maintained on yearly historical file. Reporting outputs are discarded after they have served their purpose. Microfilm records are maintained indefinitely for historical purposes.

System manager(s) and address:

Education Specialist, Qualification and Certification Unit, Education, Policy and Development, P.O. Box 25367, 730 Simms Street, Lakewood, Colorado 80215.

Notification procedure:

Inquiries regarding records in this system should be addressed to the System Manager. Such requests must be submitted in writing and be signed by the requester.

Record access procedures:

As above.

Contesting record procedures:

As above.

Record source categories:

Individuals on whom the records are maintained, instructors of the training courses, mine inspection personnel, mine operators, State personnel and miners' representatives and organizations which provide training courses required by MSHA.

LABOR/MSHA-17

System name:

MSHA Education, Policy and Development Activities Report.

System location:

Qualification & Certification Unit, Education, Policy and Development, Mine Safety and Health Administration, U.S. Department of Labor, 730 Simms Street, Lakewood, Colorado 80215 and all Training Centers listed in the appendix.

Categories of individuals covered by the system:

MSHA Personnel.

Categories of records in the system:

Personnel activity records including work times, allocated according to types of assignments, and leave time.

Authority for maintenance of the system:

5 U.S.C. 301; section 302(a) of Pub. L. 95-164.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary use of the record is to record the time utilization of Education, Policy and Development personnel and: (a) To determine the workload and work scheduling; (b) to assist in budgeting and staffing of Education, Policy and Development; and (c) to assess training needs of MSHA personnel. Disclosure outside the Department of Labor may be made: (1) To the U.S. Department of Justice when related to litigation or anticipated litigation; (2) to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violations or for enforcing or implementing a statute, rule, regulation, order or license; and (3) to a Federal agency which has requested information relevant to or necessary to its hiring or retention of an employee, or issuance of a security clearance, license, contract, grant or other benefit.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Manual files. Punchcards and mag tapes.

Retrievability:

Computerized records are indexed by social security number and district office.

Safeguards:

Manual records kept in locked file cabinets. Computerized data accessible only by authorized personnel.

Retention and disposal:

Audio; video; slides; discs; photographic material; manuals; and syllabuses are permanent. These records are offered to NARA for evaluation after thirty years.

System manager(s) and address:

Education Specialist, Qualification & Certification Unit, Education, Policy and Development, MSHA, 730 Simms St., Lakewood, Colorado 80215.

Notification procedure:

To determine whether the records are maintained on you in this system write the System Manager, cited under "System Location".

Record access procedures:

As above.

Contesting record procedures:

As above.

Record source categories:

Individual on whom record is maintained.

LABOR/MSHA-18

System name:

Coal Mine Safety and Health Management Information System.

System location:

(1) Office of the Administrator for Coal Mine Safety and Health, U.S. Department of Labor, 4015 Wilson Boulevard, Arlington, Virginia 22203. (2) Substantially all Coal Mine Safety and Health Offices listed in the appendix.

Categories of individuals covered by the system:

All Coal Mine Safety and Health personnel and key officials at surface and underground coal installations.

Categories of records in the system:

Annual manpower and activity plans; operational characteristics of surface and underground coal operations; identification of key officials at individual mines; functional time utilization information for all Coal Mine Safety and Health personnel; location categorization of all time utilized by inspection personnel for on-site visits to individual mines; violation information on individual mines, and information on plans and other documents submitted by coal mine operators.

Authority for maintenance of the system:

Pub. L. 91-173 as amended by Pub. L. 95-164, 30 U.S.C. 801 et seq.; 29 U.S.C. 668.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To record the time utilization of Coal Mine Safety and Health personnel and: (a) To maintain information on characteristics of mining operations. (b) To maintain violation information. (c) To monitor the submission and subsequent actions taken on plans and other documents submitted by coal mine operators.

Disclosure outside the Department of Labor may be made: (1) To the U.S. Department of Justice when related to litigation or anticipated litigation; (2) to appropriate Federal, State local or foreign agencies responsible for investigating or prosecuting the violations of or for enforcing or implementing a statute, rule, regulation, order or license; and (3) to a Federal agency which has requested information relevant to or necessary to its hiring or retention of an employee, or issuance of a security clearence, license, contract, grant or other benefit.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Manual files: Magnetic tape and disk units.

Retention and disposal:

Source documents are destroyed when no longer needed. Reports are destroyed after 10 years.

Retrievability:

By mine identification number, social security number for noninspection personnel, by Authorized Representative number for inspection personnel, by organization code, and by violation number.

Safeguards:

Access limited to authorized representatives in regard to computerized data. Manual records kept in locked file cabinets.

System manager(s) and address:

Administrator for Coal Mine Safety and Health, MSHA, Department of Labor, 4015 Wilson Boulevard, Arlington, Virginia 22203.

Notification procedure:

To see your records, write the System Manager. Describe as specifically as possible the records sought.

Record access procedures:

As above.

Contesting record procedures:

As above.

Record source categories:

Coal Mine Safety and Health personnel submit inspection, time utilization, violation and other enforcement information in accordance with prescribed procedures.

Appendix—Mine Safety and Health Administration

Headquarters Office

Mine Safety and Health Administration, U.S. Department of Labor, 4015 Wilson Boulevard, Arlington, Virginia 22203.

Metal and Nonmetal Mine Safety and Health

District Manager, Northeastern District, Metal & Nonmetal Mine Safety and Health, 4800 Forbes Avenue, Pittsburgh, Pennsylvania 15213.

Subdistrict Manager, Northeastern District, Metal & Nonmetal Mine Safety and Health, 4800 Forbes Avenue, Pittsburgh, Pennsylvania 15213.

Subdistrict Manager, Northeastern District, Metal & Nonmetal Mine Safety and Health, U.S. Post Office & Courthouse, Room 247, Albany, New York 12201.

District Manager, Southeastern District, Metal & Nonmetal Mine Safety and Health, 228 West Valley Avenue, Room 102, Birmingham, Alabama 35209.

Subdistrict Manager, Southeastern District, Metal & Nonmetal Mine Safety and Health, 228 West Valley Avenue, Room 102, Birmingham, Alabama 35209.

Subdistrict Manager, Southeastern District, Metal & Nonmetal Mine Safety and Health, 301 West Cumberland Avenue, Room 223, Knoxville, Tennessee 37902.

District Manager, North Central District, Metal & Nonmetal Mine Safety and Health, 228 Federal Building, Duluth, Minnesota 55802.

Subdistrict Manager, North Central District, Metal & Nonmetal Mine Safety and Health, 228 Federal Building, Duluth, Minnesota 55802.

Subdistrict Manager, North Central District, Metal & Nonmetal Mine Safety and Health, 501 Busseron Street, Vincennes, Indiana 47591.

District Manager, South Central District, Metal & Nonmetal Mine Safety and Health, 1100 Commerce Street, Room 4c50, Dallas, Texas 75242.

Subdistrict Manager, South Central District, Metal & Nonmetal Mine Safety and Health, 1100 Commerce Street, Room 4c50, Dallas, Texas 75242.

Subdistrict Manager, South Central District, Metal & Nonmetal Mine Safety and Health, 900 Pine Street Bldg., 2nd Floor, Rolla, Missouri 65401.

District Manager, Rocky Mountain District, Metal & Nonmetal Mine Safety and Health, 730 Simms Street, Lakewood, Colorado 80215.

Subdistrict Manager, Rocky Mountain District, Metal & Nonmetal Mine Safety and Health, 730 Simms Street, Lakewood, Colorado 80215.

Subdistrict Manager, Rocky Mountain District, Metal & Nonmetal Mine Safety and Health, 307 West 200 South, Suite 3003, Salt Lake City, Utah 84101.

District Manager, Western District, Metal & Nonmetal Mine Safety and Health, 620 Central Avenue, Bldg. 7, Alameda, California 94501.

Subdistrict Manager, Western District, Metal & Nonmetal Mine Safety and Health, 117—107th Avenue, NE, Bellevue, Washington 98004.

Subdistrict Manager, Western District, Metal & Nonmetal Mine Safety and Health, 2721 North Central Avenue, South Tower, Amerco Towers, Phoenix, Arizona 85004.

ADP Liaison—MSHA, Metal & Nonmetal Mine Safety and Health, 730 Simms Street, Lakewood, Colorado 80215.

Coal Mine Safety and Health

District Manager, District 1, Coal Mine Safety and Health, Penn Place, 20 N. Pennsylvania Avenue, Wilkes-Barre, Pennsylvania 18701.

District Manager, District 2, Coal Mine Safety and Health, 4800 Forbes Avenue, Pittsburgh, Pennsylvania 15213.

Subdistrict Manager, District 2, Coal Mine Safety and Health, 200 James Place, Monroeville, Pennsylvania 15146.

Subdistrict Manager, District 2, Coal Mine Safety and Health, Sunray and Goucher, Johnstown, Pennsylvania 15905.

District Manager, District 3, Coal Mine Safety and Health, 5012 Mountaineer Mall, Morgantown, West Virginia 26505.

District Manager, District 4, Coal Mine Safety and Health, Stadium Drive and Bluestone Road, Mt. Hope, West Virginia 25880.

Subdistrict Manager, District 4, Coal Mine Safety and Health, Stadium Drive and Bluestone Road, Mt. Hope, West Virginia 25880.

Subdistrict Manager, District 4, Coal Mine Safety and Health, 110 Gott Road, Princeton, West Virginia 24740.

Subdistrict Manager, District 4, Coal Mine Safety and Health, 475 N. Main Street, Madison, West Virginia 25130.

District Manager, District 5, Coal Mine Safety and Health, 546 Alexandria Avenue, Norton, Virginia 24273.

Subdistrict Manager, District 5, Coal Mine Safety and Health, 546 Alexandria Avenue, Norton, Virginia 24273.

Subdistrict Manager, District 5, Coal Mine Safety and Health, 102 Augusta Avenue, Richlands, Virginia 24641.

District Manager, District 6, Coal Mine Safety and Health, 218 High Street, Pikeville, Kentucky 41501.

Subdistrict Manager, District 6, Coal Mine Safety and Health, 218 High Street, Pikeville, Kentucky 41501.

District Manager, District 7, Coal Mine Safety and Health, Municipal Building, Daniel Boone Drive, Barbourville, Kentucky 40906.

Subdistrict Manager, District 7, Coal Mine Safety and Health, 616 Manchester Street, Barbourville, Kentucky 40906.

Subdistrict Manager, District 7, Coal Mine Safety and Health, 228 West Valley Avenue, Birmingham, Alabama 35209.

Subdistrict Manager, District 7, Coal Mine Safety and Health, Meadowbrook Manor, Combs Lane-Airport Gardens, Hazard, Kentucky 41701.

District Manager, District 8, Coal Mine Safety and Health, 501 Busseron Street, Vincennes, Indiana 47591.

Subdistrict Manager, District 8, Coal Mine Safety and Health, 905 W. Washington Street, Benton, Illinois 62812.

Subdistrict Manager, District 8, Coal Mine Safety and Health, 50985 National Road, St. Clairsville, Ohio 43950.

District Manager, District 9, Coal, Mine Safety and Health, 730 Simms Street, Lakewood, Colorado 80215.

Subdistrict Manager, District 9, Coal Mine Safety and Health, 730 Simms Street, Lakewood, Colorado 80215.

Subdistrict Manager, District 9, Coal Mine Safety and Health, 575 East 1st South, Price, Utah 84501.

District Manager, District 10, Coal Mine Safety and Health, MSHA Building, Highway 41 North, Madisonville, Kentucky 42431.

Subdistrict Manager, District 10, Coal Mine Safety and Health, 509 S. Third Street, McAlester, Oklahoma 74501.

Subdistrict Manager, District 10, Coal Mine Safety and Health, MSHA Building, Highway 451 North, Madisonville, Kentucky 42431.

ADP Liaison—MSHA, Coal Mine Safety and Health, 730 Simms Street, Lakewood, Colorado 80215.

Assessment Office

Office of Assessments—MSHA, 4015 Wilson Boulevard, Arlington, Virginia 22203.
Training
Beckley Training Center—MSHA, Airport Road, Beckley, West Virginia 25801.
Qualification and Certification Unit—MSHA, Education, Policy and Development, 730 Simms Street, Lakewood, Colorado 80215.
Technical Support
Pittsburgh Technical Support Center—MSHA, 4800 Forbes Avenue, Pittsburgh, Pennsylvania 15213.
Denver Technical Support Center—MSHA, 730 Simms Street, Lakewood, Colorado 80215.
Health and Safety Analysis Center—MSHA, 730 Simms Street, Lakewood, Colorado 80215.

DOL/OSHA-1

System name:

Discrimination Complaint File.

System location:

Regional Offices, See 29 CFR 70.36 (a)(3) for addresses.

Categories of individuals covered by the system:

Individuals who have filed complaints pursuant to section 11(c) of the Occupational Safety and Health Act or section 405 of the Surface Transportation Assistance Act.

Categories of records in the system:

Case files compiled in connection with investigations of discrimination complaints.

Authority for maintenance of the system:

Section 11(c) of the Occupational Safety and Health Act (Pub. L. 91-596) and Section 405 of the Surface Transportation Assistance Act (Pub. L. 97-424).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary use of the records is in the investigation of violations of section 11(c) of the OSHA Act and/or section 405 of the Surface Transportation Assistance Act.

Disclosure may be made to the National Labor Relations Board, state occupational safety and health agencies and to other Federal and state agencies when they are conducting similar or related investigations.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Manual files.

Retrievability:

By complainant's name or case identification number.

Safeguards:

Locked storage equipment, and personnel screening.

Retention and disposal:

Destroy 5 years after case is closed.

System manager(s) and address:

Regional Administrator at address where system is located.

Notification procedure:

As above

Record access procedures:

As above.

Contesting record procedures:

As above.

Record source categories:

Individual complaints filed alleging discrimination and information compiled in connection with investigations of alleged acts of discrimination.

Systems exempted from certain provisions of the act:

In accordance with paragraph (k)(2) of the Privacy Act, investigatory material compiled for law enforcement purposes which is maintained in the Discrimination Complaint File is exempt from paragraphs (c)(3); (d), (e)(1); (e)(4) (G), (H), and (I); and (f) of 5 U.S.C. 552a. Disclosure of information contained in this file could threaten investigators, witnesses, information and their families with adverse consequences and could hinder effective enforcement of the Occupational Safety and Health Act and the Surface Transportation Assistance Act. In order to conduct effective investigations it is necessary to guarantee the confidentiality of information being collected. Release of such information would constitute a breach of the guarantee of confidentiality, could lead to the intimidation, harassment or dismissal from employment of those involved, and could discourage those contacted in future investigations from cooperating with investigators.

DOL/OSHA-2

System name:

Complaints About State Program Administration Files (CASPA).

System location:

All Regional Offices, Area Offices and State Plans, States; see 29 CFR 70.36.

Categories of individuals covered by the system:

Individuals who have filed complaints about the administration of State Occupational Safety and Health programs.

Categories of records in the system:

Case files compiled in connection with investigation of subject complaints.

Authority for maintenance of the system:

Section 18(f) of the Occupational Safety and Health Act (Pub. L. 91-596).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

None.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Manual files.

Retrievability:

By name of complainant.

Safeguards:

Locked file cabinets.

Retention and disposal:

a. Complaints which raise questions on overall trends in State performance: Destroy 5 years after state plan discontinuance.

b. All other complaints: Destroy 7 years after case is closed.

System manager(s) and address:

Regional Administrator for Occupational Safety and Health. For address see 29 CFR 70.36.

Notification procedure:

As above.

Contesting record procedures:

As above.

Record source categories:

Complaints filed by individuals and information compiled in connection with investigations of such complaints.

DOL/OSHA-4

System name:

Advisory Committee Candidates' Biographies.

System location:

Division of Consumer Affairs, OSHA, Room N-3635, 200 Constitution Avenue, NW, Washington, D.C. 20210.

Categories of individuals covered by the system:

Background resumes of individuals who are members of, or have been considered for membership on an OSHA Advisory Committee.

Authority for maintenance of the system:

Occupational Safety and Health Act (Pub. L. 91-596); Federal Advisory Committee Act.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

None.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Manual file.

Retention and disposal:

a. Advisory Committee Members: Permanent transfer to National Archives 3 years after expiration of term.

b. Advisory Committee Candidates not selected to serve on an advisory committee: Destroy when 5 years old.

System manager(s) and address:

Chief, Division of Consumer Affairs, Room N-3635, 200 Constitution Avenue, NW, Washington, D.C. 20210.

Notification procedure:

As above.

Contesting record procedures:

As above.

DOL/OSHA-6

System name:

Compliance Safety & Health Officer Manpower File.

System location:

OSHA, Office of Management Data Systems, Room 156, 2100 M Street, NW, Washington, D.C.

Categories of individuals covered by the system:

Time sheets/logs documenting compliance officer activities, cover inspection, monitoring and other compliance-related data.

Authority for maintenance of the system:

Occupational Safety and Health Act (Pub. L. 91-596).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

None.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Magnetic tape media and manual files.

Retrievability:

By compliance officer/investigator name and by inspection/investigation identification.

Safeguards:

Computer file available only through password system, and in locked storage equipment.

Retention and disposal:

Source document forms for ADP system: Destroy after 2 years.

System manager(s) and address:

Director, Office of Management Data Systems, Room 156, 2100 M Street, NW, Occupational Safety and Health Administration, Washington, D.C. 20210.

Notification procedure:

As above.

Record access procedures:

As above.

Contesting record procedures:

As above.

Record source categories:

Inspectors'/investigators' time logs.

DOL/OSHA-7

System name:

Employees Reports of Unsafe or Unhealthy Working Conditions.

System location:

Occupational Safety and Health Administration, Office of Federal Agency Programs (OFAP), Room N-3476, Washington, D.C. 20210.

Categories of individuals covered by the system:

Federal agency employees filing complaints with OFAP because employer's final disposition of their report alleging an unsafe or unhealthy working condition was not satisfactory.

Categories of records in the system:

Workplace hazardous conditions complaints.

Authority for maintenance of the system:

29 CFR 1960.28, OSHA Act 1970.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

None.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Manual files.

Retrievability:

By OFAP log number, and by name (if OFAP authorized by employee).

Safeguards:

Locked storage equipment.

Retention and disposal:

Destroy after 5 years old.

System manager(s) and address:

Director, Office of Federal Agency Programs, Occupational Safety and Health Administration, Room N-3476, 200 Constitution Avenue, NW, Washington, D.C. 20210.

Notification procedure:

As above.

Contesting record procedures:

As above.

Record source categories:

Complaints submitted by individuals to OFAP for follow-up action. Employees are notified in writing that OFAP (a) has received complaint, (b) has referred the report to the appropriate OSHA regional office or back to the employing agency for investigation, or (c) has information concerning resolution of complaint.

DOL/OSHA-8

System name:

State Compliance Officer Accompanied Visit and On-The-Job Evaluation Records.

System location:

All Area Offices in States with approved state plans, see 19 CFR 70.36 for addresses.

Categories of individuals covered by the system:

State Compliance Officers.

Categories of records in the system:

On-the-job evaluations through accompanied visits or inspections conducted by State inspectors.

Authority for maintenance of the system:

Section 18(f) of the Occupational Safety and Health Act (Pub. L. 91-596).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

State Program Administrators upon request.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Manual files.

Retrievability:

By name of State compliance officers.

Safeguards:

Locked file cabinets.

Retention and disposal:

Destroy 7 years after evaluation.

System manager(s) and address:

Each Regional Administrator for OSHA at individual Regional Offices. For addresses see 29 CFR 70.36.

Notification procedure:

As above.

Record access procedures:

As above.

Contesting record procedures:

As above.

Record source categories:

Report forms submitted by Federal monitoring inspector.

DOL/OSHA-9

System name:

OSHA Compliance Safety and Health Officers (CSHO's) Training Records.

System location:

All Regional offices and the OSHA Training Institute: See CFR 70.36 for addresses.

Categories of individuals covered by the system:

CSHO's of the OSHA.

Categories of records in the system:

Records reflecting training courses completed by CSHO's.

Authority for maintenance of the system:

The Occupational Safety and Heath Act of 1970 (Pub. L. 91-596).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

None.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Manual file.

Retrievability:

By name of CSHO.

Safeguards:

Locked file cabinets.

Retention and disposal:

Being determined.

System manager(s) and address:

Each Regional Administrator for OSHA at Regional Offices or the Manager, OSHA Training Institute; see 29 CFR 70.36 for addresses.

Notification procedure:

As above.

Record access procedures:

As above.

Record source categories:

Office of Personnel Management official personnel folders, certificates of training, verification of record by individuals concerned.

DOL/OSHA-10

System name:

OSHA Private Sector Instructor Files for Construction and Voluntary Compliance Courses.

System location:

U.S. Department of Labor, Occupational Safety and Health Administration, Training Institute, 1555 Times Drive, Des Plaines, Illinois 60018.

Categories of individuals covered by the system:

Students who have satisfactorily completed courses 400-1 and 500-2 and, who as a result of taking the courses have elected to conduct the same or similar courses for their employing organization or other interested groups.

Categories of records in the system:

Reports transmitted to Training Institute by individuals who have completed courses sponsored by Institute.

Authority for maintenance of the system:

Occupational Safety and Health Act of 1970 (Pub. L. 91-596).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

None.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Manual files.

Retrievability: By name of student.

Safeguards:

Locked file cabinets.

Retention and disposal:

Inactive files are retained for one year beyond the last active date. If the files are not reactivated, they are destroyed.

System manager(s) and address:

Administrative Officer, U.S. Department of Labor, Occupational Safety and Health Administration, Training Institute, 1555 Times Drive, Des Plaines, Illinois 60018.

Notification procedure:

As above.

Record access procedures:

As above.

Record source categories:

The information contained in these files is voluntarily provided by the subject individuals.

DOL/OSHA-11

System name:

OSHA Training Institute Course Files.

System location:

1555 Times Drive, Des Plaines, Illinois 60018.

Categories of individuals covered by the system:

Employees of: U.S. Department of Labor; OSHA State and Territorial Governmentrs; other Federal agencies; private sector.

Categories of records in the system:

1. Forms: a. OSHA Training Institute Form 102, Biographical Data Sheet (used for all students; b. DL-1-101, Registration and Enrollment Form (used for U.S. Department of Labor, OSHA, State, and Territorial employees). c. Optional registration and enrollment forms used for employees from other Federal agencies. d. Optional forms or letters used by private sector for registration and enrollment. 2. Index cards maintained for each U.S. Department of Labor and State participant. Card contains name, Social Security Number, and listing of courses the individual has taken and status of same.

Authority for maintenance of the system:

Section 21(b) of the Occupational Safety and Health Act of 1970 (Pub. L. 91-596).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

None.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Manual or ADP Files.

Retrievability:

By individuals' name and region.

Safeguards:

Locked file cabinets.

Retention and disposal:

Dispose of when no longer needed for administrative purposes.

System manager(s) and address:

U.S. Department of Labor, Occupational Safety and Health Administration, Training Institute, 1555 Times Drive, Des Plaines, Illinois 60018.

Notification procedure:

As above.

Record access procedures:

As above.

Record source categories:

The students and the OSHA Form 43.

DOL/SOL-1

System name:

Conflict of Interest File.

System location:

U.S. Department of Labor, Room N-2700, 200 Constitution Avenue, NW, Washington, D.C. 20210.

Categories of individuals covered by the system:

Those persons from whom reports may be required under Section 202 are those allegedly having conflicts of interest who must file reports. Investigation relates to either trial, litigation or criminal prosecution.

Categories of records in the system:

Investigative reports, legal analyses, forwarding memoranda.

Authority for maintenance of the system:

Section 202, LMRDA. Section 601, LMRDA (investigative authority); Section 209, LMRDA; Section 607, LMRDA.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Files interchanged in the processing of cases with the Department of Justice and Assistant U.S. Attorneys.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Manual files.

Retrievability:

Indexed by name.

Safeguards:

Restricted to official business within agency, personnel screening.

Retention and disposal:

Currently files are maintained for fiscal years 1975 through 1982; for prior years sent to National Archives and Records Service.

System manager(s) and address:

Associate Solicitor, Division of Labor-Management Laws, Office of the Solicitor, U.S. Department of Labor, 200 Constitution Avenue, NW, Washington, D.C. 20210.

Notification procedure:

As above.

Record access procedures:

As above.

Contesting record procedures:

As above.

Record source categories:

Complainants, witnesses, investigative reports.

DOL/SOL-2

System name:

Employment and Training Administration Investigatory File.

System location:

Room N-2101, U.S. Department of Labor, 200 Constitution Avenue, NW, Washington, D.C. 20210.

Categories of individuals covered by the system:

Named plaintiffs and complainants in court and administrative proceedings involving the Employment and Training Administration. Individual subjects of an administrative investigation under Employment and Training Administration programs.

Categories of records in the system:

Court and litigation files contain little, if any, information regarding the individual other than that supplied by the individual in its complaint. Investigatory files include employment and financial information related to possible fraudulent activity on the part of the individual.

Authority for maintenance of the system:

5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Information is disclosed to Department of Justice for that agency's determination regarding potential litigation and in the course of actual litigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Manual files.

Retrievability:

By name of plaintiffs and complainants and individual subjects being investigated.

Safeguards:

Physical security.

Retention and disposal:

Files are maintained as long as the case is open. When the case is closed and it is determined that the file is no longer needed, the file is then sent to Archives for ultimate disposal.

System manager(s) and address:

Associate Solicitor for Employment and Training, Room N-2101, U.S. Department of Labor, Washington, D.C. 20210.

Notification procedure:

As above.

Record access procedures:

As above.

Contesting record procedures:

As above.

Record source categories:

Information is normally obtained from other organizations within the Department of Labor.

DOL/SOL-3

System name:

Federal Tort Claims Act (FTCA).

System location:

U.S. Department of Labor, 200 Constitution Avenue, NW, Room N-2620, Washington, D.C. 20210.

Categories of individuals covered by the system:

Claimant under Federal Tort Claims Act.

Categories of records in the system:

Tort claims file, including negligence, medical, personnel and legal reports, summaries, correspondence and memoranda.

Authority for maintenance of the system:

28 U.S.C. 2671 et seq.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

None other than those contained in the Department's Prefatory Statement published in the Federal Register of September 8, 1975 (40 FR 41739).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Manual files.

Retrievability:

Name of claimant.

Safeguards:

Files are kept in office suite that is locked after working hours.

Retention and disposal:

Records retention is being determined by NARS.

System manager(s) and address:

Associate Solicitor, Division of Employee Benefits, U.S. Department of Labor, 200 Constitution Avenue, NW, Room N-2620, Washington, D.C. 20210.

Notification procedure:

See above.

Record access procedures:

Inquirer should provide his full name, plus date and place of incident.

Contesting record procedures:

See above.

Record source categories:

Claimants, current and former employers, witnesses, physicians, insurance companies, attorneys, police, hospitals, other individuals.

DOL/SOL-5

System name:

Comprehensive Employment and Training Act (paragraph 416 (b) (CETA)).

System location:

U.S. Department of Labor, 200 Constitution Avenue, NW, Room N-2620, Washington, D.C. 20210.

Categories of individuals covered by the system:

Claimants.

Categories of records in the system:

Tort claims file, including negligence, medical, personnel and legal reports, summaries, correspondence and memoranda.

Authority for maintenance of the system:

29 U.S.C. 926(b).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

None other than those contained in the Department's Prefatory Statement published in the Federal Register of September 8, 1975 (40 FR 41739).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Manual files.

Retrievability:

Name of claimant.

Safeguards:

Files are kept in office suite that is locked after working hours.

Retention and disposal:

Records retention is being established by NARA.

System manager(s) and address:

Associate Solicitor, Division of Employee Benefits, U.S. Department of Labor, 200 Constitution Avenue, NW, Room N-2620, Washington, D.C. 20210.

Notification procedure:

See above.

Record access procedures:

Inquirer should provide his full name, plus date and place of incident.

Contesting record procedures:

See above.

Record source categories:

Claimants, current and former employers, witnesses, physicians, insurance companies, attorneys, police, hospitals other individuals.

DOL/SOL-6

System name:

Military Personnel and Civilian Employees Claims Act.

System location:

U.S. Department of Labor, 200 Constitution Avenue, NW, Room N-2620, Washington, D.C. 20210.

Categories of individuals covered by the system:

Claimants.

Categories of records in the system:

Tort claims file, including negligence, medical, personnel and legal reports, summaries, correspondence and memoranda.

Authority for maintenance of the system:

31 U.S.C. 240-243.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

None other than those contained in the Department's Prefatory Statement published in the Federal Register of September 8, 1975 (40 FR 41739).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Manual files.

Retrievability:

Name of claimant.

Safeguards:

Files are kept in office suite that is locked after working hours.

Retention and disposal:

Records retention is being established by NARS.

System manager(s) and address:

Associate Solicitor, Division of Employee Benefits, U.S. Department of Labor, 200 Constitution Avenue, NW., Room n-2026, Washington, D.C. 20210.

Notification procedure:

See above.

Record access procedures:

Inquirer should provide his full name, plus date and place of incident.

Contesting record procedures:

See above.

Record source categories:

Claimants, current and former employers, witnesses, physicians, insurance companies, attorneys, police, hospitals, other individuals.

DOL/SOL-7

System name:

Attorney Assignment Record—SOL-7.

System location:

SOL Divisional Offices, Washington, D.C.; SOL Regional and Sub-Regional Offices terminals at various locations. DOL computer, GAO Building, Washington, D.C.

Categories of individuals covered by the system:

Attorneys employed by the Office of the Solicitor; the names of judges assigned to the cases and the names of the individuals and/or parties involved in the cases.

Categories of records in the system:

Individual attorney assignments; identification of cases pending, status of litigated cases, opinions requested, case agency record, and miscellaneous assignments.

Authority for maintenance of the system:

Civil Service Reform Act.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

None.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Manual and computer files.

Retrievability:

Currently by name of attorney; potentially retrievable by name of the judge assigned to the case, and by the name of the individual and/or party involved in the case.

Safeguards:

Manual files are kept locked. Computer files accessible only through proper code number.

Retention and disposal:

Records are maintained for life of assignment and are then disposed.

System manager(s) and address:

Associate Solicitors, Office of the Solicitor, Washington, D.C.; Regional Solicitors and Associate Regional Solicitors at various field locations.

Notification procedure:

See above.

Record access procedures:

As above.

Contesting record procedures:

As above.

Record source categories:

Case files, correspondence files, opinion files, and miscellaneous files.

DOL/SOL-8

System name:

Litigation Files—Special Litigation Task Force (the "system").

System location:

U.S. Department of Labor, Office of the Solicitor, Washington, D.C.

Categories of individuals covered by the system:

The Special Litigation Task Force maintains records as defined in 5 U.S.C. 552a(a)(4) (the "records"). The records relate specifically to defendants, respondents, witnesses and other individuals who may have provided information relating to, or who may have been involved in, matters that are part of the Central States litigation. These records relate generally to litigation under the Employee Retirement Income Security Act of 1974 (the "Act") that involves the Secretary of Labor and the Central States Southeast and Southwest Areas Health and Welfare and Pension Funds (the "Central States litigation").

Categories of records in the system:

The system contains records gathered by the Special Litigation Task Force in connection with the Central States litigation. The records may be derived from materials filed with the Department of Labor, court records, articles from publications, published financial data, information received from employee benefit plans, business organizations and individuals, statements of witnesses, information received from federal, state, local, and foreign regulatory and law enforcement organizations, and from other sources. The system also contains records that incorporate the work product of the Special Litigation Task Force and other privileged documents.

Authority for maintenance of the system:

29 U.S.C. 1132, 1134.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

(1) The records may be used by the Department of Labor, Department of Justice, Treasury Department, Commerce Department and other Federal Government personnel and consultants investigating possible violations of the Employee Retirement Income Security Act of 1974.

(2) The records may be used in any proceeding where the Employee Retirement Income Security Act of 1974 is in issue or in which the Secretary of Labor, any past or present Federal Employee or consultant directly or indirectly involved in investigations or other

enforcement activities under the Employee Retirement Income Security Act of 1974, is a party or is otherwise involved in an official capacity.

(3) The records may be made available pursuant to 29 U.S.C. 1134(a) to any person actually affected by the matters therein contained.

(4) The records may be referred when there is an indication of a violation or potential violation of law to the appropriate agency, whether federal, state, local or foreign, to be used by the agency to investigate possible violations of laws administered by it and to bring appropriate proceedings.

(5) The records may be referred, when appropriate, to a bar association, court, or federal, state, local or foreign licensing authority for possible disciplinary action.

(6) The records may be disclosed to a federal, state, local or foreign governmental authority, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the lettering of a contract, or the issuance of a license, grant or benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter.

(7) The records may be given or shown to anyone during the course of the Central States litigation if the Special Litigation Task Force has reason to believe that the person to whom such disclosure is made may have further information about the matter discussed therein and that those matters may be relevant to the Central States litigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

The records are maintained in hard copy, microfilm/microfiche or machine readable (computer/tape) form.

Retrievability:

The records are indexed by name.

Safeguards:

Access to and use of the records are limited to those persons whose official duties require it.

Retention and disposal:

The records retention is being determined by NARA.

System manager(s) and address:

Associate Solicitor, Special Litigation Task Force, U.S. Department of Labor, P.O. Box 37296, Washington, D.C. 20013.

Systems exempted from certain provisions of the act:

Under the specific exemption authority provided by 5 U.S.C. 552a(k)(2), this system is exempt from the following provisions of the Privacy Act: 5 U.S.C. 552a(c)(3), (d), (e)(1), (e)(4)(G), (e)(4)(H), (e)(4)(I) and (f) and the portions of 29 CFR Part 70a which implement these provisions.

Notice of Intention to Exempt

Civil Law Enforcement:The principal function of the Special Litigation Task Force is the prosecution of civil lawsuits alleging violations of the Employee Retirement Income Security Act of 1974. The system of records maintained by the Special Litigation Task Force constitutes "investigatory material compiled for law enforcement purposes" as defined in subsection (k)(2) of the Privacy Act. 5 U.S.C. 552a(k)(2). Disclosure of the records compiled with regard to the Central States litigation would substantially compromise the effectiveness of such litigation. Disclosure of these records could facilitate the concealment of evidence and lead to the intimidation of, or harm to, informants, witnesses and their respective families. Accordingly, these records are entitled to exemption from subsections (c)(3), (d), (e)(1), (e)(4)(G), (e)(4)(H), (e)(4)(I) and (f) of the Privacy Act. 5 U.S.C. 552a.

DOL/VETS-1

System name:

Veterans' Reemployment Rights Complaint File—VETS-1.

System location:

Veterans' Reemployment Rights (VRR) Area Offices, Veterans' Employment and Training Services (VETS) Regional Offices, VETS National Office, Regional Solicitor's Offices, National Solicitor's Office.

Categories of individuals covered by the system:

Veterans, enlistees, examinees, reservists or members of the National Guard of the U.S. Armed Forces on active or reserve service or training duty.

Categories of records in the system:

Investigatory files compiled for compliance/enforcement of individual cases.

Authority for maintenance of the system:

38 U.S.C., 2021 et seq.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

None.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are filed/stored by name of complainant and cross-referenced by name of employer. Requests must specify either name of complainant or name of employer with sufficient similarity to name(s) maintained on file to enable searcher to locate correct file.

Data processing storage and manual records.

Retrievability:

By name of complainant or name of employer.

Safeguards:

Secured room, or locked cabinets, and security access requirement for ADP system.

Retention and disposal:

Records will be maintained by the VETS for 5 years in accordance with NARA retention retirement and disposal schedule.

System manager(s) and address:

United States Department of Labor, Veterans' Employment and Training Service, Room S1315, 200 Constitution Avenue NW, Washington, DC 20210, and Regional Offices located at:

Veterans' Employment and Training Service, U.S. Department of Labor, 506 John F. Kennedy Federal Building, Government Center, Boston, Massachusetts 02203 (617) 223-0918

Veterans' Employment and Training Service, U.S. Department of Labor, U.S. Customs House, Room 240, Second and Chestnut Streets, Philadelphia, Pennsylvania 19106 (215) 597-5032

Veterans' Employment and Training Service, U.S. Department of Labor, 1371 Peachtree Street NE, Room 716, Atlanta, Georgia 30367 (404) 881-3673

Veterans' Employment and Training Service, U.S. Department of Labor, 230 South Dearborn, Room 1064, Chicago, Illinois 60604 (312) 353-0970

Veterans' Employment and Training Service, U.S. Department of Labor, 525 Griffin Street Federal Building, Room 204, Griffin and Young Streets, Dallas, Texas 75202 (214) 767-4987

Veterans' Employment and Training Service, U.S. Department of Labor, Federal Building, Room 800, 911 Walnut Street, Kansas City, Missouri 64106 (816) 374-7151

Veterans' Employment and Training Service, U.S. Department of Labor, Federal Office Building, 909 First Avenue, Room 3104, Seattle, Washington 98174 (206) 442-4831

Notification procedure:

See above.

Record access procedures:

See above.

Contesting record procedures:

See above.

Record source categories:

Veterans, employees, employers, Department of Defense, Veterans Administration, physicians, fellow employees, union officers.

Systems exempted from certain provisions of the act:

Under the specific exemption authority provided by paragraph 3(k)(1) of 5 U.S.C. 552a certain investigatory material compiled for law enforcement purposes which is maintained in the Veterans' Reemployment Rights Complaint File may be exempted from disclosure under the following provisions of the Privacy Act: 5 U.S.C. 552a(c)(3); (d); (e)(1); (e)(4)(F); (e)(4)(G); (e)(4)(H); and (e)(4)(I) and (f); and the portion of 29 CFR Part 70a which implements these provisions, if the disclosure of this information could result in the threatening of investigators and/or witnesses, or occasion them and/or their families with adverse consequences or could inhibit the effective investigation of complaints under the Veterans' Reemployment Rights Act and predecessor statutes. In order to conduct effective investigations it is at times necessary to guarantee the confidentiality of information being collected. Release of such information would constitute a break of the guarantee of confidentiality, could lead to the intimidation of witnesses, harassment or dismissal from employment of those involved, and could discourage those contacted from cooperating with investigators in future investigations.

Appendix I—Responsible Officials

The titles of the responsible officers of the various independent agencies in the Department of Labor are listed below. Unless otherwise specified, the mailing address of these officials shall be:

U.S. Department of Labor, 200 Constitution Avenue, NW., Washington, D.C. 20210
Chief, Administrative Law Judge.
Chairperson, Employees Compensation Appeals Board.
Chairperson, Benefits Review Board.
Deputy Under Secretary for International Affairs.
Director, Office of Information and Public Affairs.
Deputy Solicitor, Office of Solicitor.
Assistant Secretary for Administration and Management.
Director of Information, Privacy and Management Information System, Office of Inspector General.
Management Information Chief, Division of Management Information, Bureau of Labor Statistics.
Staff Utilization Chief, Division of Operation, Bureau of Labor Statistics.
Chairman, Wage Appeals Board.
Director, President's Committee for the Employment of the Handicapped.
Assistant Secretary for Labor-Management Relations (LMSA).
Assistant Administrator for Field Operations, LMSA.
Director, Office of Labor-Management Relations Services, LMSA.
Director, Office of Labor-Management Policy Development, LMSA.
Director, Office of Labor-Management Standards Enforcement, LMSA.
Director, Office of Veterans' Reemployment Rights, LMSA.
Deputy Administrator for Pension and Welfare Benefit Programs, LMSA.
Director, Office of Management, LMSA.
Deputy Under Secretary for Employment Standards, Employment Standards Administration.
Director, Office of Workers' Compensation Programs.
Associate Director for Federal Employees' Compensation.
Associate Director for Longshore and Harbor Workers' Compensation.
Associate Director for Coal Mine Workers Compensation.
Administrator, Wage and Hour Division.
Director, Office of Federal Contract Compliance Programs.
Chief, OFCCP Policy Implementation and Operations Review Staff.
Chief, OFCCP Division of Program Policy.
Chief, OFCCP Division of Program Operations.
Chief, OFCCP Division of Program Analysis.
Chief, OFCCP Division of Enforcement Coordination.
Director, Office of Administrative Management, ESA.
Director, Office of Program Development and Accountability, ESA.
ESA Office of Information and Consumer Affairs.
Assistant Secretary for Mine Safety and Health (MSHA).The official's mailing address is Ballson Tower No. 3, 4015 Wilson Blvd., Arlington, Virginia 22203.
Executive Assistant to the Assistant Secretary of Labor, Occupational Safety and Health Administration (OSHA).
Office of Field Coordination, OSHA.
Office of Information & Consumer Affairs, OSHA.
Equal Employment Opportunity Officer, OSHA.
Director, Directorate of Health Standards Programs, OSHA.
Director, Directorate of Safety Standards Programs, OSHA.
Director, Directorate of Policy, Legislation and Interagency Affairs, OSHA.
Director, Directorate of Administrative Programs, OSHA.
Director, Directorate of Federal Compliance and State Programs, OSHA.
Director, Directorate of Technical Support, OSHA.

(2) The mailing address for the responsible officials in the Employment and Training Administration is the Patrick Henry Building, 601 D Street, NW., Washington, D.C. 20213.

Administrator, Bureau of Apprenticeship.
Administrator, Office of Management Informations Systems.
Administrator, Office of Foreign Labor Certifications.
Administrator, Office of Job Corps.
Administrator, Office of Research and Evaluation.
Director, Special Review Staff.
Chief, Division of Special National Level Programs.

(3) The titles of the responsible officials in the field offices of the various independent agencies are listed below. Unless otherwise specified, the mailing addresses for these officials, by regions shall be:

Region I: J.F.K. Building, Government Center, Boston, Massachusetts 02203.
Region II: 1515 Broadway, New York, New York 10036.
Region III: 3535 Market Street, Philadelphia, Pennsylvania 19104.
Region IV: 1371 Peachtree Street, NE, Atlanta, Georgia 30309.
Region V: 230 South Dearborn Street, Chicago, Illinois 60604.
Region VI: 555 Griffin Square Building, Griffin and Young Streets, Dallas, Texas 75202.
Region VII: Federal Office Building, 911 Walnut Street, Kansas City, Missouri 64106.
Region VIII: Federal Office Building, 1961 Stout Street, Denver, Colorado 80202.
Region IX: Federal Building, 450 Golden Gate Avenue, San Francisco, California 94102.
Region X: 909 First Avenue, Seattle, Washington 98174.
Office of the Assistant Secretary for Administration and Management
Regional Administrators for Administration and Management. Regional Personnel Officers.
Office of Information and Public Affairs
Regional Information Directors (All Regions).
Employment and Training Administration
Regional Administrators for Employment and Training (All Regions).
Regional Directors, Job Corps (All Regions).
Labor-Management Services
Assistant Regional Administrators for Labor-Management Services.
Regions II, III, IV, V, VII, and IX.
Area Administrators for Labor-Management Services
1365 Peachtree St., NE, Suite 540, Atlanta, Georgia 30367.
New Studio Building 110 Tremont St., Rm. 211, Boston, Massachusetts 02108.
Federal Building 111 W. Huron St., Rm. 1310, Buffalo, New York 14202.
175 W. Jackson Boulevard, Suite 1201A, Chicago, Illinois 60604.
Federal Office, 1240 E. Ninth St., Rm. 821, Cleveland, Ohio 44199.
555 Griffin Square Building, 707 Griffin & Young Sts., Dallas, Texas 75202.
Federal Office Building, 1961 Stout St., Rm. 152, Denver, Colorado 80294.
Federal Office Building & U.S. Courthouse, Rm. 630, 231 W. Lafayette St, Detroit, Michigan 48226.
134 Evergreen Place, Rm. 201, East Orange, New Jersey 07018.
Federal Office Building, Rm. 650, Carlos Chardon St., Hato Rey, Puerto Rico, 00918.
300 Ala Moana, Rm. 5115, P.O. Box 50204, Honolulu, Hawaii 96850.
Federal Office Building, 911 Walnut St., Rm. 3000, Kansas City, Missouri 64106.
Federal Building, Rm. 4334, 300 N. Los Angeles St., Los Angeles, California 90012.
Washington Square Building, Suite 504, 111 N.W. 183rd St., Miami, Florida 33169.
Butler Square Building, Rm. 652 East, 100 North Sixth St., Minneapolis, Minnesota 55403.
1808 West End Building, Rm. 716, Nashville, Tennessee 37203.
Federal Office Building, Rm. 940, 600 South St., New Orleans, Louisiana 70130.
26 Federal Plaza, Rm. 537, New York, New York 10278.
James A. Byrne Courthouse, Rm. 7401, 601 Market St., Philadelphia, Pennsylvania 19106.
Federal Office Building, Rm. 804, 1000 Liberty Ave., Pittsburgh, Pennsylvania 15222.
210 Tucker Boulevard, Rm. 570, St. Louis, Missouri 63101.
211 Main Street, Rm. 317, San Francisco, California 94105.
Federal Office Building, Rm. 3135, 909 First Avenue, Seattle, Washington 98174.
1730 K Street, NW, Rm. 558, Riddell Building, Washington, D.C. 20006.
The Employment Standards Administration
Regional Administrator: All Regions.
Assistant Regional Administrator for Wage and Hour Division: All Regions.
Assistant Regional Administrator for Office of Federal Contract Compliance Programs: All Regions.

Executive Assistant to the Regional Administrator: All Regions.
Office of Workers' Compensation Programs—Deputy Commissioner
147 Milk Street, Boston, Massachusetts 02109.
1515 Broadway, New York, New York 10036.
3535 Market Street, Philadelphia, Pennsylvania 19104.
5Charles Center South, 31 Hopkins Plaza, Baltimore, Maryland 21201.
Stanwick Building, 3661 Virginia Beach Boulevard, East Norfolk, Virginia 23502.
400 West Bay Street, Box 35049, Jacksonville, Florida 32202.
Federal Office Building, 600 South Street, New Orleans, Louisiana 70130.
2320 LaBranch Street, Houston, Texas 77004.
1240 East Ninth Street, Room 879, Cleveland, Ohio 44199.
230 South Dearborn Street, Chicago, Illinois 60604.
1910 Federal Office Building, 911 Walnut Street, Kansas City, Missouri 64106.
1531 Stout Street, Room 303, Denver, Colorado 80202.
450 Golden Gate Avenue, Box 36022, San Francisco, California 94102.
Federal Office Building, 909 First Street, Seattle, Washington 98174.
1833 Kalakaua Avenue, Room 610, Honolulu, Hawaii 96315.
McLachlen Building, Room 405, 616 11th Street, NW, Washington, D.C. 20211 (FECA).
812 Connecticut Avenue, NW, Washington, D.C. 20211 (DCCA).
Director, Condominio San Alberto Building, 7th Floor, 120 Ponce de Leon Avenue, Santurce, Puerto Rico 00907.
Occupational Safety and Health Administration
409-2 Totten Pond Road, 2nd Floor, Waltham, Massachusetts 02154.
Federal Building, Room 334, 55 Pleasant Street, Concord, New Hampshire 03301.
MDC Building, 2nd Floor, 555 Main Street, Hartford, Connecticut 06103.
169 Weybosset Street, 5th Floor, Providence, Rhode Island 02903.
1200 Main Street, Suite 513, Springfield, Massachusetts 01103.
40 Western Avenue, Room 121, Augusta, Maine 04330.
90 Church Street, Room 1405, New York, New York 10007.
990 Westbury Road, Westbury, New York 11590.
Belle Mead GSA Depot Building T3, Belle Mead, New Jersey 08502.
2 East Blackwell Street, Dover, New Jersey 07801.
136-21 Roosevelt Avenue, 3rd Floor, Flushing, New York 11354.
2101 Ferry Avenue, Room 403, Camden, New Jersey 08104.
Leo W. O'Brien Federal Building, Clinton Avenue & North Pearl Street, Room 132, Albany, New York 12207.
220 Delaware Avenue, Suite 509, Buffalo, New York 14202.
Teterboro Airport Professional Building, 377 Route 17, Room 206, Hasbrouck Heights, New Jersey 07604.
US Courthouse & FOB, Carlos Chardon Avenue, Room 555, Hato Rey, Puerto Rico 00918.
100 South Clinton Street, Room 1267, Syracuse, New York 13260.
Room 242 US Customs House, Second & Chestnut Street, Philadelphia, Pennsylvania 19106.
400 Penn Center Boulevard, Suite 600, Pittsburgh, Pennsylvania 15235.
147 West 18th Street, Eire, Pennsylvania 16501.
Progress Plaza, 49 North Progress Avenue, Harrisburg, Pennsylvania 17109.
Federal Building, Room 6226, 400 North 8th Street, PO Box 10186, Richmond, Virginia 23240.
Federal Building, Room 1110, Charles Center 31 Hopkins Plaza, Baltimore, Maryland 21201.
Federal Office Building, Room 3007, 844 King Street, Wilmington, Delaware 19801.
Penn Place, Room 2005, 20 North Pennsylvania Avenue, Wilkes-Barre, Pennsylvania 18701.
550 Eagan Street, Room 303, Charleston, West Virginia 25301.
Building 10, Suite 33, LaVista Perimeter Office Park, Tucker, Georgia 30084.
Todd Mall, 2047 Canyon Road, Birmingham, Alabama 35126.
Federal Building, Suite 1445, 100 West Capitol Street, Jackson, Mississippi 39201.
Art Museum Plaza, Suite 4, 2809 Art Museum Drive, Jacksonville, Florida 32207.
Room 127, John C. Watts, Federal Building, 330W Broadway, Frankfort, KY 40601.
1835 Assembly Street, Room 1468, Columbia, South Carolina 29201.
951 Government Street, Suite 511, Mobile, Alabama 36604.
Federal Building, Room 302, 299 East Broward Boulevard, Fort Lauderdale, Florida 33301.
1600 Hayes Street, Suite 302, Nashville, Tennessee 37203.
Federal Office Building, Room 406, 310 New Bern Avenue, Raleigh, North Carolina 27601.
400 Mall Boulevard, Suite J, Savannah, Georgia 31406.
700 Twiggs Street, Room 124, Tampa, Florida 33602.
1400 Torrence Avenue, 2nd Floor, Calumet City, Illinois 60409.
6000 West Touhy Avenue, Niles, Illinois 60648.
344 Smoke Tree Business Park, North Aurora, Illinois 60542.
Federal Office Building, Room 4028, 550 Main Street, Cincinnati, Ohio 45202.
Federal Office Building, Room 899, 1240 East 9th Street, Cleveland, Ohio 44199.
Federal Office Building, Room 634, 200 North High Street, Columbus, Ohio 43215.
231 West Lafayette, Room 628, Detroit, Michigan 48226.
USPO & Courthouse, Room 422, 46 East Ohio Street, Indianapolis, Indiana 46204.
2618 North Ballard Road, Appleton, Wisconsin 54911.
Federal Building US Courthouse, 500 Barstow Street, Room B-9, Eau Claire, Wisconsin 54701.
Clark Building, Room 400, 633 West Wisconsin Avenue, Milwaukee, Wisconsin 53203.
2934 Fish Hatchery Road, Suite 220, Madison, Wisconsin 53713.
801 Butler Square Building, 100 North 6th Street, Minneapolis, Minnesota 55403.
228 NE Jefferson, 3rd Floor, Peoria, Illinois 61613.
218A Main Street, Belleville, Illinois 62220.
Federal Office Building, Room 734, 234 North Summit Street, Toledo, Ohio 43604.
1425 West Pioneer Drive, Irving, Texas 75061.
130 Petroleum Tower, 811 North Carancahua Street, Corpus Christi, Texas 78474.
2320 LaBranch Street, Room 2118, Houston, Texas 77004.
Western Bank Building, Room 1407, 505 Marquette Avenue, NW, Albuquerque, New Mexico 87102.
American Bank Tower, Suite 310, 221 West 6th Street, Austin, Texas 78701.
Hoover Annex, Suite 200, 2156 Wooddale Boulevard, Baton Rouge, Louisiana 70806.
West Mark Building, Suite 212, 4120 West Markham, Little Rock, Arkansas 72205.
50 Penn Place, Suite 408, Oklahoma City, Oklahoma 73118.
Federal Building, Room 421, 1205 Texas Avenue, Lubbock, Texas 79401.
1150 Grand Avenue, 6th Floor, 12 Grand Building, Kansas City, Missouri 64106.
210 Walnut Street, Room 815, Des Moines, Iowa 50309.
Overland-Wolf Building, Room 100, 6910 Pacific Street, Omaha, Nebraska 68106.
4300 Goodfellow Building, Room 105E, St. Louis, Missouri 63120.
216 North Waco, Suite B, Wichita, Kansas 67202.
Petroleum Building, Suite 210, 2812 1st Avenue North, Billings, Montana 59101.
Federal Building, Room 348, PO Box 2439, Bismark, North Dakota 58501
Tremont Center—1st Floor, 333 West Colfax, Denver, Colorado 80204.
US Post Office Building, Room 505, 350 South Main Street, Salt Lake City, Utah 84101.
211 Main Street, San Francisco, California 94105.
1050 East William Street, Suite 402, Carson City, Nevada 89701.
300 Ala Moana Bulevard, Suite 5122, PO Box 50072, Honolulu, Hawaii 96850.
400 Oceangate, Suite 530, Long Beach, California 90802.
Amerco Towers, Suite 300, 2721 North Central Avenue, Phoenix, Arizona 85004.
Federal Building, 701 C Street, Box 29, Anchorage, Alaska 99513.
121-107th Street, NE, Bellevue, Washington 98004.
1315 West Idaho Street, Boise, Idaho 83702.
1220 Southwest 3rd Street, Room 640, Portland, Oregon 97204.
OSHA Training Institute, US Department of Labor, 1555 Times Drive, Des Plaines, Illinois 60018.
OSHA Cincinnati Laboratory, USPO Building, Room 108, 5th and Walnut Streets, Cincinnati, Ohio 45202.
Analytical Laboratory, 390 Wakara Way Research Park, Salt Lake City, Utah 84108.

Appendix II.—For General Assistance, You May Wish To Contact the Following Agency Coordinators for the Privacy Act

Agency	Person	Address	Telephone
Office of the Secretary (OSECY)	Elaine F. Jackson	S-5526, Frances Perkings Building	523-6312
Office of the Assistant Secretary for Administration and Management (OASAM)	Elaine F. Jackson	S-5526 Frances Perkings Building	523-6312
Bureau of Labor Statistics (BLS)	Rosemary Sheehy	Room 2115, GAO Building	523-1971
Employment Standards Administration (ESA)	Clark Forkel	C-3321, Frances Perkings Building	523-8489
Employment and Training Administration (ETA)	James Moriarty	Room 5100, Patrick Henry Building	376-6694
Office of Inspector General (OIG)	Anthony Rossi	S-5512, Frances Perkings Building	357-0497
Deputy Under Secretary for International Affairs or Bureau of International Labor Affairs (ILAB).	Dora E. Carrington	S-5303, Frances Perkings Building	523-6136
Labor-Management Services, Administration (LMSA)	Paul Fitzpatrick	N-5663, Frances Perkings Building	523-6859
Mine Safety and Health Administration (MSHA)	Richard Baker	Room 735, Ballston Tower No. 3, Arlington, VA	235-1470
Occupational Safety and Health Administration (OSHA)	James Foster	N-3637, Frances Perkings Building	523-8148
Office of Solicitor	Miriam Miller	N-2428, Frances Perkings Building	523-8198

Building Addresses
a. Frances Perkings Building, 200 Constitution Avenue NW., Washington, D.C. 20210.
b. GAO Building, 441 G Street NW., Washington, D.C. 20212.
c. Patrick Henry Building, 601 D Street NW., Washington, D.C. 20213.
d. Ballston Tower No. 3, 4015 Wilson Blvd., Arlington, Virginia 22203.

Title 29-Labor

Subtitle A-Office of the Secretary of Labor

PART 70a—PROTECTION OF INDIVIDUAL PRIVACY IN RECORDS

Sec.

70a.1 Purpose and scope.
70a.2 Definitions.
70a.3 Conditions of disclosure of information.
70a.4 Required procedure with regard to a request by an individual for a record contained within a system of records.
70a.5 Requirements for identification of individuals making requests.
70a.6 Disclosure of requested information to individuals.
70a.7 Request for correction or amendment to a record.
70a.8 Agency review of request for correction or amendment to a record.
70a.9 Procedures for appeal from initial adverse determination.
70a.10 Solicitation of social security numbers.
70a.11 Fees.
70a.12 Penalties.
70a.13 Exemptions.

Authority: Sec. 3(f), Privacy Act of 1974 (5 U.S.C. 552a(f), 88 Stat. 1896, 1900); 5 U.S.C. 553.

Source: 42 FR 6106, Feb. 1, 1977, unless otherwise noted.

§ 70a.1 Purpose and scope.

(a) *Purpose.* This part sets forth the basic criteria which are to be used for implementing the provisions of the Privacy Act of 1974 (Pub. L. 93–579) as it applies to the Department of Labor.

(b) *Scope.* (1) Except as noted in paragraphs (b) (2) and (b) (3) of this section, the regulations set forth in this part apply whenever a record containing personal information is maintained within a system of records which is under the control of the Department and such records are retrieved by reference to a personal identifier.

(2) Requests for notification, access or amendment to personnel records maintained by the Department are governed by Parts 293 and 297 of the Civil Service Commission's regulations, Title 5, Code of Federal Regulations, and internal Department directives established pursuant to the Commission's regulations.

(3) For systems of records contained within government-wide systems of records under the control of the Department of Labor, the regulations of the agency in possession of such records shall govern the procedure for requesting access to, or amendment of the records, including initial determinations on such requests, while the Department of Labor regulations shall govern all other aspects of safeguarding these records established by the Privacy Act.

§ 70a.2 Definitions.

For purposes of this part: (a) "Agency" means an agency as that term is defined in 5 U.S.C. 552(e). It means "each authority of the Government of the United States, whether or not it is within or subject to review by another agency * * *" (5 U.S.C. 551(1)), but it does not include an advisory committee.

(b) The term "individual" means a citizen of the United States (as defined in 8 U.S.C. 1401) or an alien lawfully admitted for permanent residence. This definition distinguishes between the rights which are given to a citizen as an individual under this Act and the rights of proprietorships, including sole proprietors, businesses, and corporations, which are not covered by the Act. Records relating solely to nonresident aliens are excluded from the requirements of this Part. However, where a system of records relates to both citizens and nonresident aliens, those portions of the system which relate to citizens or resident aliens must comply with the provisions set forth in these regulations.

(c) The term "maintain" includes the maintenance, collection, use, or dissemination of records, or any combination of these recordkeeping functions. The term "maintain" also connotes control over and responsibility and accountability for a system of records. Effective control of a system of records does not necessarily require physical control of the system (e.g., the Civil Service Commission has control over personnel records not physically within its possession). Furthermore, records on loan from one agency to another may not necessarily be under the control of the latter depending upon the circumstances attendant to, and the conditions of the transfer. Systems of records operated under contract, or in some instances, operated by State or local governments under Federal mandates "by or on behalf of the agency * * * to accomplish an agency function" are, for purposes of this part, under the control of the agency for which the services are being performed, and consequently subject to the requirements set forth in this part. The qualifying phrase "to accomplish an agency function" limits the applicability of the Act to those systems directly related to the performance of Federal agency functions by excluding from its coverage systems which are financed, in whole or in part, with Federal funds, but which are managed by State or local governments for the benefit of State or local governments.

(d) The term "record" means a tangible or documentary record, as opposed to an intangible record, such as information contained in a person's memory. It is any item of information, or any grouping of such items of information, about an individual that includes an identifying particular (i.e., an individual identifier). An "identifying particular" is any element of data (name, number, etc.) or other descriptor (finger print, voice print, photograph) which can be used to identify an individual.

(e) The term "system of records" means a group of any records under the control of an agency from which information is retrieved by reference to the name of an individual or by some identifying particular assigned to an individual. A "system of records" for purposes of this part is a group of records which:

(1) Consists of records as that term is defined in this section.

(2) Are "under the control of" an agency, and

(3) Are retrieved by reference to an individual name or some other personal individual identifier.

"Under the control of" means those official records for which the agency is officially responsible and either has in its possession or exercises dominion over. This excludes those records which, although in the physical possession of agency employees and used by them in performing official functions, are not, in fact, agency records. Uncirculated personal notes, papers and records which are retained or discarded at the author's discretion and over which the agency exercises no dominion or control (e.g., personal telephone lists) are not "agency records" for purposes of this part.

The criteria "are retrieved by" covers those records under the control of an agency which are, in fact, accessed by use of a personal identifier, not merely that a capability or potential capability exists for retrieving personal information in some manner. For example, files on firms which contain personal information about officers of the firms are not records for purposes of this part unless the agency actually retrieves this information by reference to a personal identifier.

(f) The term "statistical record" means a record contained within a system of records which is maintained for statistical research or reporting purposes only, and not used, in whole or in part, in making any determination about an identifiable individual. For a record to qualify as a "statistical record," it must be maintained as a system of records separately from other systems of records where such other systems contain records that are used to make determinations about the rights, benefits, or entitlements of an identifiable individual. The term "identifiable individual" distinguishes determinations about specific individuals from determinations about aggregates of individuals. An example of the latter is the use of census data for the apportionment of funds based upon population.

Records frequently referred to as "research records" which are only used for analytic purposes, qualify as "statistical records" for purposes of this Part, provided such records are not used in making any determination about the rights, benefits or entitlement of an identifiable individual.

(g) The term "routine use" means, with respect to the disclosure of a record, the use of such record for a purpose which is compatible with the purpose for which it was collected. The Privacy Act restricts the use of information to such purposes, but also recognizes that there are corollary purposes "compatible with the purpose for which the information was collected" that are appropriate and necessary for the efficient conduct of government, and are in the best interest of both the individual and the public. Thus, the term "routine use" includes the common and ordinary applications for which such records are generally collected and all proper and necessary applications of records without regard to the frequency of such applications.

(h) "Disclosure officer," "responsible official" and "officer authorized to disclose information from Department records" are those officials in this Department, whose titles and addresses are listed in § 70a.4(a)(1)(ii) of this chapter, who must pass on requests to inspect or copy record information in their custody. The solicitor of Labor, in the case of appeals and with respect to withdrawal of originals is the disclosure officer for such purposes, as is the Secretary of Labor with respect to the withdrawal of originals. As the head of the Department, the Secretary may invest any officer or employee of the Department with the authority to disclose information from particular records.

§ 70a.3 Conditions of disclosure of information.

(a) Nothing in this part shall allow an individual access to any information compiled in reasonable anticipation of a civil action or proceeding.

(b) Exempt as provided in paragraphs (d) through (f) of this section, neither the Department, nor its component units, shall disclose any record which is contained within a system of records subject to the requirements of this part, to any person or agency other than to the individual who is the subject of the record, unless the disclosure is to such person's parent or guardian as provided in § 70a.5 (c) of this part, or to the representative designated by such individual in accordance with the requirments contained in § 70a.5(b) of this part.

(c) If a requester satisfied the requirements set forth in §§ 70a.4 and 70a.5 of this part, and the record described in paragraph (b) of this section does in fact exist, and is not otherwise exempt from disclosure by any other provision contained in this part, the record shall be made available to the requester in accordance with § 70a.6 of this part.

(d) Upon the notarized written consent of an individual to whom a record described in paragraph (b) of this section pertains, the Department, or any of its component units, may disclose the record to an agency or a person other than the individual to the extent that the individual to whom the record pertains has so consented.

(e)(1) In the absence of written consent from the individual to whom a record described in paragraph (b) of this section pertains, the Department may disclose any such record provided such disclosure is:

(i) To those officers and employees of the Department of Labor who have a need for the information in the performance of their duties;

(ii) Required under the Freedom of Information Act (5 U.S.C. 552);

(iii) For a "routine use" as published in the annual notice in the **Federal Register**;

(iv) To the Bureau of Census for purposes of planning or carrying out a census or survey or related activity under the provisions of Title 13 of the united States Code;

(v) To a recipient who has provided the Department with adequate advance written assurance that the record will be used solely as a statistical research or reporting record, and that the record is to be transferred in a form that is not individually identifiable;

(vi) To the National Archives of the United States as a record which has sufficient historical or other value to warrant its continued preservation by the United States Government, or for evaluation by the Administrator of General Services or his designee to determine whether the record has such value;

(vii) To another agency or to an instrumentality of any governmental jurisdiction within or under the control of the United States for a civil or criminal law enforcement activity authorized by law, provided the head of the agency or instrumentality has made a prior written request to the Department, or a unit component thereof, specifying the particular record and the law enforcement activity for which it is sought;

(viii) To either House of Congress, or, to the extent that a matter is within its jurisdiction, any committee or subcommittee thereof; or to any joint committee of Congress or a subcommittee of any such joint committee;

(ix) To the Comptroller General, or any of his authorized representatives in the course of the performance of the duties of the General Acounting Office;

(x) Under an order of a court of competent jurisdiction, in which case the Department shall make reasonable efforts to notify the subject individual of the subpoenaed record when the subpoena of such material becomes a matter of public record; or

(xi) To a person pursuant to a showing of compelling circumstances affecting the health or safety of an individual (not necessarily the individual to whom the record pertains), if upon such disclosure notification is transmitted to the last known address of the individual to whom the record pertains.

(2) The authority to disclose information without the written consent of the individual does not imply mandatory disclosure. The Department shall continue to consider all relevant factors before authorizing the disclosure of information, including the effect that disclosure would have upon the individual who is the subject of the record.

(f) When a record has been amended or a requested amendment thereto has been denied, and the requester has submitted a memorandum of disagreement, the amended information, or the memorandum of disagreement, must be transmitted to prior recipients as provided in 5 U.S.C. 552a(d)(4) and § 70a.9(f) of this part.

(g) Except as prescribed in paragraphs (d) and (f) of this section, and other provisions of this part related thereto, the regulations contained in this part do not require the disclosure of a record to anyone other than the individual to whom the record pertains.

§ 70a.4 Required procedure with regard to a request by an individual for a record contained within a system of records.

(a)(1)(i) Any individual, regardless of age, desiring to examine or copy records of the Department of Labor which are retrieved in the name of that individual or other identifier personal to that individual shall direct a request to the appropriate official as prescribed in paragraph (d) of this section. Any individual desiring to ascertain whether, and to whom the Department has disclosed his or her record or part thereof, or deserving to request an amendment to such record, shall direct a request to the same official.

(ii) When a person is uncertain as to whom the request should be directed, it should be sent to: Deputy Assistant Secretary, Office of the Assistant Secretary for Administration and Management, U.S. Department of Labor, 200 Constitution Avenue, NW, Washington, D.C. 20210.

(2) Requests made in person shall be presented during the Department's normal working hours. When the request is made by mail, a notation should be made on the envelope and conspicuously on the letter indicating that the communication involves a request under the Privacy Act (i.e., "Privacy Act Request").

(b) Each request shall be in writing. It shall state the nature of the action desired and shall be reasonably detailed to permit identification and location of the record in question. so far as practicable, the request should specify the subject matter of the record, the date or approximate date when made, the place where made, the person or office that made it, and any other pertinent identifying details. The requester should also indicate whether he or she wishes to review the record in person or obtain a copy by mail.

(c)(1) The disclosure officer who is responsible for acting upon a request shall, upon receipt thereof, have the date and time the request was received immediately inscribed thereon, and within 10 working days thereafter, acknowledge such receipt to the requester. In addition, the acknowledgement shall indicate the time within which it is anticipated that a determination of the request will be made. Such an acknowledgement, however, is not required when a determination can be made within the 10-day period.

(2) If the description contained in the request is insufficient so that a professional employee who is familiar with the subject area of the request cannot locate the record with a reasonable amount of effort, the officer processing the request shall notify the applicant and, to the extent possible, indicate the additional information required. Every reasonable effort shall be made to assist an applicant in the identification and location of the record or records sought.

(d)(1) The titles of the responsible officials of the various independent agencies in the Department of Labor are listed below. Unless otherwise specified, the mailing address of these officials shall be:

U.S. Department of Labor, 200 Constitution Avenue, NW, Washington, D.C. 20210

Chief, Administrative Law Judge.
Chairperson, Employees Compensation Appeals Board.
Benefits Review Board, Julius Miller, Member.
Executive Assistant to the Secretary.
Executive Assistant to the Under Secretary.
Deputy Under Secretary for International Labor Affairs.
Associate Deputy Under Secretary for International Labor Affairs.
Associate Deputy Under Secretary for Trade and Adjustment Policy.
Director, Office of Information, Publication and Reports.
Executive assistant to the Assistant Secretary for Policy, Evaluation and Research.
Deputy Solicitor, Office of the Solicitor.
Assistant Secretary for Administration and Management.
Administrative Information Chief, Division of Management Systems, Bureau of Labor Statistics.
Staff Utilization Chief, Division of Operation, Bureau of Labor Statistics.
Executive Assistant to Deputy Commissioner for Statistical Operations and Processing, Office of Statistical Operations and Processing, Bureau of Labor Statistics.
Assistant Secretary for Labor-Management Relations.
Assistant Administrator for Field Operations, LMSA.
Director, Office of Labor-Management Relations Services.
Director, Office of Labor-Management Policy Development.
Director, Office of Labor-Management Standards Enforcement.
Director, Office of Veterans' Reemployment Rights.
Director, Office of Federal Labor-Management Relations.
Deputy Administrator of Pension and Welfare Benefit Program, Office of Employee Benefits Security.
Director, Office of Administration and Management, LMSA.
Director, Office of Planning, Evaluation and Systems, LSMA.
Director, Office of Personnel Management.
Assistant Director, Office of Personnel Management.
Assistant Regional Director for Labor-Management Services.
Assistant Secretary for Employment Standards, Employment Standards Administration.
Director, Office of Workers' Compensation Programs.
Associate Director for Federal Employees' Compensation.
Associate Director for Longshore and Harbor Workers' Compensation.
Administrator, Wage and Hour Division.
Director, Office of Federal Contract Compliance Programs.
Associate Director, OFCCP, Agency Compliance Divisions I–IV.
Associate Director, OFCCP, Policies, Plans and Programs.
Associate Director, OFCCP, Construction Compliance Division.
Associate Director, OFCCP, Management Support Staff.
Associate Director, OFCCP, Veterans and Handicapped Workers Program Operations Division.
Director, Women's Bureau.
Director, Office of Administrative Management, ESA.
Director, Office of Program Development and Accountability, ESA.
Director, Office of Information for ESA.
Executive Assistant to the Assistant Secretary, Occupational Safety and Health Administration.
Special Assistant for Public Affairs, OSHA.
Director, Office of Federal Agency Safety Programs, OSHA.
Director, Office of Training and Education, OSHA.
Director, Office of Standards Development, OSHA.
Director, Office of Compliance Programming, OSHA.
Director, Office of State Programs, OSHA.
Director, Office of Field Performance Analysis, OSHA.
Director, Office of Employee Self-Inspection and Consultation Programs, OSHA.
Director, Office of Management Data systems, OSHA.
Director, Office of Planning, Evaluation, and Research, OSHA.
Equal Employment Opportunity Officer, OSHA.
Director, Office of Personnel Management, OSHA.
Director, Office of Administrative Management, OSHA.
Director, Office of Financial Management, OSHA.
Director, Office of Publications and Visual Aids, OSHA.
Committee Management Officer, OSHA.
Associate Assistant Secretary for Regional Programs, OSHA.
Associate Assistant Secretary for National Programs, OSHA.
Associate Assistant Secretary for Administrative Programs, OSHA.

(2) The mailing address for the responsible officials in the Employment and Training Administration is the Patrick Henry Building, 601 D Street, NW, Washington, D.C. 20213.

Director, Office of Program and Management Service, USES, Room 8430.
Administrative Officer, USES, Room 8001.

Director, Program and Management Services Staff, Office of Comprehensive Employment Development, Room 6000.
Executive Assistant to the Administrator, Office of Comprehensive Employment Development, Room 6000.
Deputy Director, Office of Community Employment Programs, Room 5402.
Special Assistant to the Director, Office of Community Employment Programs, Room 5402.
Program Analyst, Office of Work Incentive Programs, Room 5200.
Manpower Development Specialist, Office of Work Incentive Programs, Room 5118.
Chief, Corpsmember Support, Job Corps, Room 6122.
Manpower Development Specialist, Job Corps, Room 6022.
Deputy Director, Office of National Programs, Room 6402.
Chief, Migrant Workers Service, Office of National Programs, Room 7122.
Chief, Division of Indian and Native American Programs, Office of National Programs, Room 6102.
Chief, Division of National Training Programs, Office of National Programs, Room 6308.
Chief, Division of Contracting Service, Office of National Programs, Room 6406.
Administrator, Office of Policy, Evaluation and Research, Room 9000.
Manpower Analyst, Office of Policy, Evaluation and Research, Room 9424.
Administrator, Bureau of Apprenticeship and Training, Room 5000.
Management Officer, Bureau of Apprenticeship and Training, Room 5434.
Chief, Division of Directives Control, Office of Field Operation, Room 10020.
Program Analyst, Office of Field Operation, Room 10014.
Director, Office of Management Information Systems, Office of Administration and Management, Room 4400.
Supervisory Program Analyst, Office of Administration and Management, Room 4000.
Program Specialist, Unemployment Insurance Service, Room 7326.
Special Assistant to the Director, Unemployment Insurance Service, Room 7000.

(3) The titles of the responsible officials in the field offices of the various independent agencies are listed below. Unless otherwise specified, the mailing addresses for these officials, by regions, shall be:

Region I: J.F.K. Building, Government Center, Boston, Massachusetts 02203.
Region II: 1515 Broadway, New York, New York 10036.
Region III: 3535 Market Street, Philadelphia, Pennsylvania 19104.
Region IV: 1371 Peachtree Street, NE, Atlanta, Georgia 30309.
Region V: 230 South Dearborn Street, Chicago, Illinois 60604.
Region VI: 555 Griffin Square Building, Griffin and Young Streets, Dallas, Texas 75202.
Region VII: Federal Office Building, 911 Walnut Street, Kansas City, Missouri 64106.
Region VIII: Federal Office Building, 1961 Stout Street, Denver, Colorado 80202.
Regional IX: Federal Building, 450 Golden Gate Avenue, San Francisco, California 94102.
Region X: 909 First Avenue, Seattle, Washington 98174.

OFFICE OF THE UNDER SECRETARY, REGIONAL DIRECTORS

OFFICE OF THE ASSISTANT SECRETARY FOR ADMINISTRATION AND MANAGEMENT, ASSISTANT REGIONAL DIRECTORS

Assistant Regional Director for Audit. (All Regions.)

OFFICE OF INFORMATION, PUBLICATIONS AND REPORTS

Assistant Regional Director for Regions I–IX.
Region X: Assistant Regional Director for Information, 1321 Second Avenue, Arcade Plaza, Seattle, Washington.
Associate Assistant Regional Director, Federal Building, 300 North Los Angeles Street, Los Angeles, California.

EMPLOYMENT AND TRAINING ADMINISTRATION

Region I: Acting Regional Administrator for Employment and Training, Room 1707.
Region I: Deputy Regional Administrator for Employment and Training, Room 1707.
Region I: Associate Regional Administrator for Administration and Management Services, Room 1712.
Region I. Program Analyst, Room 3724.
Region III: Chief, Division of Administrative Support, Room 13464, Gateway Building, P.O. Box 8796, Philadelphia, Pennsylvania 19101.
Region III: Alien Employment Certifying Officer, Room 13180, Gateway Building.
Region IV: Chief, Manpower Data Systems and Analysis, Room 405.
Region IV: Regional Economist, Room 405.
Region V: Chief, Contract Specialist, 6th Floor.
Region VI: Supervisory Contract Specialist, Room 316.
Region VII: Supervisory Contract Specialist, Room 800.
Region VII: Contract Specialist, Room 800.
Region VIII: Executive Assistant to the Regional Administrator for Employment and Training, Room 16018.
Region IX: Executive Assistant to the Regional Administrator for Administration and Management Services, Room 9062.
Region IX: Contract Specialist, Room 9057A.
Region X: Executive Assistant to the Regional Administrator for Administration and Management Services, Room 1136.
Region X: Associate Regional Administrator for Program and Technical Services, Room 1094.

LABOR-MANAGEMENT SERVICES

Assistant Regional Directors for Labor-Management Services.
Regions II, III, IV, V, VII and IX.

AREA DIRECTORS FOR LABOR-MANAGEMENT SERVICES

1371 Peachtree Street, NE, Room 303, Atlanta, Georgia 30309.
111 North Calvert Street, Room 203, Baltimore, Maryland 21202.
100 Tremont Street, Room 211, New Studio Building, Boston, Massachusetts 02108.
111 West Huron Street, Room 616, Federal Building, Buffelo, New York 14202.
230 South Dearborn Street, Room 700, Federal Office Building, Chicago, Illinois 60604.
1240 East 9th Stret, Room 821, Federal Office Building, Cleveland, Ohio 44199.
P.O. Box 239, Bryan and Ervay Streets, Room 301, Post Office Building, Dallas, Texas 75221.
1961 Stout Street, 2320 Federal Office Building, Denver, Colorado 80202.
234 State Street, Room 1906, Washington Boulevard Building, Detroit, Michigan 43226.
1833 Kalakaua Avenue, Room 601, Honolulu Hawaii 96315.
911 Walnut Street, Room 2200, Federal Office Building, Kansas City, Missouri 64106.
300 North Los Angeles Street, Room 7731, Federal Building, Los Angeles, California.
18350 Northwest Second Avenue, P.O. Box 3750, Norland Branch, Miami, Florida 33169.
110 South Fourth Street, Room 110 Federal Courts Building, Minneapolis, Minnesota 55401.
1808 West End Building, Room 825, Nashville, Tennessee 37203.
9 Clinton Street, Room 305, Newark, New Jersey 07102.
600 South Street, Room 940, Federal Office Building, New Orleans, Louisiana 70130.
26 Federal Plaza, Room 1751, New York, New York, 10007.
600 Arch Street, Room 4256, Federal Office Building, Philadelphia, Pennsylvania 19106.
1000 Liberty Avenue, Room 1436, Federal Office Building, Pittsburgh, Pennsylvania 15222.
210 North Twelfth Boulevard, Room 570, St. Louis, Missouri 63101.
100 McAllister Street, Room 1604, San Francisco, California 94102.
605 Condado Avenue, Room 704, Condominio San Alberto, Santurce, Puerto Rico 00907.
506 Second Avenue, Room 3391, Smith Tower Building, Seattle, Washington 98104.
1111 20th Street, NW, P.O. Box 19257, Room 509 Vanguard Building, Washington, D.C. 20036.

THE EMPLOYMENT STANDARDS ADMINISTRATION

Assistant Regional Administrator for Wage and Hour Division: All Regions.
Assistant Regional Administrator for Office of Federal Contract Compliance Programs: All Regions.
Assistant Regional Administrator for Women's Bureau: All Regions.
Assistant Regional Administrator for Program Development and Accountability: All Regions.

OFFICE OF WORKERS' COMPENSATION PROGRAMS-DEPUTY COMMISSIONER

147 Milk Street, Boston, Massachusetts 02109.
1515 Broadway, New York, New York 10036.
3535 Market Street, Philadelphia, Pennsylvania 19104.
Charles Center South, 31 Hopkins Plaza, Baltimore, Maryland 21201.
Stanwick Building, 3661 Virginia Beach, Boulevard, East Norfolk, Virginia 23502.

400 West Bay Street, Box 35049, Jacksonville, Florida 32202.
Federal Office Building, 600 South Street, New Orleans, Louisiana 70130.
2320 LaBranch Street, Houston, Texas 77004.
1240 East Ninth Street, Room 879, Cleveland, Ohio 44199.
230 South Dearborn Street, Chicago, Illinois 60604.
1910 Federal Office Building, 911 Walnut Street, Kansas City, Missouri 64106.
1531 Stout Street, Room 303, Denver, Colorado 80202.
450 Golden Gate Avenue, Box 36022, San Francisco, California 94102.
Federal Office Building, 909 First Street, Seattle, Washington 98174.
1833 Kalakaua Avenue, Room 610, Honolulu, Hawaii 96315.
McLachlen Building, Room 405, 616 11th Street, NW, Washington, D.C. 20211 (FECA).
812 Connecticut Avenue, NW, Washington, D.C. 20211 (DCCA).
Director, Condominio San Alberto Building, 7th Floor, 120 Ponce de Leon Avenue, Santurce, Puerto Rico 00907.

OCCUPATIONAL SAFETY AND HEALTH ADMINISTRATION

Director, OSHA Training Institute, 10600 West Higgins Road, Rosemont, Illinois 60018.

ASSISTANT REGIONAL DIRECTORS

Region I, 18 Oliver Street, Boston, Massachusetts 02110.
Regions II, III, IV, V, VI, VII, VIII and IX.
Region X, 1803 Smith Tower Building, 506 Second Avenue, Seattle, Washington 98104.

AREA DIRECTORS

Custom House Building, Room 703, State Street, Boston, Massachusetts 02109.
Federal Building, Room 426, 55 Pleasant Street, Concord, New Hampshire 03301.
Federal Building, Room 617B, 450 Main Street, Hartford, Connecticut 06103.
U.S. Post Office and Courthouse Building, 436 Dwight Street, Room 501, Springfield, Massachusetts 01103.
370 Old Country Road, Garden City, L.I., New York 11530.
90 Church Street, Room 1405, New York, New York 10007.
970 Broad Street, Room 1435C, Newark, New Jersey 07102.
605 Condado Avenue, Room 328, Santurce, Puerto Rico 00907.
Midtown Plaza, Room 203, 700 East Water Street, Syracuse, New York 13210.
Railway Labor Building, Room 411, 400 1st Street, NW, Washington, D.C. 20210.
Federal Building, Room 1110A, Charles Center, 31 Hopkins Plaza, Baltimore, Maryland 21201.
Charleston National Plaza, 700 Virginia Avenue, Room 1726, Charleston, West Virginia 25301.
Jonnet Building, Room 802, 4099 William Penn Highway, Monroeville, Pennsylvania 15146.
William J. Green, Jr., Federal Building, Room 4456, 600 Arch Street, Philadelphia, Pennsylvania 19106.
Federal Building, Room 8015, P.O. Box 10186, 400 North 8th Street, Richmond, Virginia 23240.
Todd Mall, 2047 Canyon Road, Birmingham, Alabama 35216.
1710 Gervais Street, Room 205, Columbia, South Carolina 29201.
Bridge Building, Room 204, 3200 East Oakland Park Boulevard, Ford Lauderdale, Florida 33308.
57601–55 North Frontage Road East, Jackson, Mississippi 39211.
Art Museum Plaza, Suite 4, 2809 Art Museum Drive, Jacksonville, Florida 32207.
600 Federal Place, Suite 554–E, Louisville, Kentucky 40202.
Riverside Plaza Shopping Center, 2720 Riverside Drive, Macon, Georgia 31204.
Commerce Building, Room 600, 118 North Royal Street, Mobile, Alabama 36602.
1600 Hayes Street, Suite, 302, Nashville, Tennessee 37203.
Federal Office Building, Room 406, 310 New Bern Avenue, Raleigh, North Carolina 27601.
Enterprise Building, Suite 204, 6605 Abercon Street, Savannah, Georgia 31405.
650 Cleveland Street, Room 44, Clearwater, Florida, 33515.
Building 10, Suite 33, La Vista Perimter Office Park, Tucker, Georgia 30084.
230 South Dearborn Street, 10th Floor, Chicago, Illinois 60604.
Federal Office Building, Room 4028, 550 Main Street, Cincinnati, Ohio 45202.
Federal Office Building, Room 847, 1240 East 9th Street, Cleveland, Ohio 44199.
360 South 3rd Street, Room 109, Columbus, Ohio 43215.
Michigan Theatre Building, Room 626, 220 Bagley Avenue, Detroit, Michigan 48226.
U.S. Post Office and Courthouse, 46 East Ohio Street, Room 423 Indianapolis, Indiana 46202.
Clark Building, Room 400, 633 West Wisconsin Avenue, Milwaukee, Wisconsin 53203.
110 South 4th Street, Room 437, Minneapolis, Minnesota 55401.
Federal Building, Room 302, 421 Gold Avenue SW, P.O. Box 1428, Albuquerque, New Mexico 37103.
Adolphus Tower, Suite 1820, 1412 Main Street, Dallas, Texas 75202.
2320 LaBranch Street, Room 2118, Houston, Texas 77004.
Federal Building, Room 421, 1205 Texas Avenue, Lubbock, Texas 79401.
Donaghey Building, Room 526, 103 East 7th Street, Little Rock, Arkansas 72201.
546 Carodelet Street, Room 202, New Orleans, Louisiana 70130.
Petroleum Building, Room 512, 420 South Boulder, Tulsa, Oklahoma 74103.
1015 Jackson Keller Road, Room 122, San Antonio, Texas 78213.
210 Walnut Street, Room 643, Des Moines, Iowa 50309.
1627 Main Street, Room 1100, Kansas City, Missouri 64108.
113 West Sixth Street, North Platte, Nebraska 69101.
Harney & 16th Street, Room 803, City National Bank Building, Omaha, Nebraska 63102.
210 North 12th Boulevard, Room 554, St. Louis, Missouri 63101.
Petroleum Building, Suite 312, 221 south Broadway Street, Wichita, Kansas 67202.
Petroleum Building, Suite 525, 2812 First Avenue North, Billings, Montana 59101.
Squire Plaza Building, 8527 West Colfax Avenue, Lakewood, Colorado 80215.
U.S. Post Office Building, Room 452, 3501 South Main Street, Salt Lake City, Utah 84101.
Courthouse Plaza Building, Room 408, 300 North Dakota Avenue, Sioux Falls, South Dakota 57102.
1100 East William Street, Carson City, Nevada 89701.
333 Queen Street, Suite 505, Honolulu, Hawaii 96813.
Hartwell Building, Room 401, 19 Pine Avenue, Long Beach, California 90802.
Amerco Towers, Suite 318, 2721 North Central Avenue, Phoenix, Arizona 85004.
100 McAllister Street, Room 1706, San Francisco, California 94102.
Federal Building, Room 227, 605 West Fourth Avenue, Anchorage, Alaska 99051.
121 107th Street, NE, Bellevue, Washington 98004.
228 Idaho Building, 216 North Eighth Street, Boise, Idaho 83702.
Pittock Block, Room 526, 921S West Washington Street, Portland, Oregon 97205.

DISTRICT SUPERVISORS

Federal Building, Room 503A, U.S. Courthouse, Providence, Rhode Island 02903.
Stanwick Building, Room 111, 3661 Virginia Beach Boulevard, Norfolk, Virginia 23502.
600 Leopard Street, Suite 1322, Corpus Christi, Texas 78401.

§ 70a.5 Requirements for identification of individuals making requests.

(a) To avoid disclosure of information to unauthorized individuals, where an individual requests personal information about himself or herself, and such information is retrieved from a system of records by means of a personal identifier, and the record(s) requested are excluded from mandatory disclosure under the Freedom of Information Act, the following requirements must be met before the disclosure officer releases the relevant information:

(1) When a request is submitted by mail, the signature of the requester shall be notarized;

(2) When a request is made in person, an official photograph accurately depicting the requester, and indicating the requester's name (e.g., government ID, driver's license, college ID, etc., shall be presented to the disclosure officer or his authorized representative, or if an official photograph is not available, a photograph accompanied by a notarization certifying the name of the individual in the photograph.

(b) When a person, other than an officer or employee of the Department with a need to know, requests access to a record about an individual other than himself or herself, then in addition to meeting the requirements set forth in paragraphs (a)(1) and (a)(2) of this section, as applicable, the requester must also provide a notarized letter of consent signed by the individual to whom the record pertains which explicitly authorizes the requester to receive the record. A notarized letter of consent is not required where the requester is a parent or legal guardian, and such person satisfies the requirements set forth in paragraph (c) of this section.

(c) An individual acting as the parent of a minor or the legal guardian of the individual to whom a record pertains shall establish his or her personal identity in the same manner prescribed in either paragraph (a) (1) or (2) of this section. In addition, such other individual shall establish his or her identity in the representative capacity of parent or legal guardian. In the case of the parent of a minor, the proof of identity shall be a certified or authenticated copy of the minor's birth certificate. In the case of a legal guardian of an individual who has been declared incompetent due to physical or mental incapacity or age by a court of competent jurisdiction, the proof of identity shall be a certified or authenticated copy of the court's order. A parent or legal guardian may act only for a living individual, not for a decedent.

(d) The disclosure officer may waive the requirements set forth in paragraphs (a), (b) and (c) of this section when he deems such action to be appropriate, and may substitute in lieu thereof, other reasonable means of identification.

§ 70a.6 Disclosure of requested information to individuals.

(a) *Period within which action on request shall be taken.* (1)(i) As soon as possible, and within a period not to exceed 30 working days after receipt of a request made in accordance with §§ 70a.4 and 70a.5 of this part, the officer responsible for acting on the request shall determine that such request is to be granted or denied in whole or in part, and shall thereupon immediately notify the requester of his or her determination and, in the case of a denial, the reasons therefor. The provisions of paragraphs (a) (2) and (3) of this section are applicable when a final determination to grant or deny the request cannot be made within the 30-day period.

(2)(i) When, because of unusual circumstances it appears that a determination may not be feasible within the 30-day period, the disclosure officer shall submit in writing to the Solicitor a request for an extension of time. The request for extension shall set forth the reasons why the disclosure officer believes it is not possible to make a determination within the 30 day period. The Solicitor shall determine within 5 working days after receipt of such request whether to grant the extension. "Unusual circumstances" shall include circumstances where a search for a collection of requested records from inactive storage, field facilities or other establishments are required, cases where a voluminous amount of data is involved, instances where information on other individuals must be separated or expunged from the particular record, and cases where consultation with other agencies having a substantial interest in the determination of the request is necessary.

(ii) When the Solicitor agrees that an extension is necessary because of unusual circumstances and grants an extension of time, the officer responsible for acting on the request shall notify the requester in writing within the 30-day period of the extension, the reasons therefor, and the date on which the determination to grant or deny the request is expected to be dispatched. No extension is to exceed 10 working days.

(iii) If the disclosure officer is unable to make a determination with respect to all or part of a request within the 30-day period specified in paragraph (a)(1)(i) of this section, or such extended period as may be permitted, because some or all of the records have not been located or made available for examination and consideration in time to make an informed determination, the officer may, within such period, respond to the request by denying the request as to those records which are not available, with notification to the requester of the reasons therefor, and of the right to appeal the denial pursuant to § 70a.9 of this part. However, the disclosure officer shall make a determination at that time as to those records or portions of records which are available. In such an event, the officer shall advise the requester that the search or examination will be continued and that the denial will be subject to withdrawal, modification, or confirmation by a supplementary determination to be made as soon as processing of the request can be completed. if an appeal is filed from the initial denial, the Solicitor shall act thereon as provided in § 70a.9 of this part.

(b) *Procedure for disclosure of information.* (1) When a determination has been made to grant a request, the requested information shall be made available to the individual within the time period prescribed in paragraph (a) of this section. The record shall be made available to the individual in the manner requested, that is, either by forwarding a copy of the information to him or her, or by making it available for review, unless: (i) It is impracticable to provide the requester with a copy of a record, in which case the requester shall be so notified, and, in addition, be informed of the procedures set forth in paragraph (b)(2) of this section, or (ii) the responsible official has reason to believe that the cost of a copy of a record is considerably more expensive than anticipated by the requester, in which case he or she shall notify the requester of the estimated cost, and ascertain whether the requester still wishes to be provided with a copy of the information.

(2) Where a record is to be reviewed by the requester in person, the disclosure officer shall inform the requester in writing of: (i) The date on which the record will become available for review, the location at which it may be reviewed, and the hours for inspection; (ii) the type of identification that will be required in order for him or her to review the record; (iii) such person's right to have a person of his or her own choosing accompany him or her to review the record; and (iv) such person's right to have a person other than himself or herself review the record.

(3) The record shall be made available for review for as long as the disclosure officer deems appropriate, but in no event for less than 30 days.

(4) Inspection of original records shall be made in the presence of the disclosure officer or such officer's designee.

(c) *Denial of request.* Where it has been determined to deny a request in whole or in part, the individual shall be notified in writing of such a determination. Such notification shall specify the reasons therefor, the name and title or position of the person(s) responsible for the denial, and shall advise the requester of the procedure for appealing such an adverse determination to the Solicitor of Labor.

(d) *Medical records.* When an individual requests medical records concerning himself, which are not otherwise exempt from disclosure, the disclosure officer shall, if deemed necessary, because of possible harm to the individual, advise the individual that records will be provided only to a physician designated in writing by the individual. Upon receipt of the designation, the disclosure officer will permit the physician to review the records or to receive copies of the records by mail, upon proper verification of identity. The determination of which records should be made available directly to the individual and which records should not be disclosed because of possible harm to the individual shall be made by the physician.

(e) *Computerized records.* Where information is stored within one of the Department's computer systems, and it can only be retrieved by creating a new computer program, or modifying an existing program in a manner in which it would not otherwise be modified, thus producing a record not currently in existence, the record is not required to be furnished under the Act.

(f) *Alternative Method for transmitting information.* Whenever a record containing personal information about an individual is to be mailed in response to a request under this part, and the information is of such a nature that the disclosure officer has reasonable grounds for believing that the unauthorized dissemination of such information may be of significant harm to the subject of the record, then such a record shall be sent "Certified Mail, Return Receipt Requested."

§ 70a.7 Request for correction or amendment to a record.

An individual, without regard to his or her age, may request the correction or amendment of any record pertaining to him or her, which is contained within a system of records subject to the requirements set forth in this part, by mailing or delivering a written request in conformity with the requirements set forth in §§ 70a.4 and 70a.5 of this part. In addition, the request must state the information in the record which the requester believes to be unnecessary, inaccurate, irrelevant, untimely, or incomplete, the nature of the amendment desired, and a concise statement of the reasons therefor. All available supporting documents and materials which substantiate the requester's position should be included with the request.

§ 70a.8 Agency review of request for correction or amendment to a record.

(a) Upon receipt of a request to correct or amend a record, which is contained within a system of records subject to the requirements set forth in this part, a determination whether to grant the request shall be made by the proper authority charged with the responsibility of acting upon such requests within the time limits prescribed in § 70a.6 of this part.

(b) Where it is determined that the request shall be granted in whole or in part, (1) the record shall be amended within the time limits prescribed in § 70a.6 of this part, and, in no event, is the record to be disclosed to any party until the amendments are so incorporated; (2) the requester shall be informed that the record has been so amended, and the record shall be made available for his or her review within the time limits prescribed in § 70a.6 of this part, and (3) all prior recipients of the record, of which an accounting is required to be kept, shall be notified as soon as possible of the amendments made to the record.

(c) Where it is determined that the request is to be denied, in whole or in part, the requester shall be so notified in accordance with § 70a.6(c) of this part.

§ 70a.9 Procedures for appeal from initial adverse determination.

(a) *Time within which appeal must be filed.* An applicant whose request for access, copying, amendment or correction of a record has been denied pursuant to this part may file an appeal within 90 days from the date of the denial to the Solicitor of Labor. The appeal shall state, in writing, the grounds for appeal and shall include any supporting statements or arguments. The appeal shall be addressed to the Solicitor of Labor, Department of Labor, 200 Constitution Avenue, NW, Washington, D.C. 20210. To expedite the processing of the appeal, each such appeal should clearly indicate on the envelope and on the appeal the following: "Privacy Act: Appeal."

(b) *Receipt by Solicitor of appeal; acknowledgment.* Each appeal when received by the Solicitor, shall have the date and time of such receipt inscribed thereon. The Solicitor shall acknowledge the receipt of such appeal in writing.

(c) *Action on appeal.* (1) Action on an appeal shall be taken promptly subsequent to receipt by the Solicitor, and a determination shall be made within 30 working days from receipt thereof. Where the Solicitor determines that a decision cannot be made with the 30-day period, the appellant shall be so notified, however, a decision shall be rendered within 40 days of the initial receipt of the appeal.

(2) On appeal, the Solicitor is authorized to determine de novo, whether the denial of appellant's initial request was proper and in accord with the applicable provisions of the statute and the pertinent regulations. In the event that the denial appealed from is one made by reason of the inability of the responsible official to make an informed determination within the specified time limits, the Solicitor's decision shall take into consideration any supplementary determination made by that official.

(3) In the event that a requester seeks review by a court of the denial of a request without first filing an appeal to the Solicitor as provided in this part, the Solicitor may, unless otherwise ordered by the court, consider such action as the filing of an appeal and issue a decision thereon in accordance with the provisions of this paragraph.

(4) If a decision on an appeal is not made by the Solicitor within the normal or extended period, as applicable under paragraph (c) of this section, the requester shall be deemed to have exhausted his or her administrative remedies and may seek relief as provided in 5 U.S.C. 552a(g). Processing of the appeal shall continue however, until a decision is made thereon, irrespective of whether the requester has invoked such judicial relief.

(d) *Procedure upon determination on appeal.* The Solicitor shall issue a decision in writing granting or denying the appeal, in whole or in part.

(1) *Decision to grant request.* (i) When the Solicitor determines that any portion of a prior request, which has been previously denied, should be granted, he shall indicate to the requester the extent to which he has decided to grant the previously denied request, and shall order the responsible official(s) to take the necessary action consistent with his decision.

(ii) If the Solicitor's decision provides for making available information which had been previously withheld, and the Solicitor has within his possession such information, he shall forward a copy of it to the requester together with his decision, unless the requester has indicated that he or she prefers to review the record in person, in which case the Solicitor shall forward the record to the appropriate official who shall make the record available to the requester within 10 working days.

(iii) If the action required by the Solicitor's decision must necessarily be carried out by a responsible official other than the Solicitor, such action shall be carried out within the following time limits:

(A) If the Solicitor's decision requires a record to be made available for review without amendments thereto, such record shall be made available in the manner initially requested, except as provided in § 70a.6(b)(1) (i) and (ii), within 10 working days of the Solicitor's decision.

(B) If the Solicitor's action requires the amendment of a record, the requester shall be given an opportunity to review the amended record within 15 working days of the Solicitor's decision. All previous recipients of the record, for which an accounting is required, shall be informed of the amendments immediately after the review by the requestor.

(iv) Whenever a record is to be made available to an appellant at the direction of the Solicitor, the responsible agency official shall notify the appellant when the record is available for review.

(2) *Decision to uphold denial.* Where the Solicitor determines that the denial of a request, or a portion thereof, should be upheld, the requester shall be notified: (i) Of the extent to which the denial has been upheld and the reasons therefor; (ii) of his right to file with the agency in possession of the relevant record, a memorandum setting forth the fact that such person believes the record to be erroneous and the reasons therefor; and (iii) that the decision of the Solicitor constitutes the final action by the Department of Labor for purposes of judicial review, and that the Solicitor's decision may be appealed to the District Court of the United States in the district in which the complainant resides, or has his principal place of business, or in which the agency records are situated, or in the U.S. District Court for the District of Columbia.

(3) *Disclosure of record where request to amend has been denied on appeal.* Where a request to amend a record has been denied by the Solicitor, and the requester has filed a memorandum pursuant to paragraph (d)(2)(ii) of this section taking exception to the Solicitor's decision, upon receipt of such memorandum the responsible agency official shall include the memorandum with the relevant record and, in addition, may also include with such record a memorandum indicating that a request to amend the particular record has been denied both by the agency and by the Solicitor, and the reasons therefor.

(i) In addition, previous recipients of a record, where a request to amend has been denied by the Solicitor, and of which an accounting is required by 5 U.S.C. 552a(c), shall be provided with a copy of the requester's memorandum taking exception to the Solicitor's determination, and a copy of the agency memorandum in support of the determination, if such a memorandum has been prepared.

(ii) Any subsequent disclosure of the subject record shall also be accompanied by the requester's excepting memorandum, and the Government's supportive memorandum, if one has been filed.

§ 70a.10 Solicitation of social security numbers.

(a) Neither the Department nor its component units shall deny to any individual any right, benefit or privilege provided by law because of such individual's refusal to disclose his social security number.

(b) The requirement set forth in paragraph (a) of this section shall not apply with respect to the disclosure of a social security number to the Department, or a component unit thereof, for inclusion in systems of records which were in existence prior to January 1, 1975, and such disclosure was required by statute, Executive Order or regulation adopted prior to January 1, 1975, to verify the identity of an individual.

(c) Each component unit of the Department that requests an individual to disclose his social security number shall provide the individual, in writing, with the following information:

(1) The use or uses that may be made of the social security number;

(2) The statute or authority under which the social security number is solicited;

(3) Whether the disclosure of the social security number is mandatory or voluntary; and

(4) The consequences, if any, to an individual should he or she refuse to disclose the number.

§ 70a.11 Fees.

(a) *General.* (1) Pursuant to authority granted by the Privacy Act, the payment of standard charges as set forth in paragraph (b) of this section will, except as otherwise provided in this section, be required of the requester to cover the direct costs of duplicating records requested under this part. No fee shall be assessed to any requester for any cost attributed to the search for and the review of any record.

(2) Circumstances under which copying facilities or services may be made available to a requester without charge, or at a reduced charge, are delineated in paragraph (e) of this section. Where a requester desires the agency to provide such services as certification, authentication, or other special services not required under the Privacy Act, with respect to requested records, fees in addition to those required for copying will be assessed as set forth in § 70.68 of this chapter, and as authorized by the general user-charge statute, section 483a of Title 31, United States Code.

(b) *Copying charges*—(1) *Fee schedule for copying of records.* The fees payable pursuant to this section for obtaining requested copies of records which have been made available under this part will be computed on the following basis and subject to the following conditions:

(i) *Standard copying fee.* The standard copying fee is $0.10 for each 8½ by 11 inch page of record furnished. The standard fee is applicable both where the copies are reproduced by the person desiring them, using Government-furnished reproduction equipment, such as coin-operated machines, or where, in the absence of availability of such facilities, the copies are reproduced by agency personnel. This standard fee is also applicable to the furnishing of copies of computer print- outs as stated in paragraph (c) of this section.

(ii) *Voluminous material.* If the volume of page copy desired by the requester is such that the reproduction charge at the standard page rate would be in excess of $200, the person desiring reproduction may request a special rate quotation from the Office of the Assistant Secretary for Administration and Management.

(iii) *Limit of service.* Not more than 10 copies of any document will be furnished, unless the requester has received the prior written approval of the Assistant Secretary for Administration and Management.

(iv) *Manual copying by requester.* The Department shall provide facilities for manual copying, without charge, during normal working hours.

(c) *Computerized records.* (1) Information maintained, in whole or in part, in computerized form which is required to be made available under this part, shall be made available as follows:

(i) When there is an existing computer printout, the material shall be made available at the per page rate stated in paragraph (b) of this section for each 8½ by 11 inch page.

(ii) When there is no existing printout of information required to be made available under this part, then the information shall be printed out and made available to the requester in accordance with paragraph (b) of this section.

(d) *Payment of fees.* (1) *Medium of payment.* Payment of the applicable fees as set forth in paragraph (b) of this section shall be made in cash, by U.S. postal money order, or by check payable to the Department of Labor. Postage stamps will not be accepted. Cash should not be sent by mail.

(2) *Advance payment or assurance.* Payment of the known and officially estimated copying fees shall be made or assured to the satisfaction of the disclosure officer prior to the performance of substantial copying services. Where the requester does not

know and has no official estimate of the copying costs at the time the request is made, the request should specifically state that whatever costs will be involved pursuant to paragraph (b) of this section will be acceptable, or will be acceptable up to an amount not exceeding a named figure. When it becomes apparent that the duplication cost is going to exceed such named figure, the disclosure office shall notify the requester as required by § 70a.6(b) of this part.

(3) *Adjustment of fees.* Where an estimated fee, paid by the requester in advance, exceeds the fee chargeable under the applicable schedule for the copying services actually performed, the balance will be refunded by the Department. Where the actual fees due for the services are in excess of the estimate, the requester will be required to remit the difference. In cases where the estimated costs required under the fee schedule for responding to a request are such that an advance deposit is deemed necessary, the disclosure officer shall advise the requester of the estimated costs and the need for an advance deposit. In addition, where it appears that the information sought by the requester might be made available at less cost by revision of the request, the disclosure officer shall indicate to the requester that he or she may confer with knowledgeable Department personnel, if he or she so desires, in order to reformulate the request in a manner which will reduce the fees and meet the needs of the requester.

(4) *Post-copying costs.* The scheduled fees for furnishing copies of records made available pursuant to the Act cover the costs of furnishing the copies at the place of duplication. Where the volume of page copy, or the method of transmittal requested, is such that transmittal charges incurred by the Department are in excess of $1, then the transmittal costs will be added to the copying fees set forth in paragraph (b) of this section, unless, appropriate stamps or stamped envelopes are furnished with the request, or authorization is given for collection of shipping charges on delivery.

(e) *Waiver or reduction of fees.* (1) When the disclosure officer or the appellate officer granting a request for a record determines that the waiver or reduction of the standard charge would be in the public interest, he or she may make the requested record available at no charge or at a reduced charge, whichever he or she deems to be appropriate.

(2)(i) Where a copy of a record is made available for the first time to the subject of the record or an individual designated by the subject person, then the disclosure officer shall assess no fee.

(ii) In addition, where it is determined that a person, because of special circumstances, is unable to pay the fees prescribed in paragraph (b) of this section, and it is clear that the public interest would be served by providing the requested information free of charge, then no fee shall be charged for such information.

(f) *Authentication of copies.* Requirements pertaining to the certification or attestation under seal of copies of records required to be made available under this part are the same as the requirements for authentication of copies of records under the Freedom of Information Act as set forth in § 70.68 of this chapter.

§ 70a.12 Penalties.

(a) *General.* (1) This section sets forth criminal sanctions for three violations of the Act:

(i) Unauthorized disclosure,

(ii) Failure to publish a public notice of a system of records subject to the requirements of this part and the Act, and

(iii) Obtaining access to information under false pretenses.

(2) Paragraphs (a)(1) (i) and (ii) of this section apply to employees of the Department, and pursuant to 5 U.S.C. 552a(m), certain contractor personnel for contracts agreed to on or after September 27, 1975.

(b) *Unauthorized disclosure.* Any officer or employee of the Department, who by virtue of his employment or official position, has possession of, or access to, agency records which contain individually identifiable information, the disclosure of which is prohibited by this part, and who knowing that disclosure of the specific material is so prohibited, willfully discloses the material in any matter to any person or agency not entitled to receive it, shall be guilty of a misdemeanor and fined not more than $5,000.

(c) *Failure to give public notice of a system of records.* Any officer or employee of the Department who willfully maintains a system of records without meeting the notice requirements of section (3)(4) of the Act shall be guilty of a misdemeanor and fined not more than $5,000.

(d) *Obtaining access to information under false pretenses.* Any person who knowingly and willfully requests or obtains any record concerning an individual from the Department of Labor under false pretenses shall be guilty of a misdemeanor and fined not more than $5,000.

§ 70a.13 Exemptions.

(a) *General exemption.* (1) *General.* Section (j) of 5 U.S.C. 552a permits certain agencies within the Department to promulgate rules in accordance with the requirements of sections 553 (b) (1), (2), and (3) (c) and (e) of Title 5, United States Code, to exempt certain systems of records from all the requirements of the Privacy Act except those set forth in paragraph (a)(3) of this section.

(2) *Systems of records which may be exempt pursuant to the general exemption.* Those types of systems of records which may be exempt from certain provisions of the Privacy Act by virtue of section (j) of 5 U.S.C. 552a are those systems which:

(i) Are maintained by an agency, or a component thereof, which performs as its principal function any activity pertaining to the enforcement of criminal laws, and

(ii) Contain information compiled for the purpose of: (A) A criminal investigation, including reports of informants and investigators associated with an identifiable individual, or (B) identifying individual criminal offenders and alleged offenders, and consists only of identifying data and notations of arrests, the nature and disposition of criminal charges, sentencing, confinement, release, and parole and probation status.

(3) *Requirements from which systems are exempt under the general exemption.* Those systems of records which qualify for the general exemption are not subject to any provisions of the Privacy Act, nor any of the provisions set forth in this Part, except for the following:

(i) The conditions of disclosure required under paragraph (b) of 5 U.S.C. 552a and § 70a.3 of this part.

(ii) The requirements to account for the disclosure of records and maintain an accounting of such disclosures as set forth in sections (c)(1) and (c)(2) of 5 U.S.C. 552a;

(iii) The requirements prescribed in section (e)(4) of 5 U.S.C. 552a to publish annually in the **Federal Register** notice of the existence and character of systems of records, except that the procedures for: (A) Identifying a record, (B) gaining access to it, (C) contesting its accuracy, and (D) identifying the source of a record, need not be included in such notice;

(iv) The obligation set forth in section (e)(6) of 5 U.S.C. 552a to check for the accuracy, relevance, timeliness, and completeness of records before disclosing such records to any person other than an agency, or to the public pursuant to the Freedom of Information Act;

(v) The requirement restricting the maintenance of records pertaining to an individual's exercise of his First Amendment rights (See section (e)(7) of 5 U.S.C. 552a);

(vi) The requirement to establish rules governing the development, maintenance and safeguarding of systems of records as prescribed in sections (e)(9) and (e)(10) of 5 U.S.C. 552a;

(vii) The requirement to give notice of any new use or intended use of the information contained within a system of records prior to publication pursuant to section (e)(4)(D) of 5 U.S.C. 552a (See section (e)(11) of 5 U.S.C. 552a); and

(viii) The criminal penalties set forth in section (i) of 5 U.S.C. 552a.

(4) *Procedure required to exempt system of records under general exemption.* In order to exempt a system of records described in paragraph (a)(2) of this section from all of the provisions of the Privacy Act, excluding those provisions set forth in paragraph (a)(3) of this section, a notice must be published in the **Federal Register** in accordance with the rulemaking provisions set forth in paragraph (a)(1) of this section. Such notice shall include at least the following:

(i) The name of the system of records (i.e., the same name used in the annual notice published pursuant to section (e)(4) of 5 U.S.C. 552a, and

(ii) The specific provisions of the Act, and the regulations, from which it is proposed to exempt the system, and the reasons therefor.

(b) *Special exemption–*(1) *General.* The Department, or its component units, may promulgate rules in accordance with sections 553 (b) (1), (2) and (3) (c) and (e) of Title 5, United States Code, to exempt those types of systems of records described in paragraph (b)(2) of this section from the requirements of the Privacy Act, and the regulations of this part, set forth in paragraph (b)(3) of this section.

(2) *Systems of records which may be exempt under special exemption.* The following types of systems of records may be exempt from those provisions of the Privacy Act, and the corresponding provisions of this Part, set forth in paragraph (b)(3) of this section.

(i) *Investigatory material compiled for law enforcement purposes.*

(A) Systems of records containing solely investigatory material compiled for law enforcement purposes, other than systems within the scope of paragraph (a)(2) of this section, may be exempt to the extent indicated in paragraph (b)(1). However, if any individual is denied any right, privilege, or benefit, that he would otherwise be entitled to by Federal law, or for which he would otherwise be eligible, as a result of the maintenance of such material, such material shall be provided to such individual, except to the extent that the disclosure of such material would reveal the identity of a source who furnished information to the Government under an express promise that the identity of the source would be held in confidence, or, prior to September 27, 1975, under an implied promise that the identity of the source would be held in confidence.

(B) The phrase "investigatory material compiled for law enforcement purposes" is the same as that used in exemption (b)(7) of the Freedom of Information Act.

(C) *(1)* The phrase "to the extent that the disclosure of such material would reveal the identity of a source * * *" means that if a record can be disclosed in such a way as to conceal its source, a promise of confidentiality to the source is not sufficient grounds for withholding such a record. In certain cases the contents of records may be such that the identity of the source would be revealed even if the name of the source of other identifying particulars were removed (e.g., where a record contains information that could only have been furnished by one individual known to the subject). In such a case the substance of the record may be withheld to protect the identity of a source and but only to the extent necessary to do so. When any reasonable doubt exists as to whether the disclosure of a record, or a portion thereof, would reveal the identity of a confidential source then such record, or the applicable portions thereof, may be withheld.

(2) In no instance is paragraph (b)(2)(i)(C)*(1)* of this section to be applied in a manner which deprives an individual from learning of the existence of information maintained in a record about him, even though the information may have been received from a "confidential source". The fact of the record's existence and, to the maximum extent feasible, a general characterization of that record must be made known to the individual in every case. Furthermore, this section in no way precludes an individual from ascertaining the substance and source of confidential information, should that information be used to deny him a promotion in a Government job, access to classified information, or some other right, benefit or privilege for which he is entitled to bring legal action, when the Government chooses to base any part of its legal case on that information.

(ii) *Records maintained to provide protective services.* Systems of records maintained in connection with providing protective services to the Presiddent of the United States, or to other individuals pursuant to section 3056 of Title 18, United States Code, may be exempt as indicated in paragraph (b)(1) of this section. This exemption pertains to systems, the compilation of which are necessary for assuring the safety of individuals protected pursuant to 18 U.S.C. 3056, but are not within the scope of the law enforcement records exemption set forth in paragraph (b)(2)(i) of this section.

(iii) *Statistical records.* Systems of records consisting of statistical records which are required by statute to be maintained and used solely for statistical research or reporting purposes, and not used in whole or in part in making any determination about an identifiable individual, except as provided by section 8 of Title 18, United States Code, may be exempt as indicated in paragraph (b)(1) of this section. The language, "required by statute to be maintined * * * solely", means that systems of records which qualify for this exemption are those composed exclusively of records, that by statute, are prohibited from being used in any manner associated with the making of a determination about an individual to whom a particular record pertains, not merely that the agency does not use the information for such purposes.

(iv) *Investigatory material compiled for determining suitability for Federal employment.* (A) Systems of records containing only investigatory material compiled solely for the purpose of determining suitability, eligibility, or qualifications for Federal civilian employment. Federal contracts, or access to classified information may be exempt as indicated in paragraph (b)(1) of this section, but only to the extent that the disclosure of such material would reveal the identity of a source who furnished information to the Government under an express promise that the identity of the source would be held in confidence, or, prior to September 27, 1975, under an implied promise that the identity of the source would be held in confidence.

(B) Paragraph (b)(2)(iv)(A) of this section permits, among other things, the exemption of systems of records from the individual access provisions of the Act, and the corresponding provisions of this part, §§ 70a.4 through 70a.9, when disclosure of the records contained therein would cause the identity of a confidential source to be revealed, but only under the following conditions:

(1) The material must be maintained only for purposes of determining an individual's qualifications, eligibility or suitability for employment in the Federal civilian service, or on a Federal contract, or for access to classified material. By implication, employment would include appointments to Federal advisory committees or to membership agencies, whether or not salaried;

(2) The material must be relevant and necessary for making a judicious determination as to qualifications, eligibility or suitability of an individual for a particular position, and the information must be of such a nature that it can only be obtained by providing assurance to the source that his or her identity will not be revealed to the subject of the record (e.g., for "critically sensitive positions"); and

(3) The contents of the record, even with the removal of individual identifiers, would reveal the identity of the source.

(C) Regulations issued by the Civil Service Commission establishing procedures for when a pledge of confidentiality is to be made in order to obtain the information described in paragraph (b)(2)(iv)(A) of this section shall be complied with before this exemption is to be employed.

(D) The compilation of investigatory material with regard to Federal contracts pertains not only to investigatory material collected about individuals being considered for employment on an existing Federal contract, but also to investigatory material compiled to evaluate the capabilities of firms competing for Federal contracts.

(c) *Requirements from which systems of records may be exempt under special exemption.* A system of records which meets the requirements of paragraph (b)(2) of this section need not comply with the following provisions of the Privacy Act and the corresponding requirements set forth in this part:

(1) The requirement to make an accounting of a record available to the individual to whom it pertains at his or her request. (See section (c)(3) of 5 U.S.C. 552a);

(2) The requirement for access to records as set forth in section (d) of 5 U.S.C. 552a and §§ 70a.3 through 70a.9 of this part;

(3) The provisions of section (e)(1) of 5 U.S.C. 552a which restricts the contents of records to only such information about an individual as is relevant and necessary to accomplish the purpose of the agency; and

(4) The provisions of section (e)(4) (G), (H) and (I) of 5 U.S.C. 552a, which require the annual notice of system of records published in the **Federal Register** to set forth:

(i) The procedures whereby an individual can be notified at his request:

(A) If a system of records contains a record pertaining to him, and

(B) How that person can gain access to any record pertaining to him contained in a system of records, and how he can contest its contents; and

(ii) The categories of sources of records in the system.

(d) *Procedure required to exempt a system of records under special exemption.* In order to exempt a system of records described in paragraph (b)(2) of this section from the provisions of the Privacy Act set forth in paragraph (b)(3) of this section, and the corresponding provisions of this part, notice of intention to exempt must be published in the **Federal Register**, and such notice shall meet the requirements prescribed in paragraph (a)(4) of this section. The Department of Labor has published notice of intention to exempt the following record systems:

(1) ESA-18, Farm Labor Contractor Employee Records File is exempt under paragraph 3(k)(2) from paragraphs (c)(3), (d), (e)(4), (6), (h) and (f) of 5 U.S.C. 552a. Disclosure of information would enable subjects of the file to take action to prevent detection of illegal activities and could lead to the intimidation of informants, witnesses or their families. Except for information which would reveal the identity of a confidential source, relevant records will be made available only after a determination has been made based upon the information contained therein.

(2) OASA-3, General Investigation File is exempt under paragraphs (3)(j)(2) and 3(k) (2), (3) and (5) of 5 U.S.C. 552a. Information related to criminal investigations [3(j)(2)] is exempt from the provisions of the Act except for the requirements of paragraphs (b), (c) (1) and (2), (e)(4) (A) through (F), (e) (6), (7), (9), (10) and (11), and (i). Disclosure of information could enable the subject of the record to take action to escape prosecution and, in addition, might lead to the intimidation of witnesses, informants or their families. Other material which is exempted under 3(k) (2), (3) and (5) of the Act relates to civil law enforcement investigations, including shared information, files maintained in connection with assisting the U.S. Secret Service to provide protective services to government officials, and investigatory material compiled to determine the suitability, eligibility and qualification of DOL contractors. In the first two instances, the material is exempted from the requirements of paragraphs (c)(3), (d), (e)(4) (G), (H) and (I), and (f) of 5 U.S.C. 552a. Contract investigations are exempt from the provision of (c)(3), (d) and (f). Civil law enforcement material is exempted until such time as a determination is made based upon the information except that information which would reveal the identity of a confidential source will continue to be exempted. Contract information is exempt to the extent that disclosure would reveal the identity of a source when an express pledge of confidentiality has been given or the circumstances indicate that confidentiality has been implied. These exemptions are necessary to preserve the integrity of the investigations and to prevent the intimidation or harassment of informants, witnesses or their families.

(3) LMSA-1, Index Cards, Division of Enforcement relates to investigations under the Labor-Management Reporting and Disclosure Act and E.O. 11441. This system is exempt and paragraphs 3(5)(2) and 3(k)(2) of 5 U.S.C. 552a. Material relating to criminal law enforcement (3(5)(2)) is exempted under paragraphs, (b), (c)(1) and (2), (e)(4) (A) through (F); (e) (6), (7), (9), (10) and (11), and (i) of the Act. Disclosure of this material could enable the subject of the record to evade prosecution and could, in addition, jeopardize the safety and welfare of investigators, witnesses, informants and their respective families. Material related to civil law enforcement (3(k)(2)) is exempt from the provisions of paragraphs (c)(3), (d), (e) (4), (6), (H), and (I), and (f) of 5 U.S.C. 552a. Disclosure would enable the subject to take action to prevent detection of illegal activities or avoid the consequences of violation of the law and, further, could lead to the intimidation or harassment of witnesses, informants, or their families.

(e) *Segregation of systems of records.* System of records which may be exempt under paragraphs (a) or (b) of this section shall, to the extent practicable: (1) Be separated from systems of records which are not so exempt, and (2) when it is practicable to exempt only a portion of a system of records, rather than the entire system, then only such portion shall be exempted.

DEPARTMENT OF STATE

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Prefatory Statement of Routine Uses

The following routine uses apply to, and are incorporated by reference into, each system of records set forth below:

Law Enforcement

In the event that a system of records maintained by this agency to carry out its functions indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether federal, state, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto.

Disclosure When Requesting Information

A record from this system of records may be disclosed as a "routine use' to a federal, state or local agency maintaining civil, criminal or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant or other benefit.

Disclosure of Requested Information

A record from this system of records may be disclosed to a federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter. A record from this system of records may be disclosed to a federal, state, local or foreign agency as a "routine use"in response to such an agency's request, where there is reason to believe that an individual has violated the law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, if necessary, and only to the extent necessary, to enable such agency to discharge its responsibilities of investigating or prosecuting such violation or its responsibilities with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto. A record from this system of records may be disclosed to a foreign agency as a "routine use"in response to such an agency's request when the information is necessary for the foreign agency to adjudicate and determine an individual's entitlement to rights and benefits, or obligations owed to the foreign agency, such as information necessary to establish identity or nationality.

Office of Management and Budget

The information contained in this system of records will be disclosed to the Office of Management and Budget in connection with review of private relief legislation as set forth in OMB Circular No. A-19 at any stage of the legislative coordination and clearance process as set forth in that Circular.

Members of Congress. Disclosure may be made to a Congressional office from the record of an individual in response to an inquiry from the Congressional office made at the request of that individual.

Contractors Information from a system of records may be disclosed to anyone who is under contract to the Department of State to fulfill an agency function but only to the extent necessary to fulfill that function.

Courts Information from a system of records may be made available to any court of competent jurisdiction, whether Federal, state, local or foreign, when necessary for the litigation and adjudication of a case involving an individual who is the subject of a Departmental record.

National Archives, Government Services Administration. A record from a system of records may be disclosed as a routine use to the National Archives and Records Administration and the General Services Administration: For records management inspections, surveys and studies; following transfer to a Federal records center for storage; and to determine whether such records have sufficient historical or other value to warrant accessioning into the National Archives of the United States.

STATE-01

System name: Biographic Register Records

System location: Department of State Annex 6, 1700 N. Lynn Street, Arlington, Virginia 22209.

Categories of individuals covered by the system: Personnel of the following ranges of the Department of State and other Federal Agencies in the field of foreign affairs: Ambassadors; Ministers; Chiefs of Mission; Foreign Service Staff Officers, Classes 1 through 4; Civil Service Employees, GS-12 and above; Foreign Service Information Officers; Foreign Service Reserve Officers; Foreign Service Reserve Officers Unlimited; Foreign Service Officers.

Categories of records in the system: Biographic information; personnel action changes; language proficiency ratings; correspondence from biographees.

Authority for maintenance of the system: 22 U.S.C. 811a.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Information in this system is used as a source data for publication of the "Biographic Register". The "Biographic Register"itself has a strictly controlled distribution, and information in it is made available only to foreign affairs related agencies, legislative committees, and offices within the executive branch on a limited official need-to-know basis. Source data for the "Biographic Register"is not used outside the Department of State. Also see "Routine Uses"paragraphs of Prefatory Statement.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Hard copy.

Retrievability: By individual name.

Safeguards: All employees of the Department of State have undergone a thorough background security investigation. Access to the Department of State building and its annexes is controlled by security guards, and admission is limited to those individuals possessing a valid identification card or individuals under proper escort. All records containing personal information are maintained in secured file cabinets or in restricted areas, access to which is limited to authorized personnel. Distribution of the "Biographic Register"is limited to foreign affairs related agencies, legislative committees, and offices within the executive branch on a need-to-know basis.

Retention and disposal: These records are retained for one year. They are retired or destroyed in accordance with published schedules of the Department of State. More specific information may be obtained by writing the Director, Foreign Affairs Document and Reference Center, Room 1239, Department of State, 2201 C Street NW, Washington, DC 20520.

System manager(s) and address: Chief, Publishing and Reproduction Division, Room 1853, Department of State, 2201 C Street NW, Washington, DC 20520.

Notification procedure: Individuals who have cause to believe that the "Biographic Register"might have records pertaining to them should write to the Director, Foreign Affairs Document and Reference Center, Room 1239, Department of State, 2201 C Street NW, Washington, DC 20520. The individual must specify that he/she wishes the records of the "Biographic Register"to be checked. At a minimum, the individual must include: Name; date and place of birth; current mailing address and zip code; signature; a brief description of the circumstances, including the approximate dates, which give the individual cause to believe that the "Biographic Register"Records might have information pertaining to him/her.

Record access procedures: Individuals who wish to gain access to or amend records pertaining to themselves should write to the Director, Foreign Affairs Document and Reference Center (address above).

Contesting record procedures: (See above).

Record source categories: The individual; Personnel Office of the Department of State; U.S. Government officials.

STATE-02

System name: Board of Appellate Review Records.

System location: Department of State Annex 6, 1700 N. Lynn Street. Arlington, Virginia 22209.

Categories of individuals covered by the system: Individuals whose appeal in cases involving loss of nationality or the revocation of a passport was decided by the Board of Appellate Review.

Categories of records in the system: Copies of decisions rendered by the Board of Appellate Review.

Authority for maintenance of the system: 22 CFR 7.1-7.3; 22 CFR 50.60-50.72; 22 CFR 51.90-51.105.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The information contained in the system of records is generally used by the Board for its value as a body of precedents and as an analysis of relevant law and regulations. The principal user of this information outside the Department of State is the Department of Justice. The information may also be released to other government agencies having statutory or other lawful authority to maintain such information. The information may be released to members of Congress acting or writing on behalf of the individual. Copies of a Board's decision in an individual case may be made available to a member of the bar or the public under the Freedom of Information Act, unless refusal is authorized by the Privacy Act. Also see "Routine Uses' paragraphs of Prefatory Statement.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Hard copy.

Retrievability: By individual name.

Safeguards: All employees of the Department of State have undergone a thorough background security investigation. Access to the Department of State building and its annexes is limited to those individuals possessing a valid identification card or individuals under proper escort. All records containing personal information are maintained in secured file cabinets or in restricted areas, access to which is limited to authorized personnel.

Retention and disposal: These records are retained as long as the Board of Appellate Review exists. Thereafter, they will be retired or destroyed in accordance with published schedules of the Department of State. More specific information may be obtained by writing the Director, Foreign Affairs Document and Reference Center, Room 1239, Department of State, 2201 C Street NW, Washington, DC 20520.

System manager(s) and address: Chairman, Board of Appellate Review, Room 215, Department of State Annex 6, 1700 N. Lynn Street, Arlington, Virginia 22209.

Notification procedure: Individuals who have cause to believe that the Board of Appellate Review might have records pertaining to them should write to the Director, Foreign Affairs Document and Reference Center, Room 1239, Department of State, 2201 C Street NW, Washington, DC 20520. The individual must specify that he/she wishes the records of the Board of Appellate Review to be checked. At a minimum, the individual must include: Name; date and place of birth; current mailing address and zip code; signature; the approximate date upon which the Board of Appellate Review decided his or her case involving loss of nationality or the revocation of a passport.

Record access procedures: Individuals who wish to gain access to or amend records pertaining to them should write to the Director, Foreign Affairs Document and Reference Center (address above).

Contesting record procedures: (See above).

Record source categories: The individual; the Passport Office; Foreign Service posts; Department of Justice; Department of Defense.

Systems exempted from certain provisions of the act: Certain records contained within this system of records are exempted from 5 USC 552a (c)(3), (d), (e)(1), (e)(4)(G), (H), and (I), and (f). See Department of State Rules published in the FEDERAL REGISTER.

STATE-03

System name: Board of the Foreign Service Records.

System location: Department of State, 2201 C Street NW, Washington, DC 20520.

Categories of individuals covered by the system: Foreign Service personnel whose separation for cause, under Section 637 of the Foreign Service Act of 1946, as amended, was called for by the Director General of the Foreign Service.

Categories of records in the system: Letters of the Department of State determining that separation for cause is warranted; responses by the individuals; transcripts of the hearings on the individuals; recommendations of the hearing officers; recommendations to the Secretary by the Board.

Authority for maintenance of the system: 22 U.S.C. 1007; Executive Order 11264.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Information is released to the defense counsel for the individuals charged and the hearing officers in the cases. Also see "Routine Uses"paragraphs of the Prefatory Statement.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Hard copy.

Retrievability: By individual name.

Safeguards: All employees of the Department of State have undergone a thorough background security investigation. Access to the Department of State building and its annexes is controlled by security guards, and admission is limited to those individuals possessing a valid identification card or individuals under a proper escort. All records containing personal information are maintained in secured file cabinets or in restricted areas access to which is limited to authorized personnel.

Retention and disposal: Records in this system are retained for approximately 3 years, at which time they will be retired in accordance with schedules of the Department of State. More specific information may be obtained by writing to the Director, Foreign Affairs

Document and Reference Center, Room 1239, Department of State, 2201 C Street NW, Washington, DC 20520.

System manager(s) and address: Executive Secretary, Board of the Foreign Service, Room 3835, Department of State, 2201 C Street NW, Washington, DC 20520.

Notification procedure: Individuals who have cause to believe that the Board of the Foreign Service might have records pertaining to them should write to the Director, Foreign Affairs Document and Reference Center, Room 1239, Department of State, 2201 C Street NW, Washington, DC 20520. The individual must specify that he/she wishes the records of the Board of the Foreign Service to be checked. At a minimum, the individual must include: Name; date and place of birth; current mailing address and zip code; signature; the approximate date on which the Director General of the Foreign Service determined that separation for cause was warranted.

Record access procedures: Individuals who wish to gain access to or amend records pertaining to themselves should write to the Director, Foreign Affairs Document and Reference Center (address above).

Contesting record procedures: (See above).

Record source categories: The individual; Department of State officers who have made the charges; hearing officers; other employees or individuals having knowledge of the fact giving rise to the charges.

Systems exempted from certain provisions of the act: Certain records contained within this system of records are exempted from 5 U.S.C. 552a (c)(3), (d), (e)(1), (e)(4)(G), (H), and (I), and (f). See Department of State Rules published in the FEDERAL REGISTER.

STATE-04

System name: Confidential Statement of Employment and Financial Interests Records.

System location: Department of State, 2201 C Street NW, Washington, DC 20520.

Categories of individuals covered by the system: U. S. Government employees.

Categories of records in the system: Employment and financial interests; creditors; interests in real property; actions on behalf of foreign principals.

Authority for maintenance of the system: Executive Order 11222.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The principal user of this information outside the Department of State is the Department of Justice. Information may also be released to other government agencies having statutory or other lawful authority to maintain such information. Also see "Routine Uses"paragraphs of the Prefatory Statement.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Hard copy.

Retrievability: By individual name.

Safeguards: All employees of the Department of State have undergone a thorough background security investigation. Access to the Department of State building and its annexes is controlled by security guards, and admission is limited to those individuals possessing a valid identification card or individuals under proper escort. All records containing personal information are maintained in secured file cabinets or in restricted areas, access to which is limited to authorized personnel.

Retention and disposal: Retention of these records varies, depending upon the specific kind of record involved. They are retired or destroyed in accordance with published schedules of the Department of State. More specific information may be obtained by writing the Director, Foreign Affairs Document and Reference Center, Room 1239, Department of State, 2201 C Street NW, Washington, DC 20520.

System manager(s) and address: Executive Director, Office of the Legal Adviser, Room 6421, Department of State, 2201 C Street NW, Washington, DC 20520.

Notification procedure: Individuals who have reason to believe that the Office of the Legal Adviser might have records pertaining to them should write to the Director, Foreign Affairs Document and Reference Center, Room 1239, Department of State, 2201 C Street NW, Washington, DC 20520. The individual must specify that he/she wants the records of the office of the Legal Adviser to be checked. At a minimum, the individual must include: Name; date and place of birth; present mailing address and zip code; signature; a brief description of the circumstances, including the approximate dates, which give the individual cause to believe that the Office of the Legal Adviser might have records pertaining to him or her.

Record access procedures: Individuals who wish to gain access to or amend records pertaining to themselves should write to the Director Foreign Affairs Document and Reference Center (address above).

Contesting record procedures: (See above).

Record source categories: The individual.

STATE-05

System name: Consular Service and Assistance Records.

System location: Department of State, 2201 C Street NW, Washington, DC 20520.

Categories of individuals covered by the system: Individuals assisted by the Office of Special Consular Services or by consular officers overseas including those: Who are the subject of requests concerning welfare and whereabouts; who have received financial assistance; who have been repatriated; who have received emergency medical assistance; who have been detained or arrested overseas; who have required notarial and documentation services; about whom judicial assistance has been requested; who have died overseas and whose estate has had to be settled; who have claimed interests in property abroad; living overseas who receive federal benefits; American seamen.

Categories of records in the system: Arrests; vessel services (by name of vessel); crew member services; welfare and whereabouts (including repatriation); Federal agency cases (filed by post); property claims; deaths and estates; reports of death; judicial assistance, notarials and legal documents.

Authority for maintenance of the system: Services for other Federal Agencies, U.S. Courts and Congress (22 U.S.C. 846); assistance to arrested citizens (22 U.S.C. 1732); assistance in property matters (22 U.S.C. 1731); notification of next-of-kin (22 U.S.C. 1176); estates of deceased citizens (22 U.S.C. 1175 and 1177); noting Marine Protests (22 U.S.C. 1173); receive complaints re seaworthiness etc., and take action thereon (46 U.S.C. 656 thru 663); discharge crewman from U.S. vessels and require payment of their wages (46 U.S.C. 682; 22 U.S.C. 1174); retain ship's papers pending payment of crew and other debts (22 U.S.C. 1185); give approval to shipping of seamen (46 U.S.C. 570); assist distressed or destitute seamen (46 U.S.C. 593 and 46 U.S.C. 678, 679); trustee for wages when ship is sold (46 U.S.C. 684); wages on justifiable complaint of seamen, consular responsibility (46 U.S.C. 685); investigation on seaman's complaint (46 U.S.C. 685); investigation of insubordination (46 U.S.C. 703); responsibility of deceased seamen and their effects (46 U.S.C. 621, 622, and 624); notarial acts, oaths, affirmations and affidavits (22 U.S.C. 1195 and 1203); authentication of documents (28 U.S.C. 1741); judicial assistance to U.S. and foreign courts (22 U.S.C. 1781-1783); depositions (22 U.S.C. 1195 and 1203).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The information in the Consular Service and Assistance Records is used in the protection and assistance of individuals abroad. The principal users of this information outside the Department of State are: Social Security Administration; Veterans Administration; Department of Health, Education, and Welfare; U.S. Public Health Service; Civil Service Commission; Railroad Retirement Board; Treasury Department; Department of Labor; Department of Justice; Drug Enforcement Administration; Civil Aeronautics Board; Selective Service; Department of Defense; Federal Aviation Administration; U.S. Maritime Administration; Department of Commerce; Foreign Claims Settlement Commission; Immigration and Naturalization Service; Internal Revenue Service; Secret Service; airlines when the information is required for the purpose of notifying next of kin of the death or serious injury of the individual to whom it pertains, or in connection with a medical evaluation of the individual to whom it pertains; funeral homes in connection with the death abroad of citizens of the U.S.; members of Congress when the information is requested on behalf of the individual to whom it pertains, or on behalf of some other individual to whom access is authorized under these rules; shipping companies when the information is maintained pursuant to the Department's responsibility under Title 46 of the U.S. Code; immediate families when the information is required by the individual's immediate family; attorneys when the individual to whom the information pertains is the client of the attorney making the request, or when the attorney is acting on behalf of some other individual to whom access is authorized under these rules; the Red Cross; State Law Enforcement Agencies, including State Prosecutors; Foreign Embassies and Consulates when the request for information is made pursuant to customary international practice; private citizens whenever the individual to whom the information pertains has authorized the Department in writing to release such information. This information may also be released to other government agencies having statutory or other lawful authority to maintain such information. Also see "Routine Uses"paragraphs of Prefatory Statement.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Hard copy; magnetic computer media.

Retrievability: By individual name.

Safeguards: All employees of the Department of State have undergone a thorough background security investigation. Access to the Department of State building and its annexes is controlled by security guards, and admission is limited to those individuals possessing a valid identification card or individuals under proper escort. All records containing personal information are maintained in secured file cabinets or in restricted areas access to which is limited to authorized personnel.

Retention and disposal: Retention of these records varies from 1 to 20 years, depending upon the specific kind of record involved. They are retired or destroyed in accordance with published schedules of the Department of State. More specific information may be obtained by writing the Director, Foreign Affairs Document and Reference Center, Room 1239, Department of State, 2201 C Street NW, Washington, D.C. 20520.

System manager(s) and address: Director, Special Consular Services, Room 1803, Department of State, 2201 C Street NW, Washington, D.C. 20520.

Notification procedure: Individuals who have reason to believe that the Office of Special Consular Services might have records pertaining to them should write to the Director, Foreign Affairs Document and Reference Center, Room 1239, Department of State, 2201 C Street NW, Washington, D.C. 20520. The individual must specify that he/she wishes the records of the Office of Special Consular Services to be checked. At a minimum, the individual must include: Name; date and place of birth; current mailing address and zip code; signature; a brief description of the circumstances, including the location (city and country), and the approximate dates, which gave the individual cause to believe that the Office of Special Consular Services has records pertaining to him/her.

Record access procedures: Individiuals who wish to gain access to or amend records pertaining to them should write to the Director, Foreign Affairs Document and Reference Center (address above).

Contesting record procedures: (See above).

Record source categories: The individual; consular officers; family members; federal state, and local agencies who have an interest in the case.

Systems exempted from certain provisions of the act: Certain records contained within this system of records are exempted from 5 U.S.C. 552a (c)(3), (d), (e)(1), (e)(4)(G), (H), and (I) and (f). See Department of State Rules published in the Federal Register.

STATE-06

System name: Coordinator for the Combatting of Terrorism Records.

System location: Department of State, 2201 C Street NW, Washington, DC 20520.

Categories of individuals covered by the system: American citizens involved in terrorist incidents.

Categories of records in the system: Case files.

Authority for maintenance of the system: Presidential Memorandum of September 25, 1972 establishing a Cabinet Committee to Combat Terrorism and under it a Working Group.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: These records are maintained to (1) help maintain an effective response to the international terrorism problem; (2) use as guidelines in cases of future terrorist incidents; and (3) answer correspondence of the Department of State as may be required in the performance of their official duties. The Office of the Coordinator of Combatting Terrorism has contracted with the Rand Corporation a study of hostage situations involving American and other officials. In the course of the study, records were made available to Rand. The records may also be used by other outside research contractors having the necessary clearance for studies related to aspects of international terrorism. The information may also be released to other government agencies having statutory or other lawful authority to maintain such information. Also see "Routine Uses"paragraphs of Prefatory Statement.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Hard copy.

Retrievability: By individual name.

Safeguards: All employees of the Department of State have undergone a thorough background security investigation. Access to the Department of State building and its annexes is controlled by security guards, and admission is limited to those individuals possessing a valid identification card or individuals under proper escort. All records containing personal information are maintained, in secured file cabinets or in restricted areas, access to which is limited to authorized personnel.

Retention and disposal: Retention of these records is indefinite. They are retired or destroyed in accordance with published schedules of the Department of State. More specific information may be obtained by writing the Director, Foreign Affairs Document and Reference Center, Room 1239, Department of State, 2201 C Street NW, Washington, DC 20520.

System manager(s) and address: Special Assistant to the Secretary and Coordinator for Combatting Terrorism Room 5243A, Department of State, 2201 C Street NW, Washington DC 20520.

Notification procedure: Individuals who have reason to believe that the Office of the Coordinator for Combatting Terrorism might have records pertaining to them should write to the Director, Foreign Affairs Document and Reference Center, Room 1239, Department of State, 2201 C Street NW, Washington DC 20250. The individual must specify that he/she wishes the records of the Office of the Coordinator for Combatting Terrorism to be checked. At a minimum, the individual must include: Name; date and place of birth; current mailing address and zip code; signature; a brief description of the circumstances, including the approximate dates, which give the individual cause to believe that the Office of the Coordinator for the Combatting of Terrorism might have records pertaining to him/her.

Record access procedures: Individuals who wish to gain access to or amend records pertaining to themselves should write to the Director, Foreign Affairs Document and Reference Center (address above).

Contesting record procedures: (See above).

Record source categories: Departmental personnel and medical records; family, friends, colleagues of the individual; intelligence agencies.

Systems exempted from certain provisions of the act: Certain records contained within this system of records are exempted from 5 U.S.C. 552a (c)(3), (d), (e)(1), (e)(4)(G), (H), and (I) and (f). See Department of State Rules published in the Federal Register.

STATE-07

System name: Cryptographic Clearance Records.

System location: Office of Communications, Room 6442, Department of State, 2201 C Street NW, Washington, DC 20520.

Categories of individuals covered by the system: Employees of the Department of State, Agency for International Development, U.S. Information Agency, and the U.S. Arms Control and Disarmament Agency who are eligible for cryptographic clearances as well as those who have actually received crytographic clearance.

Categories of records in the system: Correspondence with the Office of Security; position held by employee; date clearance granted.

Authority for maintenance of the system: Executive Order 11652.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The information contained in these records is used to protect the Office of Communications' crytographic duties and to protect sensitive information from unauthorized disclosure. Information relating to an employee's eligibility for crytographic clearance is used only by the Office of Communications and is not released outside the Department. Information concerning an individual's cryptographic clearance is maintained to protect the Office of Communications' cryptographic duties. In addition, it is released to personnel of the Agency for International Development, the U.S. Information Agency, and the U.S. Arms Control and Disarmament Agency on a need to know basis only. Any other release of information to other government agencies having a statutory or other lawful authority to maintain such information is made through the Office of Security. Also see "Routine Uses"paragraphs of Prefatory Statement.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system.

Storage: Hard copy; magnetic computer media.

Retrievability: By individual name.

Safeguards: All employees of the Department of State have undergone a thorough background security investigation. Access to the

Department of State building and its annexes is controlled by security guards, and admission is limited to those individuals possessing a valid identification card or individuals under proper escort. All records containing personal information are maintained in secured file cabinets or in restricted areas, access to which is limited to authorized personnel.

Retention and disposal: These records are retained indefinitely. They are retired in accordance with published schedules of the Department of State. More specific information may be obtained by writing the Director, Foreign Affairs Document and Reference Center, Room 1239, Department of State, 2201 C Street NW, Washington, DC 20520.

System manager(s) and address: Chief, Communications Security Division, Office of Communications, Room 6442, Department of State, 2201 C Street NW, Washington, DC 20520.

Notification procedure: Individuals who have cause to believe that the Communications Security Division might have records pertaining to them should write to the Director, Foreign Affairs Document and Reference Center, Room 1239, Department of State, 2201 C Street NW, Washington, DC 20520. The individual must specify that he/she wishes the records of the Communications Security Division to be checked. At a minimum, the individual must include: Name; date and place of birth; current mailing address and zip code; signature; the approximate dates of employment with the Department of State and the nature of such employment.

Record access procedures: Individuals who wish to gain access to or amend records pertaining to themselves should write to the Director Foreign Affairs Document and Reference Center Reference Center, (address above).

Contesting record procedures: (See above).

Record source categories: The individual; Office of Security of the Department of State.

STATE-08

System name: Educational and Cultural Exchange Program Records.

System location: Department of State, 2201 C Street NW, Washington, DC 20520; Department of State Annex 6, 1700 N. Lynn Street, Arlington, Virginia 22209; Department of State Annex 2, 515 22nd Street NW, Washington, DC 20037; Scientific Time Sharing Corporation, 7316 Wisconsin Avenue, Bethesda, Maryland; American Council on Education, 1 Dupont Circle, NW, Washington, D.C.; the Council for International Exchange of Scholars, 11 Dupont Circle, NW, Washington, D.C.

Categories of individuals covered by the system: Applicants, recipients, and prospective recipients of Educational and Cultural exchange grants; members of the Board of Foreign Scholarships; American Executive Secretaries of Fulbright Foundations and Commissions; members of the U.S. Advisory Commission on International Educational and Cultural Affairs; members of the Government Advisory Committee on International Book and Library Programs; members of the former National Review Board of the East-West Center; faculty members of U.S. educational institutions participating in student counseling workshops conducted in various countries.

Categories of records in the system: Biographic information; project descriptions; forms relating to the individual's security clearance; evaluations of the performances of former grantees; evaluations of performing artists who may be potential grantees; copies of press releases; news clippings; information related to the grant; related correspondence; records dealing with the waiving of the foreign residence requirements contain applications for waivers and extensions; academic transcripts; letters of reference.

Authority for maintenance of the system: Mutual Educational and Cultural Exchange Act of 1961; 22 U.S.C. 2451-58; 22 U.S.C. 2054-57; 22 U.S.C. 1431.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The primary function of the Educational and Cultural Exchange Program Records is the aiding in the selection of individuals for educational and cultural exchange grants and for the administration of such grants. Information from these records is also used to develop statistics for use in the operation of the exchange program. The principal users of this information outside the Department of State are: Civil Service Commission; United States Information Agency; Central Intelligence Agency; Immigration and Naturalization Service; Department of Justice; Smithsonian Institution; Congress; the news media; relatives of the grantee trying to reach the individual for bona fide personal reasons; the grantee in connection with the selection process, information may be released to: Binational commissions; the Board of Foreign Scholarships; foreign host institutions; contract agencies. Fulbright-Hays alumni names and addresses may be made available to American institutions, organizations or individuals assisting in the organizing and functioning of an association of alumni of the exchange program. Excerpts from the files may be used by non-governmental penels of experts in rating candidates. This information may also be released to other government agencies having statutory or other lawful authority to maintain such information. Also see "Routine Uses"paragraphs of Prefatory Statement.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Hard copy; magnetic computer media.

Retrievability: By individual name.

Safeguards: All employees of the Department of State have undergone a thorough background security investigation. Access to the Department of State building and its annexes is controlled by security guards, and admission is limited to those individuals possessing a valid identification card or individuals under proper escort. All records containing personal information are maintained in secured file cabinets or in restricted areas, access to which is limited to authorized personnel.

Retention and disposal: Retention of these records varies from three years to an indefinite period of time, depending upon the specific kind of record involved. (Records of non-recommended candidates are only maintained for up to twelve months after submission of the application.) They are retired or destroyed in accordance with published schedules of the Department of State. More specific information may be obtained by writing the Director, Foreign Affairs Document and Reference Center, Room 1239, Department of State, 2201 C Street NW, Washington, DC 20520.

System manager(s) and address: Executive Director, Bureau of Educational and Cultural Affairs, Room 4811A, Department of State, 2201 C Street NW, Washington, DC 20520.

Notification procedure: Individuals who have cause to believe that the Bureau of Educational and Cultural Affairs might have records pertaining to them should write to the Director, Foreign Affairs Document and Reference Center, Room 1239, Department of State, 2201 C Street NW, Washington, DC 20520. The individual must specify that he/she wishes the records of the Bureau of Educational and Cultural Affairs to be checked. At a minimum, the individual must include: Name; date and place of birth; current mailing address and zip code; signature. If the individual is or was a grantee or an applicant for a grant, he/she must specify the type of grant and the dates of the grant which he/she received or for which he/she applied.

Record access procedures: Individuals who wish to gain access to or amend records pertaining to themselves should write to Director, Foreign Affairs Document and Reference Center (address above).

Contesting record procedures: (See above).

Record source categories: The individual; public references; other offices within the Department; other government agencies; other public and professional institutions possessing relevant information.

Systems exempted from certain provisions of the act: Certain records contained within this system of records are exempted from 5 U.S.C. 552a (c)(3), (d), (e)(1), (e)(4)(G), (H), and (I), and (f). See Department of State Rules published in the FEDERAL REGISTER.

STATE-09

System name: Equal Employment Opportunity Records.

System location: Department of State, 2201 C Street NW, Washington, DC 20520.

Categories of individuals covered by the system: Employees who have filed formal or informal complaints alleging discrimination; minority and women applicants for employment.

Categories of records in the system: Investigative reports; employment applications; biographic information; employment histories.

Authority for maintenance of the system: 42 U.S.C. 2000C; Executive Order 11478.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Information on formal and informal complaints is made available only to personnel of the Office of Equal Employment Opportunity and Departmental Counsel to that office. Information on informal complaints and minority and women applicants for employment is not made available to anyone outside the Department of State. The principal users of the information on formal complaints outside the Department of State are: Civil Service Commission Complaints Examiner; Appeals Review Board; U.S. District Court. The information may also be released to other government agencies having statutory or other lawful authority to maintain such information. Also see "Routine Uses"paragraphs of Prefatory Statement.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Hard copy.

Retrievability: By individual name.

Safeguards: All employees of the Department of State have undergone a thorough security investigation. Access to the Department of State building and its annexes is controlled by security guards, and admission is limited to those individuals possessing a valid identification card or individuals under proper escort. All records containing personal information are maintained in secured file cabinets or in restricted areas, access to which is limited to authorized personnel.

Retention and disposal: Retention of these records varies, depending upon the specific kind of record involved. They are retired or destroyed in accordance with published schedules of the Department of State. More specific information may be obtained by writing the Director, Foreign Affairs Document and Reference Center, Room 1239, Department of State, 2201 C Street NW, Washington, DC 20520.

System manager(s) and address: Deputy Assistant Secretary for Equal Employment Opportunity, Room 4427, Department of State, 2201 C Street NW, Washington, DC 20520.

Notification procedure: Individuals who have cause to believe that the Office of Equal Employment Opportunity might have records pertaining to them should write to the Director, Foreign Affairs Document and Reference Center, Room 1239, Department of State, 2201 C Street NW, Washington, DC 20520. The individual must specify that he/she wishes the records of the Office of Equal Employment Opportunity to be checked. At a minimum, the individual must include: Name; date and place of birth; current mailing address and zip code; signature; the approximate date upon which the individual filed a formal or informal complaint alleging discrimination or requested other services from the Office of Equal Employment Opportunity.

Record access procedures: Individuals who wish to gain access to or amend records pertaining to themselves should write to the Director, Foreign Affairs Document and Reference Center (address above).

Contesting record procedures: (See above).

Record source categories: The individual; supervisors of the individual; EEO counselors; EEO personnel; other employees or individuals having knowledge of the facts involved in a complaint.

Systems exempted from certain provisions of the act: Certain records contained within this system of records are exempted from 5 U.S.C. 552a (c)(3), (d), (e)(1), (e)(4)(G), (H), and (I), and (f). See Department of State Rules published in the FEDERAL REGISTER.

STATE-10

System name: External Research Records.

System location: Department of State, 2201 C Street NW, Washington, DC 20520.

Categories of individuals covered by the system: Former and current Bureau of Intelligence and Research consultants/experts; individuals nominated to be Bureau of Intelligence and Research consultants/experts; consultants/experts to other bureaus who have been employed by the Bureau of Intelligence and Research; principal investigators and action officers of government-supported research on foreign affairs.

Categories of records in the system: Administrative materials; career history; research papers by consultants/experts; information on contract research projects carried out under government contracts and grants; copies of form letters sent to authors requesting copies of their research papers and their responses.

Authority for maintenance of the system: 22 U.S.C. 811a.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Information in this system is maintained in order to manage the consultant program and other external research related activities. Information in this system is used in the preparation of reports on work performed by consultants/experts and in the preparation of periodic summaries of financial commitments for approved projects. This information is also used to insure that a consultant does not work more than the statutory number of days allowed each service year. The principal users of this information outside the Department of State are academic institutions and other Bureau of Intelligence and Research consultants/experts. The information may also be released to other government agencies having statutory or other lawful authority to maintain such information. The inventory of "Government Supported Research on Foreign Affairs"is published annually in five unclassified volumes and one classifed volume. The unclassified volumes are widely distributed throughout the United States Government and to overseas posts. They are also available to private individuals through the National Information Service, U.S. Department of Commerce. The classified volume is distributed to U.S. Government officials. "Foreign Affairs Research Papers Available"is distributed throughout the U.S. Government and is available to private individuals through the U.S. Government Printing Office. "Studies in Foreign Affairs: A Bibliography of Government-Supported Research"is an annual cumulative listing of classified and unclassified studies resulting from government-sponsored research. It is given limited distribution on a complimentary basis throughout the U.S. government. Also see "Routine Uses"paragraphs of Prefatory Statement.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Hard copy; magnetic computer media.

Retrievability: By individual name.

Safeguards: All employees of the Department of State have undergone a thorough background security investigation. Access to the Department of State building and its annexes is controlled by security guards, and admission is limited to those individuals possessing a valid identification card or individuals under proper escort. All records containing personal information are maintained in secured file cabinets or in restricted areas, access to which is limited to authorized personnel.

Retention and disposal: Retention of these records varies from one to 5 years, depending upon the specific kind of record involved. They are retired or destroyed in accordance with published schedules of the Department of State. More specific information may be obtained by writing the Director, Foreign Affairs Document and Reference Center, Room 1239, Department of State, 2201 C Street NW, Washington, DC 20520.

System manager(s) and address: Director, Bureau of Intelligence and Research, Room 6531, Department of State, 2201 C Street NW, Washington, DC 20520.

Notification procedure: Individuals who have reason to believe that the Office of External Research might have records pertaining to them should write to the Director, Foreign Affairs Document and Reference Center, Room 1239, Department of State, 2201 C Street NW, Washington, DC 20520. The individual must specify that he/she wishes the records of the Office of External Research to be checked. At a minimum, the individual must include: Name; date and place of birth; current mailing address and zip code; signature; a brief description of the circumstances, including the approximate dates, which give the individual cause to believe that the Office of External Research might have records pertaining to him or her.

Record access procedures: Individuals who wish to gain access to or amend records pertaining to themselves should write to the Director, Foreign Affairs Document and Reference Center (address above).

Contesting record procedures: (See above).

Record source categories: The individual; Office of External Research of the Department of State; Office of Personnel of the Department of State; educational institutions; office which employs the consultant; payroll office of the Department of State.

Systems exempted from certain provisions of the act: Certain records contained within this system of records are exempted from 5 U.S.C. 552a (c)(3), (d),(e)(1),(e)(4)(G), (H), and (I), and (f). See Department of State Rules published in the FEDERAL REGISTER.

STATE-11

System name: Extradition Records.

System location: Department of State, 2201 C Street NW, Washington, DC 20520; Department of Justice, Washington, DC 20530, and its ancillary U.S. Attorney's offices. Copies of documents may be obtained at U.S. embassies overseas and the Foreign Ministries of the countries from which extraditions are requested, and vice versa.

Categories of individuals covered by the system: Individuals charged with or convicted of an extraditable crime who have fled to or from the U.S. and whose return is sought by State or Federal law enforcement agencies or by a foreign country; individuals whose return in sought by deportation when they are in another country illegally; individuals abroad who are under investigation by Federal or state authorities or who are the legitimate subject of Federal or state law enforcement interest.

Categories of records in the system: Internal memoranda; copies of indictments and charges; criminal records; supporting documentation for a case against an individual; fingerprints; physical descriptions; related correspondence.

Authority for maintenance of the system: Article 6, paragraph 2 of the Constitution; 22 U.S.C. 846; 18 U.S.C. 3181-3195.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Extradition requests are sent to the U.S. embassies in the appropriate countries for transmission to the foreign government. Extradition requests made by a foreign government are transmitted to the U.S. Department of Justice The purpose of releasing the information is to obtain the return of the fugitive. The information may also may be released to other Federal, state or local agencies having statutory or other lawful authority to maintain such information. Also see "Routine Uses"paragraphs of Prefatory Statement.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Hard copy.

Retrievability: By individual name.

Safeguards: All employees of the Department of State have undergone a thorough background security investigation. Access to the Department of State building and its annexes is controlled by security guards, and admission is limited to those individuals possessing a valid identification card or individuals under proper escort. All records containing personal information are maintained in secured file cabinets or in restricted areas, access to which is limited to authorized personnel.

Retention and disposal: Retention of these records varies depending upon the specific kind of record involved. They are retired or destroyed in accordance with published schedules of the Department of State. More specific information may be obtained by writing the Director, Foreign Affairs Document and Reference Center, Room 1239. Department of State, 2201 C Street NW, Washington, DC 20520.

System manager(s) and address: Executive Director, Office of the Legal Adviser, Room 6421, Department of State, 2201 C Street NW, Washington, DC 20520.

Notification procedure: Individuals who have reason to believe that the Office of the Legal Adviser might have records pertaining to them should write to the Director, Foreign Affairs Document and Reference Center, Room 1239, Department of State, 2201 C Street NW, Washington, DC 20520. The individual must specify that he/she wishes the record of the Office of the Legal Adviser to be checked. At a minimum, the individual must include: Name; date and place of birth; current mailing address and zip code; signature; the countries to and from which he/she was extradited and the approximate date.

Record access procedures: Individuals who wish to gain access to or amend records pertaining to themselves should write to the Director, Foreign Affairs Document and Reference Center (address above).

Contesting record procedures: (See above).

Record source categories: The individual; state and local government agencies; other government agencies, particularly the Department of Justice; previous employers; neighbors; law enforcement agencies; doctors and lab scientists.

Systems exempted from certain provisions of the act: Certain records contained within this system of records are exempted from 5 U.S.C. 552a (c)(3), (d), (e)(1), (e)(4)(G), (H), and (I) and (f). See Department of State Rules published in the FEDERAL REGISTER.

STATE-12

System name: Foreign Service Employee Locator/Notification Records.

System location: Department of State, 2201 C Street NW, Washington, DC 20520.

Categories of individuals covered by the system: Foreign Service employees.

Categories of records in the system: Employee's name; current post of assignment; Washington area address and telephone number; other address in the U.S.; instructions for forwarding mail; names of dependents; names of contacts for employees for emergency purposes.

Authority for maintenance of the system: 22 U.S.C. 811a, 821.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The information in these files is used for the forwarding of employee's mail and for the notification of next of kin in the event of an emergency or death of an employee. The information may also be released to other government agencies on a need-to-know basis. Also see "Routine Uses"paragraphs of Prefatory Statement.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Hard copy.

Retrievability: By individual name.

Safeguards: All employees of the Department of State have undergone a thorough background security investigation. Access to the Department of State building and its annexes is controlled by security guards, and admission is limited to those individuals possessing a valid identification card or individuals under proper escort. All records containing personal information are maintained in secured file cabinets or in restricted areas, access to which is limited to authorized personnel.

Retention and disposal: The card is maintained until the employee updates it because of a change in address or assignment. The card is destroyed 2 years after the employee retires or resigns.

System manager(s) and address: Chief, Foreign Service Lounge, Room 1252, Department of State, 2201 C Street NW, Washington, DC 20520.

Notification procedure: Individuals who have cause to believe that the Employees Service Center might have records pertaining to them should write to the Director, Foreign Affairs Document and Reference Center, Room 1239, Department of State, 2201 C Street NW, Washington, DC 20520. The individual must specify that he/she wishes the records of the Employees Services Center to be checked. At a minimum, the individual must include: Name; date and place of birth; current mailing address and zip code; signature.

Record access procedures: Individuals who wish to gain access to or amend records pertaining to themselves should write to the Director, Foreign Affairs Document and Reference Center (address above).

Contesting record procedures: (See above).

Record source categories: The indivdual.

STATE-13

System name: Foreign Service Grievance Board Records.

System location: Department of State, 2201 C Street NW, Washington, DC 20520.

Categories of individuals covered by the system: Foreign Service personnel of the Department of State, the Agency for International Development (AID) and the U.S. Information Agency (USIA) who have filed a formal grievance with the Foreign Service Grievance Board.

Categories of records in the system: Case files.

Authority for maintenance of the system: 3 FAM 660.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: This system of records is maintained in order to settle grievances presented by employees against the agencies which employ them. No one other than the individual grievant, his representative(s), if any, the representative(s), of the Agency against whom the grievance has been filed, and the Foreign Service Grievance Board may have access to the records of proceedings. However, when the Secretary of State, the Administrator of AID, or the Director of USIA are acting on a recommendation by the Board concerning promotion, assignment, or disciplinary action submitted under 3 FAM 667.3 only, the record will be made available to them alone upon request. A copy of the official record is provided to the appropriate court whenever a grievant files a court suit over his or her grievance. Also see "Routine Uses"paragraphs of Prefatory Statement.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Hard copy.

Retrievability: By individual name; by log numbers.

Safeguards: All employees of the Department of State have undergone a thorough background security investigation. Access to the Department of State building and its annexes is controlled by security guards, and admission is limited to those individuals possessing a valid identification card or individuals under proper escort. All records containing personal information are maintained in secured file cabinets or in restricted areas, access to which is limited to authorized personnel.

Retention and disposal: These records are retained indefinitely. More specific information may be obtained by writing to the Director, Foreign Affairs Document and Reference Center, Room 1239, Department of State, 2201 C Street NW, Washington, DC 20520.

System manager(s) and address: Executive Secretary, Foreign Service Grievance Board, Room 3418A, Department of State, 2201 C Street NW, Washington, DC 20520.

Notification procedure: Individuals who have cause to believe that the Foreign Service Grievance Board might have records pertaining to them should write to the Director, Foreign Affairs Document and Reference Center, Room 1239, Department of State, 2201 C Street, NW, Washington DC 20520. The individual must specify that he/she wishes the records of the Foreign Service Grievance Board to be checked. At a minimum, the individual must include: Name; date and place of birth; current mailing address and zip code; signature; the approximate date upon which the individual filed a formal grievance with the Foreign Service Grievance Board.

Record access procedures: Individuals who wish to gain access to or amend records pertaining to themselves should write to the Director, Foreign Affairs Document and Reference Center (address above).

Contesting record procedures: (See above).

Record source categories: The individual; the agency which employs the individual.

Systems exempted from certain provisions of the act: Certain records contained within this system of records are exempted from 5 U.S.C. 552a (c)(3), (d), (e)(1), (e)(4)(G), (H), and (I), and (f). See Department of State Rules published in the FEDERAL REGISTER.

STATE-14

System name: Foreign Service Institute Records.

System location: The Foreign Service Institute, 1400 Key Boulevard, Arlington, Virginia, 22209; Department of State Annex 15, 1800 N. Kent Street, Arlington, Virginia 22209.

Categories of individuals covered by the system: Individuals who requested and/or received training from the Foreign Service Institute; individuals who have studied at universities through the Institute; individuals who have served as Diplomats in Residence at universities or colleges; individuals who provide professional services; applicants for employment with the Foreign Service Institute.

Categories of records in the system: Biographic information; employment and educational history; security clearance data; general correspondence; travel vouchers.

Authority for maintenance of the system: Requests for training; 22 U.S.C. 1041-1047.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The information in this system is maintained to ensure efficient operation of the Institute and to enable Foreign Service and Civil Service employees to further their formal education. The principal users of this information outside the Department of State are: Universities who, with the consent of the individual, receive copies of transcripts contained in the files; new students who read former students' comments on housing, living conditions, and courses at universities. Data may be sent to other government agencies whose employees are receiving training from the Foreign Service Institute. Information may also be released to other government agencies having statutory or other lawful authority to maintain such information. Also see "Routine Uses"paragraphs of Prefatory Statement.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Hard copy; magnetic computer media.

Retrievability: By individual name; by social security number.

Safeguards: All employees of the Department of State have undergone a thorough background security investigation. Access to the Department of State building and its annexes is controlled by security guards, and admission is limited to those individuals possessing a valid identification card or individuals under proper escort. All records containing personal information are maintained in secured file cabinets or in restricted areas, access to which is limited to authorized personnel.

Retention and disposal: Retention of these records varies from 3 to 35 years, depending upon the specific kind of record involved. They are retired or destroyed in accordance with published schedules of the Department of State. More specific information may be obtained by writing to the Director, Foreign Affairs Document and Reference Center, Room 1239, Department of State, 2201 C Street NW, Washington, DC 20520.

System manager(s) and address: The Director, Foreign Service Institute, Room 1200, Department of State Annex 3, 1400 Key Boulevard, Arlington, Virginia 22209.

Notification procedure: Individuals who have cause to believe that the Foreign Service Institute might have records pertaining to them should write to the Director, Foreign Affairs Document and Reference Center, Room 1239, Department of State, 2201 C Street NW, Washington, DC 20520. The individual must specify that he/she wishes the records of the Foreign Service Institute to be checked. At a minimum, the individual must include: Name; date and place of birth; current mailing address and zip code; signature; a brief description of the circumstances, including the approximate dates, which give the individual cause to believe that the Foreign Service Institute might have records pertaining to him/her.

Record access procedures: Individuals who wish to gain access to or amend records pertaining to themselves should write to the Director, Foreign Affairs Document and Reference Center (address above).

Contesting record procedures: (See above).

Record source categories: The individual; Personnel Office of the agency which employs the individual; educational institutions; Office of Security of the Department of State.

Systems exempted from certain provisions of the act: Certain records contained within this system of records are exempted from 5 U.S.C. 552a (c)(3), (d), (e)(1), (e)(4)(G), (H),and (I), and (f), See Department of State Rules published in the FEDERAL REGISTER.

STATE-15

System name: Intelligence and Research Records.

System location: Department of State, 2201 C Street NW, Washington, DC 20520.

Categories of individuals covered by the system: Employees, contractors, consultants, and persons detailed to the Department of State, the Arms Control and Disarmament Agency, and Agency for International Development who have or have had any special intelligence clearance.

Categories of records in the system: Clearances held by the individual; information relevant to special intelligence clearances.

Authority for maintenance of the system: 18 U.S.C. 798, 22 U.S.C. 811a.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The information is used to control access to several highly sensitive categories of intelligence materials. The principal users of this information outside the Department of State are: Central Intelligence Agency; National Security Agency; Defense Intelligence Agency; Department of Defense; Energy Resources Development Agency; Federal Bureau of Investigation; Department of the Treasury; Arms Control and Disarmament Agency; Agency for International Development. The information may also be released to other government agencies having statutory or other lawful authority to maintain such information. Also see "Routine Uses"paragraphs of Prefatory Statement.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Hard copy; magnetic computer media.

Retrievability: By individual name.

Safeguards: All employees of the Department of State have undergone a thorough background security investigation. Access to the Department of State building and its annexes is controlled by security guards, and admission is limited to those individuals possessing a valid identification card or individuals under proper escort. All records containing personal information are maintained in secured file cabinets or in restricted areas, access to which is limited to authorized personnel.

Retention and disposal: These records are retained permanently. They are retired in accordance with published schedules of the Department of State. More specific information may be obtained by writing the Director, Foreign Affairs Document and Reference Center, Room 1239, Department of State, 2201 C Street NW, Washington, DC 20520.

System manager(s) and address: Director, Bureau of Intelligence and Research, Room 6531, Department of State, 2201 C Street NW, Washington, DC 20520.

Notification procedure: Individuals who have reason to believe that the Bureau of Intelligence and Research might have records pertaining to them should write to the Director, Foreign Affairs Document and Reference Center, Room 1239, Department of State, 2201 C Street NW, Washington DC 20520. The individual must specify that he/she wishes the records of the Bureau of Intelligence and Research to be checked. At a minimum, the individual must include: Name; date and place of birth; current mailing address and zip code; signature; a brief description of the circumstances, including the approximate dates, which give the individual cause to believe that the Bureau of Intelligence and Research might have records pertaining to him/her.

Record access procedures: Individuals who wish to gain access to or amend records pertaining to themselves should write to the Director, Foreign Affairs Document and Reference Center (Address above).

Contesting record procedures: (See above).

Record source categories: The individual; Office of Security of the Department of State.

Systems exempted from certain provisions of the act: Certain records contained within this system of records are exempted from 5 U.S.C. 552a (c)(3), (d), (e)(1), (e)(4)(G), (H), and (I), and (f). See Department of State Rules published in the FEDERAL REGISTER.

STATE-16

System name: International Conference Delegates Records.

System location: Department of State, 2201 C Street NW, Washington, DC 20520.

Categories of individuals covered by the system: Individuals serving as members or staff of a U.S. delegation to an international conference.

Categories of records in the system: Delegation reports; delegation lists; credentials; temporary hire contracts and vouchers, including position title, salary rate, period of time worked and the conference for which the contract was let; funding information; copies of travel orders; certifications of security clearances.

Authority for maintenance of the system: 22 U.S.C. 811a.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The information provides material for reference research regarding credentials and support requirements of particular delegations. The principal users of this information outside the Department of State are: Department of Justice; Civil Service Commission; Congress; the individual. The information may also be released to other government agencies having statutory or other lawful authority to maintain such information. Also see "Routine Uses"paragraphs of Prefatory Statement.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Hard copy.

Retrievability: By individual name only if the travel or temporary contract was funded by ICC appropriation; by name, site, and date of conference.

Safeguards: All employees of the Department of State have undergone a thorough background security investigation. Access to the Department of State building and its annexes is controlled by security guards, and admission is limited to those individuals possessing a valid identification card or individuals under proper escort. All records containing personal information are maintained in secured file cabinets or in restricted areas, access to which is limited to authorized personnel.

Retention and disposal: Retention of these records is indefinite. They are retired or destroyed in accordance with published schedules of the Department of State. More specific information may be obtained by writing to the Director, Foreign Affairs Document and Reference Center, Room 1239, Department of State, 2201 C Street NW, Washington, DC 20520.

System manager(s) and address: Director, Office of International Conferences, Room 1517, Department of State, 2201 C Street NW, Washington, DC 20520.

Notification procedure: Individuals who have cause to believe that the Office of International Conferences might have records pertaining to them should write to the Director, Foreign Affairs Document and Reference Center, Room 1239, Department of State, 2201 C Street NW, Washington, DC 20520. The individual must specify that he/she wishes the records of the Office of International Conferences to be checked. At a minimum, the individual must include: Name; date and place of birth; current mailing address and zip code; signature; the name, location, and approximate date of the conference to which the individual was a member of the staff or delegation.

Record access procedures: Individuals who wish to gain access to or amend records pertaining to themselves should write to the Director, Foreign Affairs Document and Reference Center (address above).

Contesting record procedures: (See above).

Record source categories: The individuals; public media sources; former employers; Members of Congress; Federal agencies.

STATE-17

System name: International Organizations Records.

System location: Department of State, 2201 C Street NW, Washington, DC 20520; Department of State Annex 2, 515 22nd Street NW, Washington, DC 20037.

Categories of individuals covered by the system: Individuals employed by or seeking employment with international organizations; members of Congress who have written to the Department of State in connection with international organization employment matters; applicants for employment with international organizations processed under Executive Order 10422; members of the U.S. National Commission for UNESCO, past, present, and prospective.

Categories of records in the system: Biographic information; resumes and/or employment application forms; letters of recommendation and reference checks; letters of referral; related communications and notes, including copies of letters from members of Congress; letters from individuals; requests for E.O.10422 processing and results.

Authority for maintenance of the system: Executive Order 10422 (Loyalty Clearance Program), entitled "Prescribing Procedures for Making Available to the Secretary General of the United Nations Certain Information Concerning United States Citizens Employed or Being Considered for Employment on the Secretariat of the United Nations"; 5 U.S.C. 3343 and 3581-3582; Executive Order 11552 entitled "Providing for Details and Transfers of Federal Employees to International Organizations".

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Records of individuals employed by or seeking employment with international organizations are used to determine qualifications of candidates for specific jobs with international organizations, to correspond with Missions and Embassies concerning candidates, to correspond with the individual candidates, or to respond to a Congressional inquiry. Records on applicants for employment with international organizations processed under Executive Order 10422 are used to process the Loyalty Clearance request and to maintain a record of the clearance status. Information from this system is used to notify international organizations of the status and results of E.O.10422 processing. Copies of resumes or applications are referred to international organizations, private foundations, and Federal agencies involved in the recruitment of candidates. In addition, information contained in these records is released to other government agencies having statutory or other lawful authority to maintain such information. Also see "Routine Uses"paragraphs of Prefatory Statement.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Magnetic computer media; hard copy.

Retrievability: By individual name.

Safeguards: All employees of the Department of State have undergone a thorough background security investigation. Access to the Department of State building and its annexes is controlled by security guards, and admission is limited to those individuals possessing a valid identification card or individuals under proper escort. All records containing personal information are maintained in secured file cabinets or in restricted areas, access to which is limited to authorized personnel.

Retention and disposal: Retention of these records varies from zero to 10 years, depending upon the specific kind of record involved. They are retired or destroyed in accordance with published schedules of the Department of State. More specific information may be obtained by writing to the Director, Foreign Affairs Document and Reference Center, Room 1239, Department of State, 2201 C Street NW, Washington, DC 20520.

System manager(s) and address: Executive Director, Bureau of International Organization Affairs, Room 6327, Department of State, 2201 C Street NW, Washington, DC 20520.

Notification procedure: Individuals who have cause to believe that the Bureau of International Organization Affairs might have records pertaining to them should write to the Director, Foreign Affairs Document and Reference Center, Room 1239, Department of State, 2201 C Street NW, Washington, DC 20520. The individual must specify that he/she wishes the records of the Bureau of International Organization Affairs to be checked. At a minimum, the individual must include: Name; date and place of birth; current mailing address and zip code; signature.

Record access procedures: Individuals who wish to gain access to or amend records pertaining to themselves should write to the Director, Foreign Affairs Document and Reference Center (address above).

Contesting record procedures: (See above).

Record source categories: The individual; public media sources; previous employers; professional associations and educational institutions; international and nongovernmental organizations; other federal agencies.

Systems exempted from certain provisions of the act: Certain records contained within this system of records are exempted from 5 U.S.C. 552a (c) (3), (d), (e)(1), (e)(4)(G), (H), and (I), and (f). See Department of State Rules published in the FEDERAL REGISTER.

STATE-18

System name: Labor Attaches Records.

System location: Department of State, 2201 C Street NW, Washington, DC 20520.

Categories of individuals covered by the system: Labor attaches; applicants to be labor attaches; former labor attaches.

Categories of records in the system: Personnel audit reports; applications; resumes; correspondence related to appointment, training, assignment, or transfer of labor attaches.

Authority for maintenance of the system: 22 U.S.C. 811a.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The principal user of this information outside the Department of State is the Department of Labor. This information may also be released to other government agencies having statutory or other lawful authority to maintain such information. Also see "Routine Uses"paragraphs of Prefatory Statement.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Hard copy.

Retrievability: By individual name.

Safeguards: All employees of the Department of State have undergone a thorough security investigation. Access to the Department of State building and its annexes is controlled by security guards, and admission is limited to those individuals possessing a valid identification card or individuals under proper escort. All records containing personal information are maintained in secured file cabinets or in restricted areas, access to which is limited to authorized personnel.

Retention and disposal: Retention of these records varies from 2 to 5 years, depending upon the specific kind of record involved. More specific information may be obtained by writing the Director, Foreign Affairs Document and Reference Center, Room 1239, Department of State, 2201 C Street NW, Washington, DC 20520.

System manager(s) and address: Special Assistant to the Secretary and Coordinator, International Labor Affairs, Room 4232, Department of State, 2201 C Street NW, Washington, DC 20520.

Notification procedure: Individuals who have cause to believe that the Office of the Special Assistant and Coordinator, International Labor Affairs might have records pertaining to them should write to the Director, Foreign Affairs Document and Reference Center, Room 1239, Department of State, 2201 C Street NW, Washington, DC 20520. The individual must specify that he/she wishes the records of the Office of International Labor to be checked. At a minimum, the individual must include: Name; date and place of birth; current mailing address and zip code; signature; approximate dates during which he/she was a labor attache or applied to be a labor attache.

Record access procedures: Individuals who wish to gain access to or amend records pertaining to themselves should write to the Director, Foreign Affairs Document and Reference Center (address above).

Contesting record procedures: (See above).

Record source categories: The individual; officers within the Department of State; Department of Labor.

STATE-19

System name: Law of the Sea Records.

System location: Department of State, 2201 C Street NW, Washington, DC 20520.

Categories of individuals covered by the system: Members of Congress; members of the Advisory Committee on the Law of the Sea.

Categories of records in the system: Correspondence to and from members of Congress relating to the Law of the Sea and their participation in the Executive Branch's Law of the Sea program; information pertaining to security clearances for members of the Advisory Committee on the Law of the Sea; articles written by members of the Advisory Committee; correspondence received from members of the Advisory Committee; administrative papers regarding travel expenses and funding for members of the Advisory Committee.

Authority for maintenance of the system: The records have been maintained by the Office of the Law of the Sea Negotiations since its establishment in 1973, under the authority granted to the Deputy Secretary of State by the National Security Council as Chairman of the National Security Council Interagency Task Force on the Law of the Sea.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The records are maintained for the efficient handling of matters dealing with the Law of the Sea. Information may be released to other government agencies having statutory or other lawful authority to maintain such information. Also see "Routine Uses"paragraphs of Prefatory Statement.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Hard copy.

Retrievability: By individual name.

Safeguards: All employees of the Department of State have undergone a thorough background security investigation. Access to the Department of State building and its annexes is controlled by security guards, and admission is limited to those individuals possessing a valid identification card or individuals under proper escort. All records containing personal information are maintained in secured file cabinets or in restricted areas, access to which is limited to authorized personnel.

Retention and disposal: Retention of these records varies depending upon the specific kind of record involved. They are retired or destroyed in accordance with published schedules of the Department of State. More specific information may be obtained by writing to the Director, Foreign Affairs Document and Reference Center, Room 1239, Department of State, 2201 C Street NW, Washington, DC 20520.

System manager(s) and address: Deputy Special Representative of the President to the Law of the Sea Conference and Chairman of the International Task Force on the Law of the Sea, Room 4321, Department of State, 2201 C Street NW, Washington, DC 20520.

Notification procedure: Individuals who have reason to believe that the Office of Law of the Sea might have records pertaining to them should write to the Director, Foreign Affairs Document and Reference Center, Room 1239, Department of State, 2201 C Street NW, Washington, DC 20520. The individual must specify that he/she wishes the records of the Office of the Law of the Sea to be checked. At a minimum, the individual must include: Name; place and date of birth; current mailing address and zip code; signature; a brief description of the circumstances, including the approximate dates, which give the individual reason to believe that the Office of the Law of the Sea might have records pertaining to him/her.

Record access procedures: Individuals who wish to gain access to or amend records pertaining to themselves should write to the Director, Foreign Affairs Document and Reference Center, (address above).

Contesting record procedures: See above.

Record source categories: The individual; offices within the Department of State.

Systems exempted from certain provisions of the act: Certain records contained within this system of records are exempted from 5 U.S.C. 552a (c)(3), (d), (e)(1), (e)(4)((G), (H), and (I), and (f). See Department of State Rules published in the FEDERAL REGISTER.

STATE-20

System name: Legal Adviser Attorney Employment Application Records.

System location: Department of State, 2201 C Street NW, Washington, DC 20520.

Categories of individuals covered by the system: Applicants for employment as attorneys in the Office of the Legal Adviser.

Categories of records in the system: Applicant resumes; interview forms; letters of recommendation; miscellaneous administrative correspondence.

Authority for maintenance of the system: 5 U.S.C 301; 22 U.S.C. 811a.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Information is used for recruitment and hiring, requesting employment processing, and other activities of an administrative nature. The information may also be released to other government agencies having statutory or other lawful authority to maintain such information. Also see "Routine Uses"paragraphs of Prefatory Statement.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Hard copy.

Retrievability: By individual name.

Safeguards: All employees of the Department of State have undergone a thorough background security investigation. Access to the Department of State building, and its annexes is controlled by security guards, and admission is limited to those individuals possessing a valid identification card or individuals under proper escort. All records containing personal information are maintained in secured file cabinets or in restricted areas, access to which is limited to authorized personnel.

Retention and disposal: Retention of these records varies depending upon the specific kind of record involved. They are retired or destroyed in accordance with published schedules of the Department of State. More specific information may be obtained by writing to the Director, Foreign Affairs Document and Reference Center, Room 1239, Department of State, 2201 C Street NW, Washington, DC 20520.

System manager(s) and address: Executive Director, Office of the Legal Adviser, Room 6421, Department of State, 2201 C Street NW, Washington, DC 20520.

Notification procedure: Individuals who have reason to believe that the Office of the Legal Adviser might have records pertaining to them should write to the Director, Foreign Affairs Document and Reference Center, 2201 C Street NW, Washington, DC 20520. The individual must specify that he/she wishes the records of the Office of the Legal Adviser to be checked. At a minimum, the individual must include: Name; date and place of birth; current mailing address and zip code; signature; the approximate date on which he/she applied for employment with the Office of the Legal Adviser.

Record access procedures: Individuals who wish to gain access to or amend records pertaining to them should write to the Director, Foreign Affairs Document and Reference Center (address above).

Contesting record procedures: See above.

Record source categories: The individual; the Office of Personnel; educational institutions; Office of the Legal Adviser; other offices within the Department.

Systems exempted from certain provisions of the act: Certain records contained within this system of records are exempted from 5 U.S.C. 552a (c)(3), (d), (e)(1), (e)(4)(G), (H), and (I), and (f). See Department of State Rules published in the FEDERAL REGISTER.

STATE-21

System name: Legal Case Management Records.

System location: Department of State, 2201 C Street NW, Washington, DC 20520; Department of Justice, Washington, DC 20530, and its ancillary U.S. Attorney's offices.

Categories of individuals covered by the system: Individuals who have filed administrative grievances and Equal Employment Opportunity complaints; individuals involved in disciplinary proceedings; individuals involved in alleged criminal activity or activity in violation of regulations; individuals who have sued the Department of State or any officials, or who have raised administrative and management questions which require legal analysis.

Categories of records in the system: Employment histories; summaries of circumstances surrounding grievances, Equal Employment Opportunity complaints, litigation, or disciplinary proceedings; internal memoranda; copies of indictments and charges; criminal records and reports of investigations; supporting documentation for a case against an individual; related correspondence.

Authority for maintenance of the system: 5 U.S.C. 301; 22 U.S.C. 811a, 842, 846.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Information in the Legal Adviser's Name Case Management Records is used to provide legal advice and opinion to the offices of the Department of State. The principal users of this information outside the Department of State are: The Department of Justice and the General Accounting Office. The information may also be released to other government agencies having statutory or other lawful authority to maintain such information. Also see "Routine Uses' paragraphs of Prefatory Statement.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Hard copy.

Retrievability: By individual name.

Safeguards: All employees of the Department of State have undergone a thorough background security investigation. Access to the Department of State building and its annexes is controlled by security guards, and admission is limited to those individuals possessing a valid identification card or individuals under proper escort. All records containing personal information are maintained in secured file cabinets or in restricted areas, access to which is limited to authorized personnel.

Retention and disposal: Retention of these records varies depending upon the specific kind of record involved. They are retired or destroyed in accordance with published schedules of the Department of State. More specific information may be obtained by writing the Director, Foreign Affairs Document and Reference Center, Room 1239, Department of State, 2201 C Street NW, Washington, DC 20520.

System manager(s) and address: Executive Director, Office of the Legal Adviser, Room 6421, Department of State, 2201 C Street NW, Washington, DC 20520.

Notification procedure: Individuals who have reason to believe that the Office of the Legal Adviser might have records pertaining to them should write to the Director, Foreign Affairs Document and Reference Center, Room 1239, Department of State, 2201 C Street NW, Washington, DC 20520. The individual must specify that he/she wishes the records of the Office of the Legal Adviser to be checked. At a minimum, the individual must include: Name; date and place of birth; present mailing address and zip code; signature; brief description of the circumstances, including the approximate dates, which give the individual cause to believe that the Office of the Legal Adviser might have records pertaining to him or her.

Record access procedures: Individuals who wish to gain access to or amend records pertaining to them should write to the Director, Foreign Affairs Document and Reference Center (address above).

Contesting record procedures: (See above).

Record source categories: The individual; offices of the Department of State which are clients of the Office of the Legal Adviser; other government agencies, particularly the Department of Justice; previous employers; neighbors; security investigation reports; other employees or individuals having knowledge of the issue about which a legal opinion is requested.

STATE-22

System name: Media Correspondents' Records.

System location: Department of State, 2201 C Street NW, Washington, DC 20520.

Categories of individuals covered by the system: Media correspondents accredited to the Department of State.

Categories of records in the system: Correspondence; applications for accredidation; memoranda.

Authority for maintenance of the system: 22 U.S.C. 811a.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: These records serve as reference records and lists of correspondents accredited to the Department of State. The information is used to reconfirm renewed applications, to verify previous employment, and to facilitate the granting of temporary clearance for a former correspondent. It is also used to compile a list of correspondents which is distributed to employees of the Department, other government agencies, foreign embassies and the general public on a need-to-know basis. The prinicipal users of this information outside the Department of State are: The Executive Office of the President; Congress; media organizations. The information may also be released to other government agencies having statutory or other lawful authority to maintain such information. Also see "Routine Uses' paragraphs of Prefatory Statement.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Magnetic computer media; hard copy; microfilm.

Retrievability: By individual name; by news organization.

Safeguards: All employees of the Department of State have undergone a thorough background security investigation. Access to the Department of State building and its annexes is controlled by security guards, and admission is limited to those individuals possessing a valid identification card or individuals under proper escort. All records containing personal information are maintained in secured file cabinets or in restricted areas, access to which is limited to authorized personnel.

Retention and disposal: These records are maintained indefinitely because of a need to refer to former requests and applications in order to reconfirm a renewed application, verify previous employment, and/or facilitate a former correspondent's request for temporary clearance.

System manager(s) and address: Director, Office of Press Relations, Room 2109, Department of State, 2201 C Street NW, Washington, DC 20520.

Notification procedure: Individuals who have cause to believe that the Office of Press Relations might have records pertaining to them should write to the Director, Foreign Affairs Document and Reference Center, Room 1239, Department of State, 2201 C Street NW, Washington, DC 20520. The individual must specify that he/she wishes the records of the Office of Press Relations to be checked. At a minimum, the individual must include: Name; date and place of birth; current mailing address and zip code; signature; media organization with which he/she was accredited and the approximate dates of this association with the Department of State.

Record access procedures: Individuals who wish to gain access to or amend records pertaining to themselves should write to the Director, Foreign Affairs Document and Reference Center (address above).

Contesting record procedures: (See above).

Record source categories: The individual; employers; members of Congress; members of other government agencies corresponding with the Department; private citizens.

STATE-23

System name: Media Personnel Records.

System location: Department of State, 2201 C Street NW, Washington, DC 20520

Categories of individuals covered by the system: Radio and television station managers and news directors; newspaper and magazine publishers; editors and editorial writers; individuals who have participated in or have been invited to participate in the Media-Diplomat Seminar Program; individuals eligible for participation in the Media-Diplomat Seminar Program (e.g., editorial page editors, editorial writers and columnists); individuals who have participated in or expressed an interest in the Direct-Line Interviews (e.g., radio/television news directors and newspaper editorial writers); individuals who have participated in or been invited to Media Executive Meetings and/or Community Leaders Meetings with the Secretary of State in major metropolitan areas (e.g., newspaper publishers and editors-in-chief).

Categories of records in the system: Name, title, address, and telephone number of the individual.

Authority for maintenance of the system: 22 U.S.C. 811a.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Information in this system is used to compile invitation lists to national media conferences and seminars sponsored by the Department of State including the Media-Diplomat Seminar Program. It is also used to invite regional media representatives to meet with the Secretary of State at meetings (such as Metropolitan Media Executive Meetings) and/or attend regional press conferences given by the Secretary. The information is also used to contact radio and television station news directors to determine if they wish to participate in Direct-Line (telephone) Interviews with Department of State personnel. In addition, information in the system is used to compile a mailing list for television and radio stations which have asked to receive the Department's audio-visual materials. Also see "Routine Uses"paragraphs of Prefatory Statement.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Hard copy.

Retrievability: By individual name and the name and location of the newspaper or TV/radio station.

Safeguards: All employees of the Department of State have undergone a thorough background security investigation. Access to the Department of State building and its annexes is controlled by security guards, and admission is limited to those individuals possessing a valid identification card or individuals under proper escort. All records containing personal information are maintained in secured file cabinets or in restricted areas, access to which is limited to authorized personnel.

Retention and disposal: Retention of these records varies depending upon the specific kind of record involved. They are retired or destroyed in accordance with published schedules of the Department of State. More specific information may be obtained by writing the Director, Foreign Affairs Document and Reference Center, Room 1239, Department of State, 2201 C Street NW, Washington, DC 20520.

System manager(s) and address: Chief, Media Liaison Division, Bureau of Public Affairs, Room 4827-A, Department of State, 2201 C Street NW, Washington, DC 20520.

Notification procedure: Individuals who have reason to believe that the Bureau of Public Affairs might have records pertaining to them should write to the Director, Foreign Affairs Document and Reference Center, Room 1239, Department of State, 2201 C Street, NW, Washington, DC 20520. The individual must specify that he/she wishes the records of the Bureau of Public Affairs to be checked. At a minimum, the individual must include: Name; date and place of birth; current mailing address and zip code; signature; approximate dates during which the individual was employed as a radio or television station manager or news director, newspaper or magazine publisher, or editor or editorial writer.

Record access procedures: Individuals who wish to gain access to or amend records pertaining to themselves should write to the Director, Foreign Affairs Document and Reference Center (address above).

Contesting record procedures: (See above).

Record source categories: The individual; "Broadcasting Yearbook"; "Editor and Publisher International Yearbook"; Radio Television News Directors Association; National Association of Educational Broadcasters; National Association of Broadcasters; American Society of Newspaper Editors; National Conference of Editorial Writers.

STATE-24

System name:

Medical Records.

System location:

Department of State, 2201 C Street, NW, Washington, D.C. 20520 and Health Units at Overseas Posts.

Categories of individuals covered by the system:

Employees and dependents of the Department of State, the Agency for International Development, the U.S. Information Agency, ACTION, and other agencies under the Medical Program.

Categories of records in the system:

Reports of Medical examinations and related documents; reports of treatments and other health services rendered to individuals; narrative summaries of hospital treatments; personal medical histories; reports of on-the-job injuries or illnesses; employee assignment histories; and reports on medical evacuation.

Authority for maintenance of the system:

22 U.S.C. 911, 912; 22 U.S.C. 1156–1159; 42 U.S.C. 4561; 21 U.S.C. 1180; 22 U.S.C. 3926; 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The information contained in these records is used to effectively administer the Department of State's medical program. These records are utilized and reviewed by medical and administrative personnel of the Office of Medical services on a need-to-know basis in normal day-to-day operations. These Medical files are not available to other offices in the Department of State, the Agency for International Development, the U.S. Information Agency, ACTION, or other participating agencies. Records are released only with the written permission of the subject individual to private physicians, hospitals, legal representatives, congressional representatives, and others under the premise of the "Prudent Physician Rule." Also see "Routine Uses" paragraphs of Prefatory Statement.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Hard copy, microfiche; and computer media.

Retrievability:

By individual name.

Safeguards:

All employees of the Department of State have undergone a thorough background security investigation. Access to the Department of State building and its annexes is controlled by security guards, and admission is limited to those individuals possessing a valid identification card or individuals under proper escort. All records containing personal information are maintained in secured file cabinets or in restricted areas, access to which is limited to authorized personnel.

Retention and disposal:

Retention of these records varies depending upon the specific kind of record involved. They are retired or destroyed in accordance with published schedules of the Department of State. More specific information may be obtained by writing the Information and Privacy Coordinator, Room 1239, Department of State, 2201 C Street, NW, Washington, D.C. 20520.

System manager(s) and address:

Executive Officer, Medical Services, Room 2909, Department of State, 2201 C Street, NW, Washington, D.C. 20520.

Notification procedure:

Individuals who have cause to believe that the Office of Medical Services might have records pertaining to them should write to the Information and Privacy Coordinator, Room 1239, Department of State, 2201 C Street, NW, Washington, D.C. 20520. The individual must specify that she/he wishes the records of the Office of Medical Services to be checked. At a minimum, the individual must include: Name; date and place of birth; current mailing address and zip code; signature; the agency served by the medical program with which the individual was or is an employee or a dependent, and the approximate dates of such employment or dependency.

Record access procedures:

Individuals who wish to gain access to or amend records pertaining to them should write to the Information and Privacy Coordinator (Address above).

Contesting record procedures:

(See above).

Record source categories:

The Individual; hospitals; clinics; private physicians, medical professionals employed by the Department of State.

STATE-25

System name: Overseas Records.

System location: United States Embassies, Consulates, and Missions overseas.

A list of overseas posts can be obtained by writing to the Director, Foreign Affairs Document and Reference Center, Department of State, 2201 C Street, NW, Washington, D.C. 20520.

Categories of individuals covered by the system: U.S. Government employees assigned to the post; individuals seeking or obtaining consular or passport services; individuals living or visiting abroad who have registered their place of residence at the embassy or consulate; businessmen who have had official contacts with embassy economic and commerical sections; seamen; persons who are overseas on U.S. cultural or educational grants; individuals working overseas under U.S. government contracts; officials of Federal, state, or local governments, members of their staff or delegation travelling overseas on official business; individuals involved in the discussion, establishment, execution, or definition of United States foreign policy; military personnel; Members of legislative or judicial branches of government; individuals employed by or seeking employment with international organizations.

Categories of records in the system: The categories of records maintained in the overseas records system are primarily information of working copies of records already on file at the Department of State and are described in the other system notices published in this issue of the FEDERAL REGISTER. Among those categories of records maintained at the Department's overseas establishments which may not be on file in the Department of State are:

1. Consular records used in the protection and assistance of individuals abroad including;
a. Address registration lists of U.S. citizens visiting or residing overseas;
b. Visa applications;
c. Educational and Cultural Grantee Records;
d. Assistance to Americans Records;
2. Administrative records including,
a. Travel Records;
b. Shipment, importation, licensing, registration and sale of property records;
c. Customs duties records;
d. Change of address records;
e. Blood donor lists;
f. Bad check records,
g. Accommodations exchange records;
h. Personnel locator records;
i. Individual work order requests;
j. Time and attendence cards;
k. W-2 forms;
l. Employment applications and related data;
m. Post diplomatic personnel lists;
n. Post administrators and technical personnel list;
o. Visual identification records;
p. Marriage records;
q. Allowance records;
r. General properties inventory records;
s. Commissary records;
t. Protection of property files (complaints regarding damage to and seizure of property);
u. Restitution claims records;
v. Headstone records;
3. Commercial records including;
a. Procurement/Contract records;
b. Registration lists of U.S. businessmen;
c. Trade promotion records;
d. Trade complaint records;
e. Lists of American attorneys abroad;
f. Trust fund records;
4. Political records including;
a. Congressional delegation and important visitor recorders;
b. Registration cards for refugee and migration programs;
c. Mutual security records;
5. Ambassadorial records including;
a. Host government requests for jurisdiction in legal matters involving U.S.;
b. Records involving other legal matters (deportation, letters rogatory, subpoenas);
c. Clemency records;
d. Selective Service records;

Authority for maintenance of the system: The authorities for maintaining this record system are the following: 8 USC 1101-1503; Status of Forces Agreements; 28 USC 1781-1784; 50 App. USC 543; Presidential Proclamation 4313, September 16, 1974; 22 USC 501, 811a, 1131-1159, 1431, 1621-1643, 2054-2057, 2451-2458, 2601-2605.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: These correspond to the "Routine Uses" appearing in the other system notices appearing in this issue of the FEDERAL REGISTER.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Hard copy, microfilm, magnetic computer media.

Retrievability: By individual name.

Safeguards: All employees of the Department of State and of overseas posts have undergone a background security investigation. All records containing personal information are maintained in secured file cabinets or in restricted areas, access to which is limited to authorized personnel. All records containing personal information on a computerized data base are accessible only through computer media under Department of State jurisdiction and placed in restricted areas access to which is limited to authorized personnel. Access to computerized files is password protected and under the direct responsibility of the system manager. The system manager has the capability of printing audit trails of access from the computer media thereby permitting regular or ad hoc monitoring of computer usage.

Retention and disposal: These records are retired or destroyed in accordance with published schedules of the Department of State. More specific information may be obtained by writing the Director, Foreign Affairs Document and Reference Center, Room 1239, Department of State, 2201 C Street NW, Washington, D.C. 20520.

System manager(s) and address: The ambasssador, principal officer, deputy principal officer, or consular officer at each overseas post.

Notification procedure: Individuals who have reason to believe that an Overseas Record System might have information pertaining to them should write to the Chief, Privacy Staff, Foreign Affairs Document and Reference Center, Room 1239, Department of State, 2201 C Street NW, Washington, D.C. 20520. The individual must specify which embassy, consulate, or mission, he/she wishes to be checked. Or, the individual may contact the verseas post(s) directly. At a minimum, the individual must include: Name; date and place of birth; current mailing address and zip code; signature; the specific post which the individual believes might have a record of him/her; the approximate dates when the record might have been created; a brief description of the circumstances which would have led to the creation of a record.

Examples of the kinds of information which would assist the Department of State in determining whether or not an overseas record system contains a record on an individual are: The individual's approximate dates of travel or residency in a foreign country or the approximate dates and nature of an individual's contact with a U.S. diplomatic or consular post.

Record access procedures: Individuals who wish to gain access to or amend records pertaining to them should write to the specific overseas post or to the Chief, Privacy Staff, Foreign Affairs Document and Reference Center (address above). Access to routine unclassified administrative records may be granted at the overseas establishment. Requests involving other records will be referred to the Chief, Privacy Staff, Foreign Affairs Document and Reference Center (address above).

Contesting record procedures: (See above).

Record source categories: These correspond to the "Sources" described in the other system notices appearing in this issue of the FEDERAL REGISTER.

Systems exempted from certain provisions of the act: Certain records contained within this system of records are exempted from 5 U.S.C. 552a (c)(3), (d), (e)(1), (e)(4)(G), (H), and (I) and (f). See Department of State Rules published in the FEDERAL REGISTER.

STATE-26

System name: Passport Records

System location: The Passport Office, Department of State Annex 17, 1425 K Street NW, Washington, DC 20524.

Categories of individuals covered by the system: Individuals who have applied for the issuance, amendment, extension or renewal of U.S. passports; individuals who have been issued U.S. passports or had passports amended, extended, renewed, limited, revoked or denied. Individuals who have applied to have births overseas reported as births of U.S. citizens overseas; individuals for whom Consular Reports of Birth Abroad of U.S. citizens or Certifications of Birth have been issued. Individuals who have applied at American Diplomatic or Consular posts for registration as U.S. citizens; individuals who have been so registered; and individuals who have been issued Certificates or Cards of Registration and Identity as U. S. citizens. Individuals for whom the Department of State has issued Certificates of Loss of Nationality of the United States. Individuals who have applied at American Diplomatic or Consular Posts for issuance of Certificates of Witness to Marriage; and, individuals who have been issued Certificates of Witness to Marriage. Individuals who are not or may not be entitled under passport laws and regulations to issuance or possession of U.S. passports or other documentation or service.

Categories of records in the system: Application files including applications for passports, or applications for amendment, extension or renewal of passports; applications for registration at American Diplomatic and Consular Posts as U.S. citizens or for issuance of Certificates or Cards of Identity and Registration as U.S. citizens; Vital records files including Consular Reports of Birth Abroad of United States citizens, Certificates of Witness to Marriage, Certificates of Loss of United States Nationality, Certificates of Expatriation, and Oaths of Repatriation; Master Index File which consists of the names of persons who have applied for, been issued passports or related facilities; and, to the extent not included in the Application for Vital Records or other category of record maintained by this agency, the names of persons who have been issued Consular Reports of Birth, Certificates of Birth, Consular Certificates of Repatriation, Certificates of Witness to Marriage, Certificates of loss of United States Nationality, or been registered or issued Certificates or Cards of Identity and Registration as U.S. citizens; Lookout Files which identify those persons whose cases require other than routine examination or action; Miscellaneous materials - those maintained separately, if not in the application, vital records or master index files, including but not limited to: Investigatory reports compiled in connection with granting or denying passport and related services or prosecuting violations of passport criminal statutes; transcripts and opinions on adminstrative hearings and appeals; legal briefs, memoranda, judicial orders and opinions arising from administrative determinations relating to passports and citizenship; birth and baptismal certificates; court orders; arrest warrants; medical, personal and financial records; affidavits; inter-agency and intra-agency memoranda, telegrams, cables, letters, and other miscellaneous correspondence.

Authority for maintenance of the system: 8 U.S.C. 1101-1503; 18 U.S.C. 371, 911, 1001, 1541-1543, 1545 and 1546; 22 U.S.C. 211a, 212-214, 214a, 216, 217a, 1172, 2658, and 2662; Executive Order 11295 of August 5, 1966; Presidential Proclamation 3004, January 17, 1953.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The primary purpose for maintaining Passport Files is to establish citizenship, identity and entitlement to issuance of United States passports and related facilities. The information is made available pursuant to a subpoena or court order directing the production of passport records; the information also may be released to other government agencies having statutory or other lawful authority to maintain such information. Information may also be released upon request to a foreign government to permit that government to fulfill its passport control and immigration duties. Routine Use -- National or Internal Security: Pursuant to the provisions of 8 U.S.C. 1105, the information maintained in this system of records is made available as a "routine use"on a need- to-know basis to personnel of executive departments or their subordinate elements, or other agency of the Federal Government having statutory or other lawful authority to maintain such information in performing their statutory or other lawful functions. A record from this system of records may be disclosed as a "routine use"to a federal agency in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting on an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter. Routine Use -- Disclosure When Requesting Information: A record from this system of records may be disclosed as a "routine use"to a federal, state, local or foreign agency maintaining civil, criminal or other relevant enforcement information or other pertinent information; or to a private agency or individual possessing knowledge or maintaining information concerning an individual's history, nationality or identity; if such disclosure is necessary, and only to the extent necessary, to obtain information relevant to the agency's decision concerning the identity, nationality or entitlement to a passport or related service of a person who has sought or been issued a passport or related service; or, if such disclosure is necessary for the investigation or prosecution of passports and related services. Routine Use -- Disclosure of Requested Information: A record from this system of records may be disclosed to a federal, state, local or foreign agency as a "routine use"in response to such an agency's request, where there is reason to believe that an individual who has applied for, or is in possession of a passport, or has applied for or received related services, has violated the law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, if necessary, and only to the extent necessary, to enable such agency to discharge its responsibilities of investigating or prosecuting such violation or its responsibilities with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto. Also see "Routine Uses"paragraphs of the Prefatory Statement.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Hard copy; magnetic computer media; microfilm.

Retrievability: By individual name, date and place of birth.

Safeguards: All employees of the Department of State have undergone a thorough background security investigation. Access to the Department of State building and its annexes is controlled by security guards, and admission is limited to those individuals possessing a valid identification card or individuals under proper escort. All records containing personal information are maintained in secured file cabinets or in restricted areas, access to which is limited to authorized personnel. Access to information maintained in the computerized "Lookout Files"system of records is limited to those authorized employees of the Passport Office and the Department of State responsible for the maintenance of the system of records.

Retention and disposal: Retention of these records varies depending upon the specific record involved. They are retired or destroyed in accordance with published schedules of the Department of State. More specific information may be obtained by writing the Director, Foreign Affairs Document and Reference Center, Room 1239, Department of State, 2201 C Street NW, Washington, DC 20520.

System manager(s) and address: Director of the Passport Office, Room 600, Department of State Annex 17, 1425 K Street NW, Washington, DC 20524.

Notification procedure: Individuals who have reason to believe that the Passport Office might have records pertaining to them should write to the Director, Foreign Affairs Document and Reference Center, Room 1239, Department of State, 2201 C Street NW, Washington, D.C. 20520. The individual must specify that he/she wishes the records of the Passport Office to be checked. At a minimum, the individual must include: Name; date and place of birth; current mailing address and zip code; signature.

Record access procedures: Individuals who wish to gain access to or amend records pertaining to themselves should write to the Director, Foreign Affairs Document and Reference Center (address above).

Contesting record procedures: (See above).

Record source categories: The individual; references; miscellaneous communications; law enforcement agencies; investigative intelligence sources; investigative security sources; foreign governments.

Systems exempted from certain provisions of the act: Certain records contained within this system of records are exempted from 5 U.S.C. 552a (c)(3), (d), (e)(1), (e)(4)(G), (H), and (I) and (f). See Department of State Rules published in the FEDERAL REGISTER.

STATE-27

System name: Personal Property Claims.

System location: Department of State Annex 2, 515 22nd Street NW, Washington, DC 20037.

Categories of individuals covered by the system: Employees of the Department of State, the Agency for International Development, and the United States Information Agency, who have filed claims for loss of personal property.

Categories of records in the system: Claims; determinations of claims.

Authority for maintenance of the system: 31 U.S.C. 240-242.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: This information is used to settle claims for loss of personal property. The principal users of this information outside the Department of State are the Agency for International Development and the United States Information Agency. Information is released to these agencies when the individual who makes the claim is employed by such agency. This information may also be released to other government agencies having statutory or other lawful authority to maintain such information. Also see "Routine Uses' paragraphs of Prefatory Statement.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Hard copy.

Retrievability: By individual name.

Safeguards: All employees of the Department of State have undergone a thorough background security investigation. Access to the Department of State building and its annexes is controlled by security guards, and admission is limited to those individuals possessing a valid identification card or individuals under proper escort. All records containing personal information are maintained in secured file cabinets or in restricted areas, access to which is limited to authorized personnel.

Retention and disposal: Generally these records are retained for 2 years. They are retired or destroyed in accordance with published schedules of the Department of State. More specific information may be obtained by writing the Director, Foreign Affairs Document and Reference Center, Room 1239, Department of State, 2201 C Street NW, Washington, DC 20520.

System manager(s) and address: Chief, Evacuation and Relocation Staff, Room 1890, Department of State, 2201 C Street NW, Washington, DC 20520.

Notification procedure: Individuals who have reason to believe that the Office of Personal Property Claims might have records pertaining to them should write to the Director, Foreign Affairs Document and Reference Center, Room 1239, Department of State, 2201 C Street NW, Washington, DC 20520. The individual must specify that he/she wishes the records of the Office of Personal Property Claims to be checked. At a minimum, the individual must include: Name; date and place of birth; current mailing address and zip code; signature; the approximate date of the claim.

Record access procedures: Individuals who wish to gain access to or amend records pertaining to themselves should write to the Director, Foreign Affairs Document and Reference Center (address above).

Contesting record procedures: (See above).

Record source categories: The individual; personnel of the Department of State; insurance companies.

STATE-28

System name: Personality Cross-Reference Index to the Secretariat Automated Data Index.

System location: Department of State, 2201 C Street NW, Washington, DC 20520.

Categories of individuals covered by the system: Government officials; members of Congress; business, academic, and public persons.

Categories of records in the system: Political-military information; intelligence; medical information; legal information; personnel matters connected with the Secretary's legal responsibilities; political information; foreign economic policy information; intra-office organization matters.

Authority for maintenance of the system: 22 U.S.C. 811a; 44 U.S.C. 3101-3107; Executive Order 11652.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: These records are used as working or reference files by principal officers of the Department of State in making decisions. The principal users of this information outside the Department of State are the White House and the National Security Council. The information may also be released to other government agencies having statutory or other lawful authority to maintain such information. Also see "Routine Uses' paragraphs of Prefatory Statement.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Magnetic computer media; hard copy; microform.

Retrievability: By individual name.

Safeguards: All employees of the Department of State have undergone a thorough background security investigation. Access to the Department of State building and its annexes is controlled by security guards, and admission is limited to those individuals possessing a valid identification card or individuals under proper escort. All records containing personal information are maintained in secured file cabinets or in restricted areas, access to which is limited to authorized personnel.

Retention and disposal: Retention of these records varies from 1 to 20 years, depending upon the specific kind of record involved. They are retired or destroyed in accordance with published schedules of the Department of State. More specific information may be obtained by writing the Director, Foreign Affairs Document and Reference Center, Room 1239, Department of State, 2201 C Street NW, Washington, DC 20520.

System manager(s) and address: Director, Information Management Section, Room 7241, Department of State, 2201 C Street NW, Washington, DC 20520.

Notification procedure: Individuals who have reason to believe that the Personality Cross-Reference Index to the Secretariat Automated Data Index might have records pertaining to them should write to the Director, Foreign Affairs Document and Reference Center, Room 1239, Department of State, 2201 C Street NW, Washington, DC 20520. The individual must specify that he/she wishes the records of the Personality Cross-Reference Index to the Secretariat Automated Data Index to be checked. At a minimum, the individual must include: Name; date and place of birth; current mailing address and zip code; signature; a brief discription of the circumstances, including the approximate dates, which give the individual reason to believe that the Personality Cross-Reference Index to the Secretariat Automated Data Index might have records pertaining to him/her.

Record access procedures: Individuals who wish to gain access to or amend records pertaining to themselves should write to the Director, Foreign Affairs Document and Reference Center, (address above).

Contesting record procedures: (See above).

Record source categories: Individual; Government agencies; private citizens; private industry; international agencies; foreign leaders.

Systems exempted from certain provisions of the act: Certain records contained within this system of records are exempted from 5 U.S.C. 552a (c)(3), (d), (e)(1), (e)(4)(G), (H), and (I), and (f). See Department of State Rules published in the FEDERAL REGISTER.

STATE-29

System name: Personality Index to the Central Foreign Policy Records.

System location: Department of State, 2201 C Street NW, Washington, DC 20520.

Categories of individuals covered by the system: Individuals who are involved in the establishment, discussion, or definition of foreign policy; individuals who utilize the services of the Department of State.

Categories of records in the system: Official record copies of incoming and outgoing communications; correspondence with the White House, members of Congress, and other federal agencies; significant correspondence with international, national, local, and private organizations and individuals; management studies and surveys; memoranda of conversation; instructions to U.S. representatives to international conferences and organizations.

Authority for maintenance of the system: 22 U.S.C. 811a; 22 U.S.C. 2658; 44 U.S.C. 3301-3314; 44 U.S.C. 3101-3107.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Information contained in this system of records is maintained to ensure the effective administration of the Department of State's foreign policy requirements. It is to serve as a centralized index to those individuals involved in all phases of foreign policy establishment, discussion, and definition. This information also serves as an accurate record of individuals utilizing the Department's services, including those overseas.

The purposes for maintaining this information are to : Implement the foreign policy of the United States; formulate foreign policy recommendations; evaluate foreign policy performance; conduct diplomatic and consular activities; administer the Department of State Foreign Service, etc. The principal users of this information outside the Department of State are: The Agency for International Development; United States Information Agency; Arms Control and Disarmament Agency; Central Intelligence Agency; Department of Defense; National Security Council; Congress; Department of Treasury; Department of Commerce; Department of Justice; White House. The information may also be released to other government agencies having statutory or other lawful authority to maintain such information. Also see "Routine Uses' paragraphs of Prefatory Statement.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Microform; hard copy; magnetic computer media.

Retrievability: By individual name.

Safeguards: All employees of the Department of State have undergone a thorough background security investigation. Access to the Department of State building and its annexes is controlled by security guards, and admission is limited to those individuals possessing a valid identification card or individuals under proper escort. All records containing personal information are maintained in secured file cabinets or in restricted areas, access to which is limited to authorized personnel.

Retention and disposal: These records are retired or destroyed in accordance with published schedules of the Department of State. For historical purposes, many of the records of the Central Foreign Policy Files are transferred to the National Archives, where they are preserved indefinitely. More specific information may be obtained by writing to the Director, Foreign Affairs Document and Reference Center, Room 1239, Department of State, 2201 C Street NW, Washington, DC 20520.

System manager(s) and address: Director, Foreign Affairs Document and Reference Center, Room 1239, Department of State, 2201 C Street NW, Washington, DC 20520.

Notification procedure: Individuals who wish to find out if the Personality Index to the Central Foreign Policy Records has information pertaining to them should write to the Director, Foreign Affairs Document and Reference Center, Room 1239, Department of State, 2201 C Street NW, Washington, DC 20520. At a minimum, the individual must include: Name; date and place of birth; current mailing address and zip code; signature.

Record access procedures: Individuals who wish to gain access to or amend records pertaining to themselves should write to the Director, Foreign Affairs Document and Reference Center (address above).

Contesting record procedures: (See above).

Record source categories: The individual; Department of State employees; employees of foreign affairs agencies; members of Congress; officials of foreign governments; U.S. and foreign publications.

Systems exempted from certain provisions of the act: Certain records contained within this system of records are exempted from 5 U.S.C. 552a (c)(3), (d), (e)(1), (e)(4)(G), (H), and (I), and (f). See Department of State Rules published in the FEDERAL REGISTER.

STATE-30

System name: Personnel Payroll Records.

System location: Department of State Annex 15, 1800 N. Kent Street, Arlington, Virginia 22209.

Categories of individuals covered by the system: Employees of the Department of State.

Categories of records in the system: Personnel actions; allotment requests; tax forms; death claims; bond requests; leave records; time and attendance cards; payroll name listings; income tax withholding statements; pay cards; health insurance forms; fiscal documentation; travel authorizations; travel vouchers; Foreign Service annuitants; related correspondence.

Authority for maintenance of the system: 22 U.S.C. 811a.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The information in this system is used to prepare an accurate and complete biweekly payroll and related reports which include: Entering change data into computerized personnel/payroll system; producing variety of machine reports for use by allotment accountants; issuing biweekly pay checks; computing and issuing lump-sum pay checks for personnel separating; issuing terminal leave payments; confirming time and attendance and leave date to assist in documenting claims for restored annual leave; providing leave data for the personnel office to facilitate computing retirement cases. The principal users of this information outside the Department of State are: Federal, state, and city governments which are issued tax reports; Internal Revenue Service which is sent tax withholding data and W-2 forms; Civil Service Commission which receives the total record of deductions; Other government agencies for which the Washington Finance Center provides payroll services and which are sent payroll data: Department of Agriculture; Department of Commerce; Library of Congress; Department of Defense; Department of Treasury; Federal Aviation Administration; ACTION; United States Information Agency; Department of Health and Human Services; United States Battle Monuments. Information relating to GAO Direct Settlement Travel/Transportation cases is available to GAO. Information is also made available to officials of labor organizations recognized under Executive Order 11491, as amended, concerning the identity of Department of State employees contributing dues each pay period and the amount of dues withheld from each contributor. The information may also be released to other government agencies having statutory or other lawful authority to maintain such information. Also see "Routine Uses"paragraphs of Prefatory Statement.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Hard copy; microfiche; magnetic computer media.

Retrievability: By individual name; by social security number.

Safeguards: All employees of the Department of State have undergone a thorough background security investigation. Access to the Department of State building and its annexes is controlled by security guards, and admission is limited to those individuals possessing a valid identification card or individuals under proper escort. All records containing personal information are maintained in secured file cabinets or in restricted areas, access to which is limited to authorized personnel.

Retention and disposal: Retention of these records varies from 3 to 55 years, depending upon the specific kind of record involved. They are retired or destroyed in accordance with published schedules of the Department of State. More specific information may be obtained by writing to the Director, Foreign Affairs Document and Reference Center, Room 1239, Department of State, 2201 C Street NW, Washington, DC 20520.

System manager(s) and address: Director, Financial Services Division, Room 6604D, Department of State Annex 15, 1800 N. Kent Street, Arlington, Virginia 22209.

Notification procedure: Individuals who have reason to believe that the Office of Financial Services might have records pertaining to them should write to the Director, Foreign Affairs Document and Reference Center, Room 1239, Department of State, 2201 C Street NW, Washington, DC 20520. The individual must specify that he/she wishes the records of the Office of Financial Services to be checked. At a a minimum, the individual must include: Name; date and place of birth; current mailing address and zip code; signature; approximate dates of employment with the Department of State. Because the Personnel Payroll Records are systematically arranged according to Social Security Number, it is requested that the individual include his/her social security number to facilitate a thorough search of the system.

Record access procedures: Individuals who wish to gain access to or amend records pertaining to themselves should write to the Director, Foreign Affairs Document and Reference Center (address above).

Contesting record procedures: (See above).

Record source categories: The individual.

Systems exempted from certain provisions of the act: Certain records contained within this system of records are exempted from 5 U.S.C. 552a (c) (3), (d), (e)(1), (e)(4) (G), (H), and (I), and (f). See Department of State Rules published in the FEDERAL REGISTER.

STATE-31

System name: Personnel Records.

System location: Department of State, 2201 C Street NW, Washington, DC 20520; Department of State Annex 6, 1700 N. Lynn Street, Arlington, VA. 22209; Department of State Annex 12, 1975

best copy available

Florida Avenue, NW, Washington, DC.; Department of State Annex 15, 1800 Kent Street, Arlington, VA. 22209; U.S. Mission to United Nations, 799 UN Plaza, New York, N.Y. 10017; Washington National Records Center, Suitland, MD.; National Personnel Records Center, 111 Winnebago Street. St. Louis, MO. 63118; Various offices within the Department maintain records on personnel employed by them. This information generally consists of working copies of personnel actions and assignments, the record copy of which is in the Personnel office.

Categories of individuals covered by the system: Department of State employees (current and former; domestic and Foreign Service); applicants for employment with Department of State; prospective alien spouses of Department of State employees; employees of other Federal Agencies on detail to Department of State; employees of U.S. Mission to United Nations, UN specialized agencies, and other international organizations (including Department of State employees detailed or seconded to such organizations).

Categories of records in the system: Official personnel files (including Civil Service, Foreign Service and USUN employees); performance records (Foreign Service ratings, development appraisal reports, score cards, and related correspondence); career development and counseling records (including training and assignment records); technician file (travel, tour of duty, home leave eligibility, etc.); informal grievances files (Civil Service and Foreign Service); suitability files (Civil Service and Foreign Service); recruitment and employment files (including unsuccesful applicants, BEX and Junior Officer Trainee candidates, outside hires, reappointments, processing records and card files); promotion, upward mobility, and conversion files (Civil Service merit promotion, Threshold, Mustang, lateral entry, and FAS programs); retirement, annuitant, and external placement files (Civil Service and Foreign Service); title and rank, Presidential commission records; marriage to foreign nationals (applications/notices of intent of Foreign Service employees); service record cards (Civil Service and Foreign Service); blood donor records; computer printouts from automated personnel system (alphabetical list, staffing patterns, Personnel Audit Reports and abstracts, panel books, etc.). Alphabetical card file of individuals requesting access to personnel records under provisions of the Freedom of Information and Privacy Acts, showing the nature of the request, the action taken on the request and the time spent.

Authority for maintenance of the system: 5 U.S.C. 301-302; 22 U.S.C. 811a, 986-996; E.O. 11264, January 1, 1966; E.O. 11434, August 29, 1968; E.O. 10651, September 13, 1954.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Information is made available on a need-to-know basis to personnel within the Department of State as may be required in the performance of their official duties, such as review in connection with appointments, transfers, details, promotions, training, reassignments, disciplinary or adverse actions, grievances, operations of the automated personnel/ payroll and Foreign Service Anniutant systems, and the preparation of the statistical reports, analyses, and other by-products of these systems. The Civil Service Commission may use or borrow the official personnel folders of Civil Service employees at any time. The most common types of routine use include: Periodic reviews or audits of personnel files and programs; examination of Civil Service employee complaints regarding the validity of specific documents in their files; transmission of data for the automated Central Personnel Data File (CPDF), to update the Federal Automated Career System (FACS) or Executive Inventory File, or for other purposes under E.O. 10561; exchange of statistical data, including test scores, related to Department and Civil Service examinations for analysis, comparability and validation purposes; and submission of information concerning pay, benefits, retirement deductions, etc., necessary for the Commission to carry out its Government-wide personnel management functions. Other principal users of this information outside the Department of State are: Authorized officials of other Federal agencies, international organizations, or State and local governments in cases where Foreign Service employees are being considered for detail, assignment, or secondment to the agency or organizational entity concerned, when such review is approved by the Training and Liaison Staff of the Bureau of Personnel; the Department of Commerce representative or alternate, designated in writing, to serve as liaison officer on the State assignment panel considering Foreign Service officers for overseas economic/commercial positions who, in turn, may discuss with interested parties in Commerce (i.e., members of the Commerce/ State Foreign Service Officer Assignments Group who have a legitimate interest in certain economic/commercial specialties and areas) the qualitative tenor of an officer's performance rating as well as general educational, language and pre-Foreign Service experience qualifications; academic institutions to which Department of State employees may be assigned for long-term training (profiles only); attorneys, EEO investigators/counselors or union representatives designated by employees to represent them in grievance, appeal, or litigation cases; accredited investigative agents of other Federal agencies; National Personnel Records Center and Washington National Records Center Staffs upon retirement of inactive personnel records to these centers; other government agencies (including State and local), and private organizations, institutions or indivduals to verify employment and to request record or credit checks; representatives of medical organizations to review qualifications of technicians in connection with accrediting the Department's medical laboratory; current and former Department of State employees to review their own personnel records; the President of the United States, the Executive Office of the President and legislative and appropriations committees of the U.S. Congress charged with consideration of legislation and appropriations for the Foreign Service, or representatives duly authorized by such committees. Officials of labor organizations recognized under Executive Order 11491. as amended, when required by their duties of exclusive representation under the Order, with releasable data including veteran preference status, tenure, salaries, grades, position titles, duty stations, agency-sponsored training and awards received, notices of reduction in force, job-related injury, and personnel actions, when such information is relevant to personnel policies affecting employment conditions and necessary for exclusive representation by the labor organization; (whenever possible, the information shall be furnished in depersonalized form). Information is also made available pursuant to a court order directing the production of personnel records. Biographic information may be released to foreign governments and other U.S. government agencies in order to procure necessary services for American personnel assigned overseas, such as permits of free entry, commissary-privilege cards and identity cards of the country in which the overseas post is located. Also see "Routine Uses"paragraphs of Prefatory Statement.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Hard copy; microform; magnetic computer media.

Retrievability: By individual name.

Safeguards: All employees of the Department of State have undergone a thorough background security investigation. Access to the Department of State building, its annexes, and the U.S. Mission to the United Nations, is controlled by security guards, and admission is limited to those individuals possessing a valid identification card or individuals under proper escort. All records containing personal information are maintained in lockable metal file cabinets or secured rooms, access to which is limited to authorized employees.

Retention and disposal: Retention of these records varies from 1 to 75 years, depending upon the specific kind of record involved. They are retired or destroyed in accordance with General Records Schedules issued by the National Archives and Records Administration and approved records control schedules of the Department of State. More specific information may be obtained by writing to the Director, Foreign Affairs Document and Reference Center, Room 1239, Department of State, 2201 C Street NW, Washington, DC 20520.

System manager(s) and address: Director of Personnel, Room 7331, Department of State. 2201 C Street NW, Washington, DC 20520.

Notification procedure: Individuals who wish to find out if the Department of State has personnel records pertaining to them should write to the Director, Foreign Affairs Document and Reference Center, Room 1239, Department of State, 2201 C Street NW, Washington, DC 20520. At a minimum, an individual should include: Name; date and place of birth; approximate dates of employment with the Department; current mailing address and zip code; signature. It may be necessary to request additional information to make certain that the record pertains to the individual. In the case of former Department of State employees whose official personnel folders have been retired to the National Personnel Records Center in St. Louis, the individual's social security number is the key identifier for retrieving the folders.

Record access procedures: Individuals who wish to gain access to or amend records pertaining to themselves should write to the Director, Foreign Affairs Document and Reference Center (address above).

Contesting record procedures: (See above).

Record source categories: The individual employee or former employee; previous employers; employee supervisors; Foreign Service inspectors; employee counselors, placement officers, personnel technicians; Administrative/executive officers; personnel and payroll offices. Operating Systems Division (PER/MGT/OS) and Information Systems Office (O/ISO); Employment Division , Board of Examiners for the Foreign Service, Office of Security, Medical Division, Legal

Adviser's Office, Foreign Service Institute; colleges and universities, Armed Forces academic institutions, Educational Testing Service; U.S. Employment Service and other authorized agencies administering pre-employment clerical tests; U.S. Civil Service Commission and other Federal agencies; prospective alien spouses of Foreign Service employees; hearing examiners, grievance staff, grievance and appeals boards, affidavits, testimony of witnesses, etc.

Systems exempted from certain provisions of the act: Certain records contained within this system of records are exempted from 5 U.S.C. 552a (c)(3), (d), (e)(1), (e)(4)(G), (H), and (I), and (f). See Department of State Rules published in the FEDERAL REGISTER.

STATE-32

System name: Personnel Travel Records.

System location: Department of State, 2201 C Street NW, Washington, DC 20520.

Categories of individuals covered by the system: Employees of the Department of State.

Categories of records in the system: Personnel action and authorization of official travel; correspondence relating to shipment and storage of effects; related correspondence.

Authority for maintenance of the system: 22 U.S.C. 811a; 22 U.S.C. 1136-1159.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The purpose of maintaining this system of records is to keep an accurate accounting of personnel travel. The principal user of this information outside the Department of State is the General Accounting Office. The information may also released to other government agencies having statutory or other lawful authority to maintain such information. Also see "Routine Uses"paragraphs of Prefatory Statement.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Hard copy; magnetic computer media.

Retrievability: By individual name.

Safeguards: All employees of the Department of State have undergone a thorough background security investigation. Access to the Department of State building and its annexes is controlled by security guards, and admission is limited to those individuals possessing a valid identification card or individuals under proper escort. All records containing personal information are maintained in secured file cabinets or in restricted areas, access to which is limited to authorized personnel.

Retention and disposal: These records are retained approximately 7 years depending upon the specific kind of record involved. They are retired or destroyed in accordance with published schedules of the Department of State. More specific information may be obtained by writing to the Director, Foreign Affairs Document and Reference Center, Room 1239, Department of State, 2201 C Street NW, Washington, DC 20520.

System manager(s) and address: Director, Office of the Budget, Room 1332, Department of State, 2201 C Street NW, Washington, DC 20520.

Notification procedure: Individuals who have reason to believe that the Office of the Budget might have records pertaining to them should write to the Director, Foreign Affairs Document and Reference Center, Room 1239, Department of State, 2201 C Street NW, Washington, DC 20520. The individual must specify that he/she wishes the records of the Office of the Budget to be checked. At a minimum, the individual must include: Name; date and place of birth; current mailing address and zip code; signature; approximate date of the individual's travel with the Department of State.

Record access procedures: Individuals who wish to gain access to or amend records pertaining to themselves should write to the Director, Foreign Affairs Document and Reference Center (address above).

Contesting record procedures: (See above).

Record source categories: The individual; Personnel Office of the Department of State; Central Accounting Office of the Department of State; employment and recruiting officers of the Department of State.

STATE-33

System name: Protocol Records.

System location: Department of State, 2201 C Street NW, Washington, DC 20520.

Categories of individuals covered by the system: Individuals receiving gifts/decorations from foreign governments; individuals invited to official state functions.

Categories of records in the system: Description of gifts/decorations received from foreign governments; donors; guest lists; type of function; address and occupation of the individual; sample invitations.

Authority for maintenance of the system: 22 U.S.C. 2621-2625.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The information contained in these records is used as an accounting of those U.S. government officials receiving gifts/decorations from foreign governments and to record for historical purposes the names of those individuals invited to and attending official state functions. The principal users of this information outside the Department of State are: The Executive Office of the President; Congress; media organizations; the general public. The information may also be released to other government agencies having statutory or other lawful authority to maintain such information. Also see "Routine Uses"paragraphs of Prefatory Statement.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Hard copy; microfilm.

Retrievability: By individual name.

Safeguards: All employees of the Department of State have undergone a thorough background security investigation. Access to the Department of State building and its annexes is controlled by security guards, and admission is limited to those individuals possessing a valid identification card or individuals under proper escort. All records containing personal information are maintained in secured file cabinets or in restricted areas, access to which is limited to authorized employees.

Retention and disposal: These records are retained permanently. They are retired in accordance with published schedules of the Department of State. More specific information may be obtained by writing the Director, Foreign Affairs Document and Reference Center, Room 1239, Department of State, 2201 C Street NW, Washington, DC 20520.

System manager(s) and address: Assistant Chief of Protocol for Administration, Room 1238, Department of State, 2201 C Street NW, Washington, DC 20520.

Notification procedure: Individuals who have reason to believe that the Office of Protocol might have records pertaining to them should write to the Director, Foreign Affairs Document and Reference Center, Room 1239, Department of State, 2201 C Street NW, Washington, DC 20520. The individual must specify that he/she wishes the records of the Office of Protocol to be checked. At a minimum, the individual must include: Name; date and place of birth; current mailing address and zip code; signature. a brief description of the circumstances, including the approximate dates, which give the individual cause to believe that the Office of Protocol might have records pertaining to him or her.

Record access procedures: Individuals who wish to gain access to or amend records pertaining to themselves should write the Director, Foreign Affairs Document and Reference Center (address above).

Contesting record procedures: (See above).

Record source categories: The individual; employers; public references; other officials in the Department of State; other government agencies; other public and professional institutions possessing relevant information.

STATE-34

System name: Public Affairs Applicants Records.

System location: Department of State, 2201 C Street NW, Washington, DC 20520.

Categories of individuals covered by the system: Individuals who have participated or applied for participation in Scholar/Executive-Diplomat Seminar Program; individuals who have participated or applied for participation in the Department's Work-Study Program.

Categories of records in the system: individual's name, address, and telephone number; biographic information; recommendations; evaluations of internship.

Authority for maintenance of the system: 22 U.S.C. 811a.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: This system of records is maintained to select individuals for participation in the Scholar/Executive-Diplomat Seminar Program and the Work-Study Program. A participant in the Work-Study Program may request that the Department forward a copy of his or her evaluation to a potential employer. The information may also be released to other government agencies having statutory or other lawful authority to maintain such information. Also see "Routine Uses"paragraphs of Prefatory Statement.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Hard copy.

Retrievability: By individual name.

Safeguards: All employees of the Department of State have undergone a thorough background security investigation. Access to the Department of State building and its annexes is controlled by security guards, and admission is limited to those individuals possessing a valid identification card or individuals under proper escort. All records containing personal information are maintained in secured file cabinets or in restricted areas, access to which is limited to authorized personnel.

Retention and disposal: These records are retained for approximately 3 years. They are retired or destroyed in accordance with published schedules of the Department of State. More specific information may be obtained by writing the Director, Foreign Affairs Document and Reference Center, Room 1239, Department of State, 2201 C Street NW, Washington, DC 20520.

System manager(s) and address: Chief, Conferences & Seminars Division, Room 5829, Bureau of Public Affairs, Department of State, 2201 C Street NW, Washington, D.C. 20520.

Notification procedure: Individuals who have reason to believe that the Bureau of Public Affairs might have records pertaining to them should write to the Director, Foreign Affairs Document and Reference Center, Room 1239, Department of State, 2201 C Street, NW, Washington, DC 20520. The individual must specify that he/she wishes the records of the Bureau of Public Affairs to be checked. At a minimum, the individual must include: Name; date and place of birth; current mailing address and zip code; signature; approximate dates on which the individual applied for participation or participated in the Scholar/Executive-Diplomat Seminar Program or the Work Study Program.

Record access procedures: Individuals who wish to gain access to or amend records pertaining to them should write to the Director, Foreign Affairs Document and Reference Center (address above).

Contesting record procedures: (See above).

Record source categories: The individual; faculty members; academic institutions;

STATE-35

System name: Public Affairs Records.

System location: Department of State, 2201 C Street NW, Washington, DC 20520; Department of State Annex 2, 515 22nd Street NW, Washington, DC 20037.

Categories of individuals covered by the system: Individuals receiving correspondence drafted by the Bureau of Public Affairs; indviduals requesting access to Department of State records or to information derived from these records; individuals requesting information under the Freedom of Information Act.

Categories of records in the system: Correspondence between the Department of State and the individual; correspondence between the Department of State and other federal agencies concerning requests for information; correspondence between the Bureau of Public Affairs and other bureaus within the Department concerning requests for information; correspondence between the Bureau of Public Affairs and other offices within the Department or other federal agencies regarding required security clearances of individual researchers or concerning the clearance of classified and restricted material which these researchers consulted.

Authority for maintenance of the system: 5 U.S.C. 552; 22 U.S.C 811a.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Information concerning individuals receiving letters drafted by the Bureau of Public Affairs is used for reference in further correspondence with the same individual on the same subjects. Information concerning individuals requesting access to Department of State records is used in dealing with requests for access to classified or restricted material and in making appropriate arrangements for such access. This information may also be used to coordinate decisions on access to records with other Federal agencies which have custody of Department of State records or which share with the Department responsibility for deciding on access to certain categories of records. Information concerning individuals requesting information under the Freedom of Information Act is used to provide information on such requests as required by Congress, to keep account of cases as they circulate through the Department, and to write reports to Congress and the Interagency Classification Review Committee. These records may also be requested by the public. The principal users of this information outside the Department of State are: Congress and the Interagency Classification Review Committee. This information may also be released to other government agencies having statutory or other lawful authority to maintain such information. Also see "Routine Uses"paragraphs of Prefatory Statement.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Hard copy; magnetic computer media.

Retrievability: By individual name, social security number.

Safeguards: All employees of the Department of State have undergone a thorough background security investigation. Access to the Department of State building and its annexes is controlled by security guards, and admission is limited to those individuals possessing a valid identification card or individuals under proper escort. All records containing personal information are maintained in secured file cabinets or in restricted areas, access to which is limited to authorized personnel.

Retention and disposal: Retention of these records varies depending upon the specific kind of record involved. They are retired or destroyed in accordance with published schedules of the Department of State. More specific information may be obtained by writing the Director, Foreign Affairs Document and Reference Center, Room 1239, Department of State, 2201 C Street NW, Washington, DC 20520.

System manager(s) and address: Director, Historical Office, Bureau of Public Affairs, Room 619, Department of State Annex 2, 515 22nd St. NW, Washington, D.C. 20037; Director, Freedom of Information Staff, Bureau of Public Affairs, Room 5835, Department of State, 2201 C Street NW, Washington, D.C. 20520.

Notification procedure: Individuals who have reason to believe that the Bureau of Public Affairs might have records pertaining to them should write to the Director, Foreign Affairs Document and Reference Center, Room 1239, Department of State, 2201 C Street NW, Washington DC 20520. The individual must specify that he/she wishes the records of the Bureau of Public Affairs to be checked. At a minimum, the individual must include: Name; date and place of birth; current mailing address and zip code; signature; approximate dates on which the individual requested information under the Freedom of Information Act, requested access to Department of State records or to information derived from these records, or received correspondence from the Department of State.

Record access procedures: Individuals who wish to gain access to or amend records pertaining to themselves should write to the Director, Foreign Affairs Document and Reference Center (address above).

Contesting record procedures: (See above).

Record source categories: The individual; offices within the Department of State; other federal agencies; individuals writing letters of reference.

STATE-36

System name: Security Records.

System location: Department of State, 2201 C Sreet, NW, Washington, D.C. 20520.

Categories of individuals covered by the system: Employees and former employees of the Department of State; applicants for Department employment who have been or are presently being investigated; contractors working for the Department; recipients of Cultural Grants; individuals requiring access to the official Department of State premises who have undergone or are undergoing security clearance; individuals involved in matters of passport and visa fraud, munitions control, unauthorized access to classified information, and alien prospective spouses of American personnel of the Department of State; individuals whose activities have a potential bearing on the security of Departmental or Foreign Service operations. In addition, security files contain information needed to provide protective services for the Secretary of State and visiting foreign dignitaries and heads of state, and to protect the Department's official premises. There are also information copies of investigations of individuals conducted abroad at the request of Federal agencies. Finally, security files contain documents and reports furnished to the Department by other agencies concerning individuals whose activities the other agencies believe may have a bearing on U.S. foreign policy interests.

Categories of records in the system: Investigatory material relating to any category of individual described above; applications for employment; agent availability for special protective assignments; intelligence reports; fingerprints; photographs; internal memoranda.

Authority for maintenance of the system: 5 U.S.C. 7311 and 7531–33; 8 U.S.C. 1104; 18 U.S.C. 111, 112, 201, 202, 1114, 1116, 1117, 1541, 1542, 1543, 1544, 1545, 1546; 22 U.S.C. 211a, 846, 911, 2454, and 2667; Executive Order 10450; Executive Order 12065; Executive Order 10865; 22 CFR Subchapter M.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The principal users of this information outside the Department of State are: Department of Treasury; U.S. Office of Personnel Management; Agency for International Development; International Communications Agency; Arms Control and Disarmament Agency; U.S. Secret Service; Immigration and Naturalization Service; Department of Defense; Central Intelligence Agency; Department of Justice; National Security Agency; Drug Enforcement Administration; and other Federal agency inquiring pursuant to law or Executive Order in order to make a determination of general suitability for employment or retention in employment, to grant a contract or issue a license, grant, or security clearance; any other Federal, state, of municipal law enforcement agency for law enforcement purposes; any other agency or Department of the Federal government pursuant to statutory intelligence responsibilities or other lawful purposes; any other agency or Department of the Executive Branch having oversight or review authority with regard to its investigative responsibilities; to the extent necessary to identify the individual adequately, to any other record custodian in order to obtain information relevant to a legitimate investigative or intelligence interest of the Department of State. The information may also be released to other government agencies who have statutory or other lawful authority to maintain such information. Also see "Routine Uses" of Prefatory Statement.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Hard copy; microfilm; microfiche; computer media.

Retrievability: By individual name.

Safeguards: All employees of the Department of State have undergone a thorough security investigation. Access to the Department of State building and its annexes is controlled by security guards, and admission is limited to those individuals possessing a valid identification card or individuals under proper escort. All records containing personal information are maintained in secured file cabinets or in restricted areas, access to which is limited to authorized personnel.

Retention and disposal: Retention of these records varies, depending upon the specific kind of record involved. They are retired or destroyed in accordance with published schedules of the Department of State. More specific information may be obtained by writing the Director, Foreign Affairs Document and Reference Center, Room 1239, Department fo State, 2201 C Street, NW, Washington, D.C. 20520.

System manager(s) and address: Deputy Assistant Secretary for Security, Room 2513, Department of State, 2201 C Street, NW, Washington, D.C. 20520.

Notification procedure: Individuals who wish to find out if the Office of Security has records pertaining to them should write to the Director, Foreign Affairs Document and Reference Center, Room 1239, Department of State, 2201 C Street, NW, Washington, D.C. 20520. At a minimum, the individual must include: Name; date and place of birth; current mailing address and zip code; signature.

Record access procedures: Individuals who wish to gain access to or amend records pertaining to themselves should write to the Director, Foreign Affairs Document and Reference Center (address above).

Contesting record procedures: (See above).

Record source categories: The individual; persons having knowledge of the individual; persons having knowledge of incidents or other matters of investigative interest to the Department; pertinent records of other Federal, state, or local agencies or foreign governments; pertinent records of private firms or organizations; public sources.

Systems exempted from certain provisions of the act: Certain records contained within this system of records are exempted from 5 U.S.C. 552a(c)(3), (d), (e)(1), (e)(4)(G), and (H), and (I), and (f). See Department of State Rules published in the FEDERAL REGISTER. PURSUANT TO SECTION (J)(2) OF THE ACT, RECORDS COMPILED BY THE SPECIAL ASSIGNMENTS STAFF AND THE PASSPORT AND VISA FRAUD BRANCH OF THE OFFICE OF SECURITY MAY BE EXEMPTED FROM THE REQUIREMENTS OF ANY PART OF THE ACT EXCEPT SUBSECTIONS (B), (C) (1) AND (2), (E)(4)(A) THROUGH (F), (E)(6), (7), (9), (10), AND (11), AND (I) TO THE EXTENT NECESSARY TO ASSURE THE EFFECTIVE COMPLETION OF THE INVESTIGATIVE AND JUDICIAL PROCESSES.

STATE-37

System name: Translators and Interpreters Records.

System location: Department of State, 2201 C Street NW, Washington, DC 20520.

Categories of individuals covered by the system: Individuals who have contracted with the Department of State to provide various linguistic and other services.

Categories of records in the system: Contract itself; biographical sketches of the contractors; other information relating to contract award and performance.

Authority for maintenance of the system: 22 U.S.C. 811a.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Information in these records is maintained to facilitate the procurement and effective performance of translators and interpreters who serve a vital function in the Department's foreign policy requirements. The principal users of this information outside the Department of State are potential employers, credit institutions, rental offices, etc. requesting verification of employment and/or earnings. The information may also be released to other government agencies having statutory or other lawful authority to maintain such information. Also see "Routine Uses"paragraphs of Prefatory Statement.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Hard copy.

Retrievability: By individual name.

Safeguards: All employees of the Department of State have undergone a thorough background security investigation. Access to the Department of State building and its annexes is controlled by security guards, and admission is limited to those individuals possessing a valid identification card or individuals under proper escort. All records containing personal information are maintained in secured file cabinets or in restricted areas, access to which is limited to authorized personnel.

Retention and disposal: Retention of these records varies from 5 to 6 years, depending upon the specific kind of record involved. They are retired or destroyed in accordance with published schedules of the Department of State. More specific information may be obtained by writing the Director, Foreign Affairs Document and Reference Center, Room 1239, Department of State, 2201 C Street NW, Washington, DC 20520.

System manager(s) and address: Chief, Language Services Division, Room 2214, Department of State, 2201 C Street NW, Washington, DC 20520.

Notification procedure: Individuals who have cause to believe that the Language Services Division might have records pertaining to them should write to the Director, Foreign Affairs Document and Reference Center, Room 1239, Department of State, 2201 C Street NW, Washington, DC 20520. The individual must specify that he/she wishes the records of the Language Services Division to be checked. At a minimum, the individual must include: Name; date and place of birth; current mailing address and zip code; signature; a brief description of the circumstances, including the approximate dates, which give the individual cause to believe that Language Services Division might have records pertaining to him/her.

Record access procedures: Individuals who wish to gain access to or amend records pertaining to them should write to the Director, Foreign Affairs Document and Reference Center (address above).

Contesting record procedures: See above.

Record source categories: The individual; end-users of the contracted services; various employees of the contracting office.

STATE-38

System name: Vendor Records.

System location: Supply and Transportation Division, Room 532, Department of State Annex 6, 1700 N. Lynn Street, Arlington, Virginia 22209.

Categories of individuals covered by the system: Individuals who have contracted with the Department of State to provide various supplies and other services.

Categories of records in the system: The contract itself; biographical sketches of the contractors; requisitions; invitations to bid; specifications; bids; bid abstracts; contract provisions; award documents; other information relating to contract award and performance.

Authority for maintenance of the system: 31 U.S.C. 67(b); 41 U.S.C. 257.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The information contained in these records is used primarily for auditing and budgetary purposes. The principal users of this information outside the Department of State are: The General Accounting Office and the Armed Services Board of Contract Appeals. The information may also be released to other government agencies having statutory or other lawful authority to maintain such information. Also see "Routine Uses"paragraphs of Prefatory Statement.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Hard copy; magnetic computer media.

Retrievability: By individual name.

Safeguards: All employees of the Department of State have undergone a thorough background security investigation. Access to the Department of State building and its annexes is controlled by security guards, and admission is limited to those individuals possessing a valid identification card or individuals under proper escort. All records containing personal information are maintained in secured file cabinets or in restricted areas, access to which is limited to authorized personnel.

Retention and disposal: Retention of these records varies from 3 to 8 years, depending upon the specific kind of record involved. They are retired or destroyed in accordance with published schedules of the Department of State. More specific information may be obtained by writing the Director, Foreign Affairs Document and Reference Center, Room 1239, Department of State, 2201 C Street NW, Washington, DC 20520.

System manager(s) and address: Chief, Supply and Transportation Division, Room 532, Department of State, Annex 6, 1700 Lynn Street, Arlington, VA. 22209. NW, Washington, DC 20520.

Notification procedure: Individuals who have reason to believe that the Supply and Transportation Division might have records pertaining to them should write to the Director, Foreign Affairs Document and Reference Center, Room 1239, Department of State, 2201 C Street NW, Washington, DC 20520. He/she individual must specify that he wishes the records of the Supply and Transportation Division to be checked. At a minimum, the individual must include: Name; date and place of birth; current mailing address and zip code; signature; the type of supply/service contracted to the Department of State and the approximate dates during which contractual arrangement was effective.

Record access procedures: Individuals who wish to gain access to or amend records pertaining to themselves should write to the Director, Foreign Affairs Document and Reference Center (address above).

Contesting record procedures: (See above).

Record source categories: The individual; end-users of the contracted services; various employees of the contracting office.

STATE-39

System name: Visa Records.

System location: The Visa Office, Department of State Annex 2, Room 713, 515 22nd Street NW, Washington, DC 20037; Department of State, 2201 C Street NW, Washington, DC 20520; overseas posts.

Categories of individuals covered by the system: Individuals who have applied for visas; aliens who may be ineligible to receive visas.

Categories of records in the system: Visa applications; letters from interested parties; communications between the Visa Office and consulates, other U.S. Government agencies, international organizations, and foreign missions regarding the eligibility, issuance, revalidation, and extension of visas.

Authority for maintenance of the system: 8 U.S.C. 1101-1503

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The information in this system is used to assist consular officers overseas in dealing with problems of a legal, technical or procedural nature that may arise in considering an application for a U.S. visa. The principal users of this information outside the Department of State are: Immigration and Naturalization Service to coordinate the issuance of visas; Department of Justice; Department of Labor; Central Intelligence Agency; National Aeronautics and Space Administration; Department of Defense; Congress. Unclassified information is released to interested persons inquiring as to the status of a particular visa case. The information may also be released to other government agencies having statutory or other lawful authority to maintain such information. Also see "Routine Uses"paragraphs of Prefatory Statement.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Hard copy; magnetic computer media.

Retrievability: By individual name.

Safeguards: All employees of the Department of State have undergone a thorough security investigation. Access to the Department of State building and its annexes is controlled by security guards, and admission is limited to those individuals possessing a valid identification card or individuals under proper escort. All records containing personal information are maintained in secured file cabinets or in restricted areas, access to which is limited to authorized personnel.

Retention and disposal: Retention of these records varies from one year to an indefinite period of time, depending upon the specific kind of record involved. They are retired or destroyed in accordance with published schedules of the Department of State. More specific information may be obtained by writing to the Director, Foreign Affairs Document and Reference Center, Room 1239, Department of State, 2201 C Street NW, Washington, DC 20520.

System manager(s) and address: Director, Visa Office, Room 800, Department of State Annex 2, 515 22nd Street NW, Washington, DC 20037.

Notification procedure: Individuals who have reason to believe that the Visa Office might have records pertaining to them should write to the Director, Foreign Affairs Document and Reference Center, Room 1239, Department of State, 2201 C Street NW, Washington, DC 20520. The individual must specify that he/she wishes the records of the Visa Office to be checked. At a minimum, the individual must include: Name; date and place of birth; current mailing address and zip code; signature; the approximate date on which the individual applied for a visa, and if this application was made overseas, the U.S. embassy or consulate at which the application was made.

Record access procedures: Individuals who wish to gain access to or amend records pertaining to them should write to the Director, Foreign Affairs Document and Reference Center (address above).

Contesting record procedures: (See above).

Record source categories: The individuals; members of Congress; the public interested in the visa applicant's case; U.S. Government agencies; foreign missions; international organizations; local sources at overseas posts.

Systems exempted from certain provisions of the act: Certain records contained within this system of records are exempted from 5 U.S.C. 552a (c)(3), (d), (e)(1), (e)(4)(G), (H), and (I), and (f). See Department of State Rules published in the FEDERAL REGISTER.

STATE-40

System name: Privacy Act Requests Records.

System location: Department of State, 2201 C Street NW, Washington, DC 20520.

Categories of individuals covered by the system: Individuals who have requested personal information from the record systems of the Department of State.

Categories of records in the system: Request from the individual; related correspondence; related memoranda.

Authority for maintenance of the system: 5 U.S.C. 552a, sec. 2.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: This system of records is maintained in order to efficiently process requests made under the Privacy Act of 1974. Information is released to other government agencies having statutory or other lawful authority to maintain such information. Also see "Routine Uses"paragraphs of Prefatory Statement.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Hard copy.

Retrievability: By individual name.

Safeguards: All employees of the Department of State have undergone a thorough background security investigation. Access to the Department of State building and its annexes is controlled by security guards, and admission is limited to those individuals possessing a valid identification card or individuals under proper escort. All records containing personal information are maintained in secured file cabinets or in restricted areas, access to which is limited to authorized personnel.

Retention and disposal: Retention of these records is indefinite. They will be retired or destroyed in accordance with schedules of the Department of State. More specific information may be obtained by writing to the Director, Foreign Affairs Document and Reference Center, Room 1239, Department of State, 2201 C Street NW, Washington, DC 20520.

System manager(s) and address: Director, Foreign Affairs Document and Reference Center, Room 1239, Department of State, 2201 C Street NW, Washington, DC 20520.

Notification procedure: Individuals who have reason to believe that the Privacy Act Requests Records might have information pertaining to them should write to the Director, Foreign Affairs Document and Reference Center, Room 1239, Department of State, 2201 C Street NW, Washington, DC 20520. The individual must specify that he/she wishes the records of the Privacy Act Requests to be checked. At a minimum, the individual must include: Name; date and place of birth; current mailing address and zip code; signature; approximate date on which the individual requested information under the Privacy Act of 1974.

Record access procedures: Individuals who wish to gain access to or amend records pertaining to them should write to the Director, Foreign Affairs Document and Reference Center (address above).

Contesting record procedures: See above.

Record source categories: The individual; officials of the Department of State; officials of other government agencies who may be involved in the request.

STATE-41

System name: Berlin Document Center Records.

System location: U.S. Mission Berlin, 170 Clayallee, APO New York 09742.

Categories of individuals covered by the system: Individuals associated with former government, organization, or party apparatus of the Third Reich.

Categories of records in the system: Original documents of Third Reich, NSDAP, SS, and affiliated institutions and organizations; biographic documents; NSDAP membership records.

Authority for maintenance of the system: Executive Order 10608; Allied Control Council Directives (1946).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Information contained in this system of records may be released to any U.S. government agency having statutory or other lawful authority to maintain such information. Information may also be made available to foreign governments, scholars, and others in response to lawful and verified requests. Also see "Routine Uses"paragraphs of the Prefatory Statement.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Hard copy; magnetic computer media.

Retrievability: By individual name.

Safeguards: The Berlin Document Center is an enclosed compound with a 24-hour military guard. Access and admission is limited to those individuals possessing a valid identification card or individuals under proper escort. Records are maintained in secured file cabinets or in restricted areas, access to which is limited to authorized personnel.

Retention and disposal: Retention of these records is permanent. More specific information may be obtained by writing the Director, Foreign Affairs Document and Reference Center, Room 1239, Department of State, 2201 C Street NW, Washington, DC 20520.

System manager(s) and address: Director, Berlin Document Center, c/o U.S. Mission Berlin, 170 Clayallee, APO New York 09742.

Notification procedure: Individuals who have reason to believe that the Berlin Document Center might have records pertaining to them should contact the Director, Foreign Affairs Document and Reference Center, Room 1239, Department of State, 2201 C Street, NW, Washington, DC 20520, or the Director, Berlin Document Center (see LOCATION above). At a minimum, the individual must include: Name; date and place of birth; current mailing address and zip code; signature; a brief description of the circumstances and the approximate dates which gave the individual cause to believe that the Berlin Document Center might have records pertaining to him/her.

Record access procedures: Individuals who wish to gain access to records pertaining to themselves should write to the Director, Foreign Affairs Document and Reference Center, (address above). Proof of citizenship or resident alien status will be required at the time access is granted.

Contesting record procedures: See above.

Record source categories: See CATEGORIES OF RECORDS.

Systems exempted from certain provisions of the act: Certain records contained within the system of records are exempted from 5 U.S.C. 552a (c)(3), (d), (e)(1), (e)(4)(G), (H), and (I), and (f). See Department of State Rules published in the FEDERAL REGISTER.

STATE-42

System name: Munitions Control Records.

System location: Department of State Annex 6, 1701 N. Ft. Myer Drive, Arlington, Virginia.

Categories of individuals covered by the system: Persons of interest to the Office of Munitions Control in connection with its responsibilities under the International Traffic in Arms Regulations.

Categories of records in the system: Information of activities related to the export of Munitions List Items.

Authority for maintenance of the system: 22 U.S.C. 1934.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The information contained in these records is used to make determinations relative to the export of Munitions List items. Information may be released to other federal intelligence and law enforcement agencies. See also "Routine Uses"paragraphs of Prefatory Statement.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Hard copy.

Retrievability: By individual name.

Safeguards: All employees of the Department of State have undergone a thorough background security investigation. Access to the Department of State building and its annexes is controlled, and admission is limited to those individuals possessing a valid identification card or those under proper escort. All records containing personal information are maintained in secured file cabinets or in restricted areas, access to which is limited to authorized personnel.

Retention and disposal: Active records are retained in the Office of Munitions Control. Inactive records are retired to the Federal Records Center and destroyed 17 years after such retirement.

System manager(s) and address: Director, Office of Munitions Control, Room 800, Department of State, Washington, D.C. 20520.

Notification procedure: Individuals who have reason to believe that the Munitions Control Records system might contain information on them should write to the Director, Foreign Affairs Document and Reference Center, 2201 C Street NW, Washington, D.C. 20520. The individual should include his full name, date and place of birth, current mailing address and zip code; signature.

Record access procedures: Individuals who wish to gain access to or to amend records pertaining to themselves should contact the Director, Foreign Affairs Document and Reference Center (Address above).

Contesting record procedures: See above.

Record source categories: Other intelligence & law enforcement agencies.

Systems exempted from certain provisions of the act: Certain records contained within this system of records are exempted from 5 U.S.C. 552a (c)(3), (d), (e)(1), (e)(4)(G), (H), and (I) and (f). See Department of State Rules published in the FEDERAL REGISTER.

STATE-43

System name: Congressional Correspondence and Voting Records.

System location: Department of State, 2201 C Street, NW., Washington, D.C. 20520.

Categories of individuals covered by the system: Members of Congress and their constituents who request Congressional assistance in obtaining information or services from the Department of State.

Categories of records in the system: Copies of correspondence to and from Members of Congress, which may include inquiries on behalf of constituents and letters to Congressional committees; Congressional voting records on matters pertaining to international relations.

Authority for maintenance of the system: 22 U.S.C. 811a.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The principal user of this information outside the Department of State is the Member of Congress. See also "Routine Uses" paragraphs of Prefatory Statement.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Hard copy and computer media.

Retrievability: By name of Member of Congress and constituent; by foreign policy issue.

Safeguards: All employees of the Department of State have undergone a thorough background security investigation. Access to the Department of State and its annexes is controlled by security guards, and admission is limited to those individuals possessing a valid identification card or individuals under proper escort. All records containing personal information are maintained in secured file cabinets or in restrictive areas, access to which is limited to authorized employees.

Retention and disposal: The Congressional Correspondence information will be retained for one year; the Congressional Voting Records will be retained for six years.

System manager(s) and address: Assistant Secretary of State for Congressional Relations, Department of State, 2201 C Street NW., Washington, D.C. 20520.

Notification procedure: Individuals who have reason to believe that the Congressional Correspondence and Voting Records might have information pertaining to them should write to the Director, Foreign Affairs Document and Reference Center, Room 1239, Department of State, 2201 C Street NW, Washington, D.C. 20520. The individual must specify that he/she wishes the Congressional Correspondence and Voting records to be checked. At a minimum, the individual should include: Name, date and place of birth, current mailing address and ZIP code; signature.

Record access procedures: Individuals who wish to gain access to or amend records pertaining to themselves should write to the Director, Foreign Affairs Document and Reference Center (address above).

Contesting record procedures: (See above).

Record source categories: The Member of Congress, constituent, the Office of the Department which drafted the reply to the Congressional inquiry, the Congressional Record, Congressional Quarterly, Congressional Directory.

STATE-44

System name: Congressional Travel Records.

System location: Department of State, 2201 C Street NW, Washington, DC 20520.

Categories of individuals covered by the system: Members of Congress and staff members who travel.

Categories of records in the system: Correspondence between the Department of State and the overseas post pertaining to the logistics of the individual's trip; letters of authorization from the chairman authorizing funds for the trip.

Authority for maintenance of the system: 22 U.S.C. 811a.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The principal users of this information outside the Department of State are the travelers themselves when they express need or desire for any information on a specific correspondence. See also "Routine Uses"paragraphs of Prefatory Statement.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Hard copy.

Retrievability: By individual name; in the case of several travelers on the same trip, the records are filed under the name of the most senior member of the delegation.

Safeguards: All employees of the Department of State have undergone a thorough background security investigation. Access to the Department of State building and its annexes is controlled by security guards, and admission is limited to those individuals possessing a valid identification card or those individuals under proper escort. All records containing personal information are maintained in secured file cabinets or in restricted areas, access to which is limited to authorized personnel.

Retention and disposal: These records are destroyed as soon as possible after the trip has been completed.

System manager(s) and address: Director, Congressional Services, Room 7249, Department of State, 2201 C Street NW, Washington, DC 20520.

Notification procedure: Individuals who have reason to believe that the Congressional Travel Records might have information pertaining to themselves should write to the Director, Foreign Affairs Document and Reference Center, Room 1239, Department of State, 2201 C Street NW, Washington, DC 20520. The individual must specify that he/she wishes the Congressional Travel Records to be checked. At a minimum, the individual must include: Name, date and place of birth; current mailing address and zip code; signature.

Record access procedures: Individuals who wish to gain access to or amend records pertaining to themselves should write to the Director, Foreign Affairs Document and Reference Center (address above).

Contesting record procedures: (See above).

Record source categories: The individual; overseas posts; Office of Congressional Relations.

STATE-45

System name: Contractors Records.

System location: Department of State Annex 6, 1700 N. Lynn Street, Arlington, Virginia 22209.

Categories of individuals covered by the system: Architects; engineers; construction contractors; landscape architects; real estate appraisers.

Categories of records in the system: Architect, Engineer, and Related Services Questionnaire; brochures from firms on recently completed projects; routine correspondence with the firm.

Authority for maintenance of the system: Foreign Service Buildings Act of 1926, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The principal users of this information outside the Department of State are Architectural Advisory Consultants who are under contract to the Office of Foreign Buildings for limited periods of time. See also "Routine Uses"paragraphs of Prefatory Statement.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Hard copy.

Retrievability: By name of business firm.

Safeguards: None. The Office of Foreign Buildings and the individual contractors involved have determined that the information submitted by firms is public knowledge, and is in no need of special security.

Retention and disposal: These records are retained for approximately ten years. They are then destroyed or returned to the individual firm, if it so wishes and requests.

System manager(s) and address: Deputy Assistant Secretary for Foreign Buildings, Room 335, Department of State Annex 6, 1700 N. Lynn Street, Arlington, Virginia 22209.

Notification procedure: Individuals who have reason to believe that the Office of Foreign Buildings might have records pertaining to them should write to the Director, Foreign Affairs Document and Reference Center, Room 1239, Department of State, 2201 C Street NW, Washington, DC 20520. The individual must specify that he/she wishes the records of the Office of Foreign Buildings to be checked. At a minimum, the individual must include: Name; date and place of birth; current mailing address and zip code; signature.

Record access procedures: Individuals who wish to gain access to or amend records pertaining to themselves should write to the Director, Foreign Affairs Document and Reference Center, (address above).

Contesting record procedures: See above.

Record source categories: The individual firm.

STATE-46

System name: Fine Arts Records.

System location: Department of State, 2201 C Street NW, Washington, DC 20520.

Categories of individuals covered by the system: Donors, lenders, contributors and possible contributors to Fine Arts projects; museum curators and dealers with whom the Fine Arts Office corresponds.

Categories of records in the system: Correspondence between donors and lenders; research material on objects.

Authority for maintenance of the system: 22 U.S.C. 811a.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Information is made available upon request to other government agencies having statutory or other lawful authority to maintain such information See also "Routine Uses"paragraphs of the Prefatory Statement.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Hard copy.

Retrievability: By individual name.

Safeguards: All employees of the Department of State have undergone a thorough background security investigation. Access to the

Department of State building and its annexes is controlled by security guards, and admission is limited to those individuals possessing a valid identification card or individuals under proper escort. All records containing personal information are maintained in secured file cabinets or in restricted areas, access to which is limited to authorized peronnel.

Retention and disposal: These records are continuously maintained and never destroyed, as they do not go out of date.

System manager(s) and address: Curator, Diplomatic Receptions, Room 8213, Department of State, 2201 C Street NW, Washington, DC 20520.

Notification procedure: Individuals who have reason to believe that the Fine Arts Office might have records pertaining to them should write to the Director, Foreign Affairs Document and Reference Center, Room 1239, Department of State, 2201 C Street NW, Washington, DC 20520. The individual must specify that he/she wishes the records of the Fine Arts Office to be checked. At a minimum, the individual must include: Name; date and place of birth; current mailing address and zip code; signature; a brief description of the circumstances which give the individual cause to believe that the fine Arts Office might have records on him/her.

Record access procedures: Individuals who wish to gain access to or amend records pertaining to themselves should write to the Director, Foreign Affairs Document and Reference Center (address above).

Contesting record procedures: See above.

Record source categories: The individual.

STATE-47

System name: Senior Personnel Appointments Records.

System location: Department of State, 2201 C Street NW, Washington, DC 20520.

Categories of individuals covered by the system: Applicants for Presidential appointments and other positions.

Categories of records in the system: Applications, recommendations, referrals, resumes, and accompanying correspondence.

Authority for maintenance of the system: 22 U.S.C. 811a.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The principal users of this information outside the Department of State are the White House and the National Security Council. Information may also be released to other government agencies having statutory or other lawful authority to maintain such information. See also "Routine Uses"paragraphs of the Prefatory Statement.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Hard copy.

Retrievability: By individual name.

Safeguards: All employees of the Department of State have undergone a thorough background security investigation. Access to the Department of State building and its annexes is controlled by security guards, and admission is limited to those individuals possessing a valid identification card or individuals under proper escort. All records containing personal information are maintained in secured file cabinets or in a restricted areas, access to which is limited to authorized personnel.

Retention and disposal: Most of these records are retained for no longer than two years after the last action has been taken on them. Some records are destroyed earlier, and a few significant records are retained indefinitely. More specific information may be obtained by writing to the Director, Foreign Affairs Document and Reference Center, Room 1239, Department of State, 2201 C Street NW, Washington, DC 20520.

System manager(s) and address: Special Assistant, Office of the Deputy Under Secretary for Management, Room 7509, Department of State, 2201 C Street NW, Washington, DC 20520.

Notification procedure: Individuals who have reason to believe that the records of Senior Personnel Appointments might have records pertaining to them should write to the Director, Foreign Affairs Document and Reference Center, Room 1239, Department of State, 2201 C Street NW, Washington, DC 20520. The individual must specify that he/she wishes the records of Senior Personnel Appointments to be checked. At a minimum, the individual must include: Name, date and place of birth; current mailing address and zip code; signature.

Record access procedures: Individuals who wish to gain access to or amend records pertaining to themselves should write to the Director, Foreign Affairs Document and Reference Center (address above).

Contesting record procedures: See above.

Record source categories: The individual; private individuals and officials interested in his appointment.

Systems exempted from certain provisions of the act: Certain records contained within this system of records are exempted from 5 USC 552a (c)(3), (d), (e)(1), (e)(4)(G), (H), and (I), and (f). See Department of State Rules published in the FEDERAL REGISTER.

STATE-48

System name: Foreign Assistance Inspection Records.

System location: Department of State, 2201 C Street NW, Washington, D.C. 20520.

Categories of individuals covered by the system: Members of Congress who have corresponded with the Office of the Inspector General of Foreign Assistance (IGA) or received reports or memoranda from IGA; present and former employees or contractors of the Agency for International Development, Overseas Private Investment Corporation, Inter-American Foundation, Peace Corps, Department of State, Department of Defense, or the Department of Agriculture alleged to have violated laws or agency regulations in connection with programs for which IGA has oversight responsibility.

Categories of records in the system: Routine correspondence with individuals in categories named above; correspondence, working papers and reports of investigation concerning alleged violations of laws and agency regulations in connection with programs for which IGA has oversight responsibility.

Authority for maintenance of the system: Subsection 624(d) of the Foreign Assistance Act of 1961 (Pub. L. 97-195, as amended).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Correspondence with Members of Congress constitutes working files for IGA management and is made available to officials of the Department of State and of other governmental agencies when it is considered to be in the furtherance of IGA's statutory mission. Records concerning individuals alleged to have violated laws or agency regulations in connection with programs for which IGA has oversight responsibility may be referred, as a routine use, to the appropriate agency, whether Federal, state, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, rule, regulation or order issued pursuant thereto.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Hard copy.

Retrievability: By individual name.

Safeguards: All employees of the Department of State have undergone a thorough background security investigation. Access to the Department of State building and its annexes is controlled by security guards, and admission is limited to those individuals possessing a valid identification card or individuals under proper escort. All records containing personal information are maintained in secured file cabinets or in restricted areas, access to which is limited to authorized personnel.

Retention and disposal: Records are retained one year after the last entry in the file. They are retired or destroyed in accordance with published schedules of the Department of State. More specific information may be obtained by writing to the Director, Foreign Affairs Document and Reference Center, Room 1239, Department of State, 2201 C Street NW, Washington, DC 20520.

System manager(s) and address: Director, Office of Reports and Management, Office of the Inspector General of Foreign Assistance, Room 6825, 2201 C Street NW, Washington, DC 20520.

Notification procedure: Individuals who have cause to believe that the Office of the Inspector General of Foreign Assistance might have records pertaining to them should write to Director, Foreign Affairs Document and Reference Center, Room 1239, Department of State, 2201 C Street NW, Washington, D.C. 20520. The individual must specify that he/she wishes the records of the Office of the Inspector General of Foreign Assistance to be checked. At a minimum the individual must include: Name; date and place of birth; current mailing address and zip code; signature; a brief description of circumstances, including approximate dates, which give the individual cause to believe that the Office of the Inspector General of Foreign Assistance might have records pertaining to him.

Record access procedures: Individuals who wish to gain access to or amend records pertaining to them should write to the Director, Foreign Affairs Document and Reference Center (address above).

Contesting record procedures: See above.

Record source categories: The individual; Federal agencies; Members of Congress; international, state, and local governmental organizations; nongovernmental organizations; and individuals.

Systems exempted from certain provisions of the act: Certain records contained within this system of records are exempted from 5 USC 552a (c)(3), (d), (e)(1), (e)(4)(G), (H), and (I), and (f). See Department of State Rules published in the FEDERAL REGISTER.

STATE–49

System name: Skills Catalogue Records.

System location: Department of State, 2201 C Street NW, Washington, D.C. 20520.

Categories of individuals covered by the system: Family members of U.S. Government employees (specifically family members of Department of State, Agency for International Development, and International Communications Agency personnel).

Categories of records in the system: Biographic data, including educational background, language skills, special skills, work experience, availability for employment.

Authority for maintenance of the system: 22 U.S.C. 2693.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The Family Liaison Office will use this record system to assist family members of U.S. Government employees in acquiring employment and other services. Information from this system will be made available to personnel offices of other government agencies having employment opportunities. Information may also be disclosed to multinational corporations, international organizations, business firms, foundations, foreign governments, and families at overseas posts who are interested in hiring Foreign Service family members to perform a task commensurate with their work experience or to utilize their services in performing voluntary work.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Hard copy, computer media.

Retrievability: By individual name, education, work experience, language facility, overseas experience, current address, Foreign Service post, country, regional bureau.

Safeguards: All employees of the Department of State have undergone a thorough background investigation. Access to the Department of State building and its annexes is controlled by security guards, and admission is limited to those individuals possessing a valid identification card or individuals under proper escort. All records containing personal information are maintained in secured file cabinets or in restricted areas, access to which is limited to authorized personnel.

Retention and disposal: These records will be maintained for two years and then retired or destroyed in accordance with published schedules of the Department of State. More specific information may be obtained by writing to Director of Foreign Affairs Document and Reference Center, Room 1239, Department of State, 2201 C Street NW, Washington, 20520.

System manager(s) and address: Director, Family Liaison Office, Department of State, 2201 C Street NW, Washington, D.C. 20520.

Notification procedure: Individuals who have reason to believe that the Skills Catalogue Records might have records pertaining to them should write to the Chief of the Privacy Staff, Room 1239, Department of State, 2201 C Street NW, Washington, D.C. 20520. The individual must specifically request that the Skills Catalogue Records be checked. At a minimum, the individual must include name, date and place of birth, current mailing address and ZIP code, and signature.

Record access procedures: Individuals who wish to gain access to or amend records pertaining to them should write to the Chief of the Privacy Staff (address above).

Contesting record procedures: See above.

Record source categories: The individual; Who's Who and other such reference publications; newspapers and periodicals; testimony and comments from other persons having knowledge of the individual; pertinent records of other Federal, State, or local agencies and foreign governments; pertinent records of private firms or organizations; other public sources.

STATE–50

System name: Family Liaison Office Centralized Data Bank of Family Member Skills and Direct Communication Network Records.

Security classification: Unclassified.

System location:

Department of State, 2201 C Street, NW., Washington, DC 20520.

Categories of individuals covered by the system:

Family members of employees of U.S. foreign affairs agencies covered by the Foreign Service Act of 1980 and their sponsors.

Categories of records in the system:

Family member's name, Social Security Account Number, country of birth, citizenship, level and date of security clearance, GS/FS rating code, work preference code, current mailing address, location code of assignment, and other biographic data including educational background, language skills, specialized training, area of expertise, and work experience; sponsor's name, Social Security Account Number, transfer eligibility date, and foreign affairs agency name and code.

Authority for maintenance of the system:

22 U.S.C 2693 and 4026.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The Family Liaison Office will use this record system to assist family members of employees of U.S. foreign affairs agencies in acquiring employment and other services. Information from this system will be made available to personnel offices of other Government agencies having employment opportunities. Information may also be disclosed to multinational corporations, international organizations, business firms, foundations, foreign governments, and families at overseas posts who are interested in hiring family members to perform a task commensurate with their work experience or to utilize their services in performing voluntary work.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Hard copy, computer media.

Retrievability:

By individual name of family member or sponsors, as well as by each of the data items listed as a category in this description.

Safeguards:

All employees of the Department of State have undergone a background security investigation. Access to the Department of State and its annexes is controlled by security guards, and admission is limited to those individuals possessing a valid identification card or individuals under proper escort. All records containing personal information are maintained in secured file cabinets or in restricted areas, access to which is limited to authorized personnel. All records containing personal information on a computerized data base are accessible only through computer media under Department of State jurisdiction and placed in restricted areas access to which is limited to authorized personnel. Access to computerized files is password-protected and under the direct responsibility of the system manager. The system manager has the capability of printing audit trails of access from the computer media, thereby permitting regular ad hoc monitoring of computer usage.

Retention and disposal:

These records will be maintained in the system for as long as the individual is interested in participating in the employment services and/or the Direct Communication Network provided by the Family Liaison Office. More specific information may be obtained by writing to Director, Foreign Affairs Information Management Center, Room 1239, Department of State, 2201 C Street, NW., Washington, DC 20520.

System manager(s) and address:

Director, Family Liaison Office, and Chief, Personnel Management, Operating Systems Division, Department of State, 2201 C Street, NW., Washington, DC 20520.

Notification procedure:

Individuals who have reason to believe that the FLO Centralized Data Bank of Family Member Skills and Direct Communication Network Records might contain records pertaining to them should write to the Information and Privacy Coordinator, Foreign Affairs Information Management Center, Room 1239, Department of State, 2201 C Street NW., Washington, DC 20520. The individual must specify that she/he wishes the records of the FLO Centralized Data Bank of Family Member Skills and Direct Communication Network to be checked At a minimum, the individual must include: Date and place of birth; current mailing address and zip code; signature.

Record access procedures:

Individuals who wish to gain access to or amend records pertaining to themselves should write to the Information and Privacy Coordinator, Foreign Affairs Information Management Center (address above).

Contesting record procedures:

See above.

Record source categories:

The individual family member for all data elements with the exception of the current mailing address, location code of assignment, and sponsors's transfer eligibility date, all of which will be transferred automatically from the sponsor's Official Personnel File.

Systems exempted from certain provisions of the act:

None.

STATE-51

System name: Classification/Declassification Center Part-Time Employee Records.

System location: Department of State, 2201 C Street NW, Washington, D.C. 20520.

Categories of individuals covered by the system: Retired Foreign Service Officers who are part-time employees and prospective employees of the Classification/Declassification Center.

Categories of records in the system: Individual's name; address; identification number; telephone number; area of expertise; pay schedule; work schedule.

Authority for maintenance of the system: 22 U.S.C. 811a.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The information in this file is used for scheduling the work of part-time employees and is used solely by the Classification/Declassification Center Staff for such scheduling and determining work availability. Also see 'Routine Uses' paragraphs of Prefatory Statement.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Computer media.

Retrievability: By individual name.

Safeguards:

All employees of the Department of State have undergone a background security investigation. All records containing personal information on a computerized data base are accessible only through cathode ray tubes placed in restricted areas to which access is limited to authorized personnel. Access to computerized files is password protected and under the direct supervision of the system manager.

Retention and disposal: Retention of these records is indefinite because of a need to maintain a record of work availability over on extended period of time. The record is destroyed when the part-time employee who is the subject of the record is no longer employed by the Classification/Declassification Center.

System manager(s) and address: Director, Office of Manadatory Review, Classification/Declassification Center, Room 1239, Department of State, 2201 C Street NW, Washington, D.C. 20520.

Notification procedure: Individuals who have cause to believe that the Classification/Declassification Center might have records pertaining to them should write to the Director, Foreign Affairs Document and Reference Center, Room 1239, Department of State, 2201 C Street NW, Washington, D.C. 20520. The individual must specify that he/she wishes the records of the Office of Press Relations to be checked. At a minimum, the individual must include: Name; date and place of birth; current mailing address and zip code; signature; media organization with which he/she was accredited and the approximate dates of this association with the Department of State.

Record access procedures: Individuals who wish to gain access to or amend records pertaining to themselves should write to the Director, Foreign Affairs Document and Reference Center (address above).

Contesting record procedures: See above.

Record source categories: The individual, Department of State Retirement Records.

STATE-52

System name: Parking Permit and Car Pool Records.

Security classification: Unclassified.

System location: Department of State, 2201 C Street, NW, Washington, D.C. 20520.

Categories of individuals covered by the system: Department of State, AID and ACDA employees, and full time employees of private organizations located in the building who have permits for State Department parking facilities; individuals who car pool with employees holding such permits; persons interested in joining a car pool.

Categories of records in the system: Parking Permit Information: Title and grade of the employee issued a parking permit, home address, year and make of car, license number, bureau, office, room and telephone number, arrival time, departure time, and type of parking permit. Car Pool Information: Name of member of car pool, office address and phone number, make of car, license number and state, home address, and work hours.

Authority for maintenance of the system: 22 U.S.C. 811a; 22 U.S.C. 2658, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The purpose of the information in this system is to facilitate control over and issuance of parking permits for the Department of State, AID, ACDA personnel and full time employees of private organizations located in the Department's buildings. The information will be used to facilitate the formation of car pools with employees who have been issued parking permits. Principal users of this information outside the Department of State are employees of other Federal agencies and private businesses in the Washington, D.C. area who would be interested in forming car pools. Also see the "Routine Uses" paragraph of the Prefatory Statement published in the FEDERAL REGISTER (42 FR 49699, SEPTEMBER 27, 1977).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Computer media, hard copy, IBM Office System 6.

Retrievability: By the individual's name, bureau, office, zip code, or handicap (if applicable).

Safeguards: All employees of the Department of State and the Foreign Affairs Recreation Association have undergone a thorough background security investigation. Access to the Department of State and its annexes is controlled by security guards, and admission is limited to those individuals possessing a valid identification card or individuals under proper escort. All records containing personal information are maintained in secure file cabinets or in restricted areas, access to which is limited to authorized personnel.

Retention and disposal: This information is maintained until the permit is revoked or reissued, or if the holder of the permit leaves the Department, transfers to another organizational unit of the Department, or is transferred out of the Washington, D.C. area.

System manager(s) and address: Chief, General Services Division, OPR/GS, Room 1493, Department of State, 2201 C Street, NW, Washington, D.C. 20520.

Notification procedure: Individuals who have reason to believe that the Parking Permit and Car Pool Records might have information pertaining to them, should write to the Information and Privacy Coordinator, Foreign Affairs Document and Reference Center, Room 1239, Department of State, 2201 C Street, NW, Washington, D.C. 20520. The individual must specify that he/she wishes the Parking Permit and Car Pool Records to be checked. At a minimum, the individual should includes: Name, date and place of birth, current mailing address and zip code, signature.

Record access procedures: Individuals who wish to gain access to or amend records pertaining to themselves should write to the Information and Privacy Coordinator, Foreign Affairs Document and Reference Center (address above).

Record source categories: By the individual.

Systems exempted from certain provisions of the act: None.

STATE-53

System name:

Records of the Inspector General of the Department of State and the Foreign Service.

System location:

Department of State, 2201 C Street NW, Washington, D.C. 20520.

Categories of individuals covered by the system:

Present and former employees of the Department of State (including foreign nationals); individuals (or firms) doing business with State, including contractors and grantees; individuals who have purchased USG employees' property overseas; members of the foreign affairs community who come under the direction, coordination and supervision of chiefs of mission.

Categories of records in the system:

Investigatory material relating to any category of individual described above. Results of investigations, inquiries or audits conducted by the Inspector General and reports of investigations conducted by other departmental, Federal, state and local investigative agencies under the direction of, or on behalf of, the Inspector General.

Authority for maintenance of the system:

The Foreign Service Act of 1980, 22 U.S.C. 3901.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The information contained in the Records of the Inspector General is collected and maintained in the administration of the Department of State, Federal Criminal Statutes, Uniform Code of Military Justice, Executive Orders, and the Code of Federal Regulations to oversee and enforce Federal laws and regulations. Material gathered is used in the enforcement of the aforementioned laws and regulations. These records may be disseminated, depending on jurisdiction, to: Department of State officials in the administration of their responsibilities; other Federal, state, local or foreign agencies having jurisdiction in the matter; any source from which information is requested in the course of investigation, to the extent necessary to identify the individual, to inform the source of the nature and purpose of the investigation, and to identify the type of information requested. Also see the "Routine Uses" paragraph of the Prefatory Statement published in the FEDERAL REGISTER (42 FR 49699, SEPTEMBER 27, 1977).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Hard copy, computer media.

Retrievability:

Normally be coded case number which indicates the type of violation or deficiency involved, the date, the geographic location, category of source and the incident number. Cases are cross-indexed by individual's name pending referral for review and action to the Department of Justice, the Director General of the Foreign Service and Director of Personnel, or the Attorney General.

Safeguards:

All employees of the Department of State have undergone a thorough background security investigation. Access to the Department of State and its annexes is controlled by security guards, and admission is limited to those individuals possessing a valid identification card or individuals under proper escort. All records containing personal information are maintained in secure file cabinets or in restricted areas, access to which is limited to authorized personnel. Access to computerized files is password protected and under the direct supervision of the system manager. Inspector General reports are disseminated only by the Inspector General and only to the immediate Department principals or offices with a clear need to know the matter being reported. No secondary distribution is permitted without the expressed written permission of the Inspector General.

Retention and disposal:

These records will be maintained until they become inactive, then retired and destroyed seven (7) years thereafter in accordance with published schedules of the Department of State. More specific information may be obtained by writing to the Information and Privacy Coordinator, Foreign Affairs Information Management Center, Room 1239, Department of State, 2201 C Street, NW, Washington, D.C. 20520.

System manager(s) and address:

The Inspector General, Office of the Inspector General, Room 6821, Department of State, 2201 C Street, NW, Washington, D.C. 20520.

Notification procedure:

Individuals who have reason to believe that the Records of the Inspector General might have information pertaining to them, should write to the Information and Privacy Coordinator, Foreign Affairs Information Management Center, Room 1239, Department of State, 2201 C Street, NW, Washington, D.C. 20520. The individual must specify that he/she wishes the Records of the Inspector General to be checked. At a minimum, the individual should include: Name, date and place of birth, current mailing address and zip code, and signature.

Record access procedures:

Individuals who wish to gain access to or amend records pertaining to themselves should write to the Information and Privacy Coordinator, Foreign Affairs Information Management Center (address above).

Record source categories:

These records contain information obtained from interviews, review of records, and other authorized investigative techniques.

Systems exempted from certain provisions of the act:

Certain records contained within this system of records may be exempted from the requirements of any part of the Act except subsections (b), (c)(1) and (2), (e)(4) (A) through (F), (e) (6), (7), (9), (10), and (11), and (i) to the extent necessary to assure the effective completion of the investigative and judicial processes. See Department of State rules published in the FEDERAL REGISTER.

STATE-54

System name:

U.S./Iran Claims Records.

System location:

Department of State, 2201 C Street, NW, Washington, D.C. 20520

Categories of individuals covered by the system:

U.S. nationals with claims filed against Iran in the Iran-United States Claims Tribunal in The Hague, The Netherlands.

Categories of records in the system:

Data relating to claims filed in the Iran-United States Claims Tribunal, including the names and addresses of parties to the claims, the value and nature of the claims, their procedural history in the Tribunal (hearing dates and decisions), correspondence, memoranda, and data which will enable U.S. Government attorneys to identify common legal issues in the claims.

Authority for maintenance of the system:

5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The Office of Iranian Claims in the Office of the Legal Adviser will use this record system to organize information concerning claims before the Tribunal. The information will be used primarily by attorneys and paralegals in the Office of Iranian Claims to facilitate their processing such claims. Certain information would also be made available to attorneys in other government agencies involved in the claims program, principally the Departments of Justice, the Treasury, and Defense, as well as to the Iran-United States Claims Tribunal, the Government of Iran, and other governments as appropriate. The information may also be released to other government agencies having statutory or other lawful authority to maintain such information.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Computer media; hard copy.

Retrievability:

By claim number or individual claimant name; by nature or amount of claim; by other descriptive features of claim.

Safeguards:

All employees of the Department of State have undergone a thorough background investigation. Access to the Department of State building and its annexes is controlled by security guards, and admission is limited to those individuals under proper escort. All records containing personal information are maintained in secured filed cabinets or in restricted areas, access to which is limited to authorized personnel.

Retention and disposal:

These records will be maintained for the duration of the Iran-United States Claims Tribunal and for any period of time thereafter in which such records may be required to prepare a summary of the Tribunal's work.

System manager(s) and address:

Executive Director, Office of the Legal Adviser, Room 5519A, Department of State, 2201 C Street, NW, Washington, D.C. 20520.

Notification procedure:

Individuals who have reason to believe that the Office of the Legal Adviser might have records pertaining to them should write to the Information and Privacy Coordinator, Room 1239, Department of State, 2201 C Street, NW, Washington, D.C. 20520. The individual must specify that he/she wishes the records of the Office of the

Legal Adviser to be checked. At a minimum, the individual must include: Name; date and place of birth; claim registration number; present mailing address and zip code; and signature.

Record access procedures:

Individuals who wish to gain access to or amend records pertaining to them should write to the Information and Privacy Coordinator (address above).

Contesting record procedures:

See above.

Record source categories:

The individual or his legal representative, the Iran-United States Claims Tribunal, the Office of the Legal Adviser.

Systems exempted from certain provisions of the act:

Pursuant to 5 U.S.C. 552a(k)(1), certain records contained within this system of records are exempted from 5 U.S.C. 552a(c)(3), (d), (e)(1), (e)(4)(G), (H) and (I) and (f). See Department of State rules published in the FEDERAL REGISTER.

STATE—56

System name: Bureau of Economic and Business Affairs Data Bank of Economic Officers.

Security classification:

Unclassified.

System location:

Bureau of Economic and Business Affairs, Executive Office, Department of State, 2201 C Street NW., Washington, DC 20520.

Categories of individuals covered by the system:

All Foreign Service and Civil Service employees of the Department of State and other U.S. Foreign Affairs Agencies who have economics as a primary or secondary skill code; all International Relations Officers General (IROGs).

Categories of records in the system:

Employee's name; Social Security Account Number; current position, grade, organization functional skill, position pay class, transfer eligibility date, diplomatic title, tour type, arrival date; languages and competency levels; employment history; economic courses taken at the university level; and Bid List information including organization, location, position, position title, position pay class, language designation, officer preference, status of position in personnel status of position in the Bureau of Economic and Business Affairs, and comments submitted by employee.

Authority for maintenance of the system:

Foreign Service Act of 1980, as amended (22 U.S.C. 3901) and Civil Service Reform Act of 1978 (5 U.S.C. 1101).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The Bureau of Economic and Business Affairs will use this record system in the assignment, reassignment, transfer, detail, and training of those individuals with economics as a primary or secondary skill code. Information from this system will be made available to personnel offices of Government agencies having employment opportunities. Information may also be disclosed to multinational corporations, international organizations, business firms, foundations, and foreign governments who are interested in hiring an officer to perform a task commensurate with his/her work experience.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Hard copy, computer media.

Retrievability:

By individual name or social security number, as well as by each of the data items listed as a category in this description.

Safeguards:

All employees of the Department of State have undergone a background security investigation. Access to the Department of State and its annexes is controlled by security guards, and admission is limited to those individuals possessing a valid identification card or individuals under proper escort. All records containing personal information are maintained in secured file cabinets or in restricted areas, access to which is limited to authorized personnel. All records containing personal information on a computerized data base are accessible only through computer media under Department of State jurisdiction and placed in restricted areas access to which is limited to authorized personnel. Access to computerized files is password-protected and under the direct responsibility of the system manager. The system manager has the capability of printing audit trails of access from the computer media, thereby permitting regular ad hoc monitoring of computer usage.

Retention and disposal:

Biographic data may be maintained in the system for as long as the individual is employed by a U.S. Foreign Affairs Agency. Information pertaining to particular assignments will be maintained for the duration of the current bid cycle. More specific information may be obtained by writing to Director, Foreign Affairs Information Management Center, Room 1239, Department of State, 2201 C Street NW., Washington, DC 20520.

System manager(s) and address:

Executive Director, Bureau of Economic and Business Affairs, Department of State, 2201 C Street, NW., Washington, DC 20520.

Notification procedure:

Individuals who have reason to believe that the EB Data Bank of Economic Officers might contain records pertaining to them should write to the Information and Privacy Coordinator, Foreign Affairs Information Management Center, Room 1239, Department of State, 2201 C Street, NW., Washington, DC 20520. The Individual must specify that she/he wishes the records of the EB Data Bank of Economic Officers to be checked. At a minimum, the individual must include: Date and place of birth; current mailing address and zip code; signature.

Record access procedures:

Individuals who wish to gain access to or amend records pertaining to themselves should write to the Information and Privacy Coordinator, Foreign Affairs Information Management Center (address above).

Contesting record procedures:

(See above).

Record source categories:

The individual employee and the Department's central personnel database.

Systems exempted from certain provisions of the act:

None.

STATE-57

System name:

Communications Personnel Training Records.

Security classification:

Unclassified.

System location:

Office of Communications, Resource Management Training Division, 2201 C Street, NW, Washington, DC 20520; and Warrenton Training Center, Bear Wallow Road, Warrenton, Virginia 22186.

Categories of individuals covered by the system:

All Foreign Service professional communications personnel, Foreign Service officer and secretary back-up communications personnel, and Civil Service communications personnel employed by the Department of State.

Categories of records in the system:

Employee's name, social security account number, grade, date and place of birth, current and previous assignments, Continuing Education Units (CEU'S) awarded, previous experience and educational backgrounds, and technical training provided by the Office of Communications.

Authority for maintenance of the system:

Foreign Service Act of 1980, as amended, (22 U.S.C. 3901), and the Civil Service Reform Act of 1978 (5 U.S.C. 1101).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The Office of Communications will use this record system in determining current and future training requirements of those individuals who are professional communications personnel and who have been tasked to perform additional back-up communications duties at Foreign Service posts.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Hard copy, computer media.

Retrievability:

By individual name, social security account number, assignment/posts and types of training.

Safeguards:

All employees of the Department of State have undergone a background security investigation. Access to the Department of State and its annexes is controlled by security guards, and admission is limited to those individuals possessing a valid identification card or individuals under proper escort. All records containing personal information on a computerized data base are accessible only through computer media under Department of State jurisdiction and placed in restricted areas, access to which is limited to authorized personnel. Access to computerized files is password-protected and under the direct responsibility of the system manager. The system manager has the capability of printing audit trails of access from the computer media, thereby permitting regular ad hoc monitoring of computer usage.

Retention and disposal:

Biographic training data may be maintained in the system for as long as the individual is employed by the Department of State. More specific information regarding retention and disposal may be obtained by writing to the Director, Foreign Affairs Information Management Center, Room 1239, Department of State, 2201 C Street NW, Washington, DC 20520.

System manager(s) and address:

Chief of Training Division, Warrenton Training Center, Box 3050, B-47, Warrenton, Virginia 22186.

Notification procedure:

Individuals who have reason to believe that the Communications Personnel Training Records might contain records pertaining to themselves should write to the Information and Privacy Coordinator, Foreign Affairs Information Management Center, Room 1239, Department of State, 2201 C Street NW, Washington, DC 20520. The individual must specify that he/she wishes the records of the Communications Personnel Training Records to be checked. At a minimum, the individual must include: Date and place of birth; current mailing address and zip code; signature.

Record access procedures:

Individuals who wish to gain access to or amend records pertaining to themselves should write to the Information and Privacy Coordinator, Foreign Affairs Information Management Center (address above).

Contesting record procedures:

See above.

Record source categories:

The individual employee and the Department's central personnel database.

Systems exempted from certain provisions of the act:

None.

SUBCHAPTER R—ACCESS TO INFORMATION

PART 171—AVAILABILITY OF INFORMATION AND RECORDS TO THE PUBLIC

Subpart A—General Policy and Provisions

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171.2 Requests for information.
171.3 Public reading room.
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Subpart F—Denial Procedures

171.50 Denials of access or of amendment.

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171.60 Appeal of denial of access to records.
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Subpart H—Other Agency Material

171.70 Referral.
171.71 Concurrence.

Source: Reg.108.794, 45 FR 58108, Sep. 2, 1980, unless otherwise noted.

Authority: Section 3 of the Administrative Procedure Act, as amended (Pub. L. 89-478, 80 Stat. 250); the Freedom of Information Act, as amended (5 U.S.C. 552); the Privacy Act (5 U.S.C. 552a); Executive Order 12065; and the Ethics in Government Act of 1978 (Pub. L. 95-521).

Subpart A—General Policy and Procedures

§ 171.1 Availability of information.

(a) Unclassified information, documents, and forms which have previously been provided to the public as part of the normal services of the Department of State will continue to be made available on the same basis as before. Any Departmental officer who receives a request for records through normal channels of contact with the public, media, or the Congress which would not normally be made available shall advise the requester that the request will be referred to the Information and Privacy Coordinator, Foreign Affairs Information Management Center, for processing under the appropriate statute or executive order as provided in these regulations.

(b) All identifiable records of the Department of State shall be made available to the public upon compliance with the procedures established in this subchapter, except to the extent that a determination is made to withhold a record in accordance with an appropriate exemption as provided herein.

§ 171.2 Requests for information.

(a) Requests for identifiable records in accordance with this subchapter may be made by the public in person during regular business hours from the Department of State, 2201 C Street, NW, Washington, D.C. where the receptionist will refer the requester to the proper office for service and the necessary forms for making a request.

(b) Requests by mail and referrals from other agencies should be addressed to the Information and Privacy Coordinator, Foreign Affairs Information Management Center, Room 1239, Department of State, Washington, D.C. 20520, who will coordinate action as specified in this request. In addition, requests may be directed to the Department's field offices and overseas posts; routine, unclassified, administrative records may be released to the individual if it is determined that such release is authorized. Any unfilled request shall be submitted to the Information and Privacy Coordinator. Individuals are urged to clearly indicate on their requests the statute under which they are requesting access to information; this notation will facilitate the processing of the request by the Department.

(c) While every effort is made to guarantee the greatest possible access to all requesters, regardless of the specific statute under which the information is requested, the following guidance is provided for individuals in requesting records:

(1) Freedom of Information Act. Requests for documents concerning the general activities of government and of the Department of State in particular (see Subpart B).

(2) E. O. 12065. Requests for mandatory review and declassification of Department records and requests for access by former Presidential appointees (see Subpart C).

(3) Privacy Act. Requests from U.S. citizens or resident aliens for records pertaining to themselves and maintained by the Department under the individual's name (see Subpart D).

(4) Ethics in Government Act. Requests for the financial Disclosure Statements of Department Employees covered by this Act (see Subpart E).

(d) The burden of adequately identifying the record so requested lies with the requester. Individuals may seek assistance regarding any facet of their requests from the Information and Privacy Coordinator.

§ 171.3 Public reading room.

A public reading room or area where records may be made available is located in the Department of State, 2201 C Street, NW, Washington, D.C. 20520. The receptionist will refer the applicant to the proper room. All those statutes, regulations, and guidelines pertaining to access to information required to be made available to the public shall be located in the reading room. Fees will not be charged for access by the public to this room or the indexes and regulations contained therein, but fees, in accordance with § 171.6, will be charged for furnishing copies thereof. Persons desiring to utilize their own portable copying equipment should request approval in advance from the Information and Privacy Coordinator. Any arrangements for the use of such equipment must be consistent with security regulations of the Department of State and are subject to the availability of personnel to monitor such copying.

§ 171.4 Extension of time limits.

While every effort is made to meet the time limits cited in each section of this Subchapter, unusual circumstances may arise which would necessitate the extension of these time limits. Extensions shall be granted in those instances where it is necessary, in order to guarantee proper processing of the request, to:

(a) Search for and collect the requested records from overseas posts or other establishments that are separate from the office processing the request;

(b) Search for, collect, and appropriately examine a voluminous amount of separate and distinct records which are demanded in a single request; or

(c) Consult with another agency having a substantial interest in the determination of the request or among two or more components of the Department of State having substantial subject matter interest therein. Such consultation shall be conducted with all practicable speed. In such instances the requester shall be given written notification by the Information and Privacy Coordinator of the extension of the time limit and the reason for such extension.

§ 171.5 Archival records.

The Department ordinarily transfers custody of records as soon as

practicable after they become twenty (20) years old to the National Archives and Records Administrative. These records are generally transferred in large blocks defined by years and/or major subject categories.
Correspondence regarding access to these records should be addressed to the Chief, Diplomatic Branch, Civil Records Divisions, National Archives and Record Administrative, Washington, D.C. 20400.

§ 171.6 Fees-general.

(a) The Department will charge a fee of $.10 per page for copies of documents which are identified by an individual and reproduced at the individual's request for retention, except that there will be no charge for requests involving costs of $1.00 or less.

(b) Remittances shall be in the form of either a personal check or bank draft drawn on a bank in the United States, a postal money order, or cash. Remittance shall be made payable to the order of the Treasurer of the United States and delivered or mailed to the Information and Privacy Coordinator, Foreign Affairs Information Management Center, Room 1239, Department of State, 2201 C Street, NW, Washington, D.C. 20520. The Department will assume no responsibility for cash sent by mail.

(c) A receipt for fees paid will be given only upon request.

(d) See section 171.13 for additional fees chargeable for Freedom of Information requests.

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Subpart D—Privacy Provisions

§ 171.30 Definitions.

As used in this subpart, the following definitions shall apply:

(a) The term "Department" means the Department of State, its offices, bureaus, divisions, field offices, and its overseas posts.

(b) The term "individual" means a citizen of the United States or an alien lawfully admitted for permanent residence.

(c) The term "maintain" includes maintain, collect, use or disseminate.

(d) The term "record" means any item, collection, or grouping of information about an individual that is maintained by the Department, including, but not limited to education, financial transactions, medical history, and criminal or employment history that contains the individual's name, or the identifying number, symbol, or other identifying particular assigned to the individual, such as a finger or voice print or photograph.

(e) The term "system of records" means a group of any records under the control of the Department from which information is retrieved by the name of the individual or by some identifying number, symbol, or other identifying particular assigned to an individual.

(f) The term "statistical record" means a record in a system of records maintained for statistical research or reporting purposes only and not used in whole or in part in making any determination about an identifiable individual, except as provided in 13 U.S.C. 8.

(g) The term "routine use" means, with respect to the disclosure of a record, the use of such record for a purpose which is compatible with the purpose for which it was collected.

(h) The term "amend" means to make any correction to any portion of the record which the individual believes is not accurate, relevant, timely, or complete.

(i) The term "personnel record" means any personal information maintained in a system of records as defined in paragraph (e) of this section that is needed for personnel management programs or processes such as staffing, employee development, retirement, grievances, and appeals.
Rules and procedures promulgated by the Office of Personnel Management under the Privacy Act for personal records for which it has responsibility will be followed by the Department with regard to such records except when inconsistent with provisions of the Foreign Service Act.

§ 171.31 Identifying information.

All requests for access to a record or records must reasonably describe the system of records and the individual's record within the system in sufficient detail to permit identification of the requested record(s). System names, descriptions, and the identifying information required for each system are published in the Department's public notice of systems of records appearing in the **Federal Register**. As a minimum, requests should include the individual's full name (maiden name, if appropriate), present mailing address (including zip code), date and place of birth, and other information helpful in identifying the record. Helpful data includes circumstances which give the individual reason to believe that the Department of State maintains records under her/his name, as well as the approximate time period of the records. This information will facilitate the timely search of record systems and assist the Department in locating those records which actually pertain to the individual requester. In certain instances, it may be necessary for the Department to request additional information from the requester, either to ensure a full search or to ensure that a record retrieved does in fact pertain to the individual.

§ 171.32 Exemptions.

Portions of systems of records maintained by the Department are authorized to be exempted from a limited number of provisions of the Privacy Act. In utilizing these exemptions, however, the Department contemplates exempting only those portions of systems necessary for the proper functioning of the Department and which are consistent with the Privacy Act and these regulations. The following exemptions are authorized under 5 U.S.C. 552a(j) and (k):

(a) Records specifically authorized under criteria established by an Executive Order to be kept secret in the interest of national defense or foreign policy and in fact, properly classified pursuant to such Executive Order (k)(1);

(b) Investigatory material compiled for law enforcement purposes, other than material within the scope of 5 U.S.C. 552a(j)(2): Provided, however, that if any individual is denied any right, privilege, or benefit for which she or he would otherwise be eligible as a result of the maintenance of such material, such material shall be provided to such individual, except to the extent that the disclosure of such material would reveal the identity of a source who furnished information to the Government under an express promise that the identity of the source would be held in confidence, or, prior to the effective date of the regulations, under an implied promise that the identity of the source would be held in confidence (k)(2);

(c) Records maintained in connection with providing protective services to the President of the United States or other individuals, pursuant to 18 U.S.C. 3056 and 22 U.S.C. 2666 (k)(3);

(d) Records required by statute to be maintained and used solely as statistical records (k)(4);

(e) Investigatory material compiled solely for the purpose of determining suitability, eligibility, or qualifications for Federal civilian employment, military service, Federal contracts, nominations or referrals to international organizations, or access to classified information, but only to the extent that the disclosure of such material would reveal the identity of a source who furnished information to the Government under an express promise that the identity of the source would be held in confidence, or, prior to the effective date of these regulations, under an implied promise that the identity of the source would be held in confidence (k)(5);

(f) Testing or examination material used solely to determine individual qualification for appointment or promotion to the Federal service which would compromise the objectivity or fairness of the testing or examinations process if disclosed (k)(6); or

(g) Evaluation material used to determine potential of an individual for promotion in the armed services, but only to the extent that the disclosure of such material would reveal the identity of a source who furnished information to the Government under an express promise that the identity of the source would be held in confidence, or, prior to the effective date of these regulations, under an implied promise that the identity of the source would be held in confidence (k)(7); or

(h) Records originated by another agency when that agency has determined that the record is exempt under 5 U.S.C. 52a (j). Also, pursuant to Section (j)(2) of the Act, records compiled by the Special Assignment Staff, the Command Center, and the Passport and Visa Fraud Branch of the Office of Security may be exempted from the requirements of any part of the Act except subsections (b), (c)(1) and (2), (e)(4) (A) through (F), (e)(6), (7), (9), (10), and (11), and (i) to the extent necessary to assure the effective completion of the investigative and judicial processes.

(i) Portions of the following systems of records are exempted under 5 U.S.C 552a(j) to the extent authorized and determined by the agency originating the records. The names of the systems correspond to those published in the **Federal Register** by the Department.

System Name: STATE DEPT.
Consular Service and Assistance Records. STATE–5.
Coordinator for Combatting Terrorism Records. STATE–6.
External Research Records. STATE–10.
Extradition Records. STATE–11.
Intelligence and Research Records. STATE–15.
International Organizations Records. STATE–17.
Law of the Sea Records. STATE–19.
Overseas Records. STATE–25.
Passport Records. STATE–26.
Personality Cross Reference Index to the Secretariat Automated Data Index. STATE–28.
Personality Index to the Central Foreign Policy Records. STATE–29.
Security Records. STATE–36.
Visa Records. STATE–39.
Munitions Control Records. STATE–42.

(j) Portions of the following systems of records are exempted from 5 U.S.C. 552a(c)(3), (d), (e)(1), (3) and (4), (G), (H), and (I), and (f). The names of the systems correspond to those published in the **Federal Register** by the Department.

(1) Exempt under 5 U.S.C. 552a(k)(1). The reason for invoking the exemption is to protect the material required to be kept secret in the interest of national defense and foreign policy.

Board of Appellate Review Records. STATE–2.
Consular Service and Assistance Records. STATE–5.
Coordinator for Combatting Terrorism Records. STATE–6.
External Research Records. STATE–10.
Extradition Records. STATE–11.
Foreign Assistance Inspection Records. STATE–48.
Intelligence and Research Records. STATE–15.
International Organizations Records. STATE–17.
Law of the Sea Records. STATE–19.
Overseas Records. STATE–25.
Passport Records. STATE–26.
Personality Cross Reference Index to the Secretariat Automated Data Index. STATE–28.
Personality Index to the Central Foreign Policy Records. STATE–29.
Security Records. STATE–36.
Visa Records. STATE–39.
Berlin Document Center. STATE–41.
Munitions Control Records. STATE–42.

(2) Exempt under 5 U.S.C. 552(a)(k)(2). The reasons for invoking the exemptions are to prevent individuals the subject of investigation from frustrating the investigatory process, to insure the integrity of law enforcement activities, to prevent disclosure of investigative techniques, to maintain the confidence of foreign governments in the integrity of the procedures under which privileged or confidential information may be provided; and to protect the confidentiality of sources of information.

Board of Appellae Review Records. STATE–2.
Consular Service and Assistance Records. STATE–5.
Coordinator for Combatting Terrorism Records. STATE–6.
Extradition Records. STATE–11.
Foreign Assistance Inspection Records. STATE–48.
Intelligence and Research Records. STATE–15.
Overseas Records. STATE–25.
Passport Records. STATE–26.
Personality Cross Reference Index to the Secretariat Automated Data Index. STATE–28.
Personality Index to the Central Foreign Policy Records. STATE–29.
Security Records. STATE–39.
Visa Records. STATE–39.
Munitions Control Records. STATE–42.

(3) Exempt under 5 U.S.C. 552(a)(k)(3). The reason for invoking this exemption is to preclude impairment of the Department's effective performance in carrying out its lawful protective responsibilities under 18 U.S.C. 3056 and 22 U.S.C. 1666.

Consular Service and Assistance Records. STATE–5.
Extradition Records. STATE–11.
Intelligence and Research Records. STATE–15.
Overseas Records. STATE–25.
Passport Records. STATE–26.
Personality Cross Reference Index to the Secretariat Automated Data Index. STATE–28.
Personality Index to the Central Foreign Policy Records. STATE–29.
Security Records. STATE–36.
Visa Records. STATE–39.

(4) Exempt under 5 U.S.C. 552a(k)(4). The reason for invoking this exemption is to avoid needless consideration of records which are used solely for statistical purposes and from which no individual determinations are made.

Foreign Service Institute Records. STATE–14.
Personnel Payroll Records. STATE–30.
Personnel Records. STATE–31.

(5) Exempt under 5 U.S.C. 552a(k)(5). The reasons for invoking this exemption are to insure the proper functioning of the investigatory process, to insure effective determination of stability, eligibility and qualification for employment and to protect the confidentiality of sources of information.

Board of the Foreign Service Records. STATE–3.
Equal Employment Opportunity Records. STATE–9.
Foreign Assistance Inspection Records. STATE–48.
Foreign Service Grievance Board Records. STATE–13.
Legal Adviser Personnel Records. STATE–20.
Overseas Records. STATE–25.
Personality Cross Reference Index to the Secretariat Automated Data Index. STATE–28.
Personnel Records. STATE–31.
Security Records. STATE–36.
Senior Personnel Appointment Records. STATE–47.

(6) Exempt under 5 U.S.C. 552(k)(6). The reasons for invoking this exemption are to prevent the compromise of testing or evaluation material used solely to determine individual qualifications for

employment or promotion, and to avoid giving unfair advantage to individuals by virtue of their having access to such material.

Foreign Service Institute Records. STATE–14.
Personnel Records. STATE–31.

(7) Exempt under 5 U.S.C. 552a(k)(7). The reason for invoking this exemption is to prevent access to such material maintained from time to time by the Department in connection with various military personnel exchange programs.

Overseas Records. STATE–25.
Personality Cross Reference Index to the Secretariat Automated Data Index. STATE–28.
Personality Index to the Central Foreign Policy Records. STATE–29.
Personnel Records. STATE–31.

(k) Portions of certain documents in the following systems of records are exempted pursuant to the provisions of 5 U.S.C. 552a (j) and (k) from subsections (c) (3) and (4); (d); (e)(4), (G), (H), and (f) of 5 U.S.C. 552a.

Public Affairs Records. STATE–35.
Privacy Act Requests Records. STATE–40.

[45 FR 58108, Sep. 2, 1980; 45 FR 62426, Sep. 19, 1980]

§ 171.33 Time limits.

Whenever possible, the Department will acknowledge the request within 10 days (excluding Saturdays, Sundays, and legal public holidays) of receipt of the request and furnish the requester information as soon as possible thereafter.

§ 171.34 Access to records.

(a) *Verification of personal identity.* The Department will require reasonable identification of individuals to assure that records are disclosed only to the proper person(s).

(1) *Access in person.* When access to a record is granted in person, the Department will require a verification of identity by the individual; employee identification card, driver's license, medicare card, annuitant identification, or passport are examples of acceptable identification.

(2) *Access by mail.* For individuals who seek access by mail, the Department will require verification of identity; comparison of signature of the requester and those in the record, if any, will be used to determine identity.

(3) *Statement verifying identity.* If an individual can provide no suitable documents for identification or a signature is not on record, the Department will require a signed statement from the individual asserting her or his identity and stipulating that the individual understands that knowingly or willingly seeking or obtaining access to records about another individual under false pretenses is punishable by a fine of up to $5,000.

(b) *Sensitive records.* In certain cases where the Department determines that the requested record is of sufficient sensitivity, it may require the individual to furnish a signed notarized statement verifying the requester's identity. The Department will inform the individual at the time the record is retrieved whether or not such a statement is necessary.

(c) *Accompanying individual.* If, when exercising physical access to a record, the requester is accompanied by any other person, the Department will require the requester to sign a statement authorizing disclosure of the contents of record in the presence of the accompanying individual.

(d) *Authorized representatives or designees.* When an individual wishes to authorize another person or persons access to her or his records other than as provided in paragraph (e) of this section, the individual shall submit a signed, notarized statement authorizing and consenting to access by a designated person or persons.

(e) *Guardians.* The parent(s) of any minor, or the legal guardian of an individual who has been declared to be incompetent due to physical or mental incapacity or age by a court of competent jurisdiction, may act for and on behalf of said individual upon presentation of appropriate documentation of such relationship.

(f) *Medical records.* If, in the judgment of the Deputy Assistant Secretary of State for Medical Services or her/his designee, the release of medical information directly to the requester could have an adverse effect on the requester, the aforementioned officer will attempt to arrange an acceptable alternative in granting access to such record(s). This will normally involve the release of such information to a doctor named by the requester.

(g) *Records relating to civil actions or proceedings.* The requirements of this section do not entitle an individual to the right of access to any information compiled in reasonable anticipation of a civil action or proceeding.

§ 171.35 Requests for amending records.

(a) An individual has the right to request that the Department amend a record pertaining to her or him which the individual believes is not accurate, relevant, timely, or complete. At the time the Department grants access to a record it will also furnish guidelines for requesting amendments to the record. These guidelines will also be available in the public reading room in the Department of State, Washington, D.C. between 10 a.m. and 4 p.m. Monday through Friday, except for legal public holidays, or may be obtained by writing the Information and Privacy Coordinator, Foreign Affairs Information Management Center, Department of State, Room 1239, Washington, D.C. 20520.

(b) Requests for amending records must be in writing and mailed or delivered to the Information and Privacy Coordinator, Foreign Affairs Information Management Center, Department of State, Room 1239, Washington, D.C. 20520, who will coordinate the review of the request to amend a record with the appropriate office(s). The Department will require verification of personal identity as provided § 154.5(c)(3) of these regulations before it will initiate action to amend a record to ensure that the requester is not deliberately or inadvertently seeking to change records about other persons. Such requests should contain, as a minimum, identifying information needed to locate the record, a brief description of the items of information to be amended, and the nature of the requested amendment. The requester should submit as much documentation, arguments or other data as seems warranted to support her/his request for amendment.

(c) All requests for amendments to records will be acknowledged within 10 days (excluding Saturdays, Sundays, and legal public holidays). Whenever possible all requests for amendments to records will be reviewed within 10 days (excluding Saturdays, Sundays, and legal public holidays) of their receipt by the Office responsible for the record, and the requester will be advised of the results of the review. In those cases where the review cannot be completed within 10 days, the requester will be so advised and informed when the review will be completed. Except in unusual circumstances, this review will be completed no later than 30 days (excluding Saturdays, Sundays, and legal public holidays) after receipt of the request to amend a record.

(d) In reviewing a record in response to a request to amend, the Department shall determine whether the record is relevant and necessary to accomplish a purpose of the agency and shall incorporate the criteria of accuracy, relevance, timeliness, and completeness of the record in that review.

(e) If the office responsible for the record agrees with an individual's request to amend a record, it shall:

(1) Advise the individual in writing;

(2) Amend the record accordingly; and

(3) If an accounting of disclosure has been made, advise all previous recipients of the record of the amendment and its substance.

(f) If the office responsible for the record, after an initial review of a request to amend a record disagrees with all or any portion of the requested amendment, an officer at the Deputy Assistant Secretary level or equivalent, shall:

(1) Advise the individual of its refusal and the reasons for it; and

(2) Inform the individual that she or he may request a further review in accordance with Subpart G.

* * * * *

Subpart F—Denial Procedures

§ 171.50 Denials of access or of amendment.

The decision to deny an individual access to records, or to deny an amendment request under Privacy Act provisions shall be made by: (a) The Department official of a rank not below the Deputy Assistant Secretary or equivalent level who is responsible for the system of records involved, (b) the Deputy Assistant Secretary for the Classification/Declassification Center, or her/his designees, (c) the Director/Deputy Director of Mandatory Review and the Director of Systematic Review in A/CDC, and (d) officials designated by the Under Secretary for Management/Chairman of the Oversight Committee for E.O. 12065. When an authorized official denies access to a record or portion thereof, the official will advise the individual in writing of the denial and the specific reasons therefor. The denial letter will also advise the individual of her/his right to seek administrative review of the Department's decision.

Subpart G—Appeals Procedures

§ 171.60 Appeal of denial of access to records.

(a) Review of an initial denial of access to a record under the Freedom of Information Act (5 USC 552), the Privacy Act of 1974 (5 USC 552a), or Executive Order 12065 may be requested by the individual who submitted the initial request for access. The request for review (hereinafter referred to as the appeal) must be in writing and should be sent by certified mail to the Assistant Secretary for Public Affairs, Chairman, Appeals Review Panels, Department of State, 2201 C Street, NW, Washington, D.C. 20520. The appeal should be received within 60 days of the date of receipt by the appellant of the Department's refusal to grant access to a record in whole or in part.

(b) The time for decision on the appeal begins on the date the appeal is received by the Chairman, Appeals Review Panels. The appeal of a denial of access to records shall include any documentation, information and statements to support the individual's request for access and to refute the use of the exemption(s) cited in the Department's justification concerning the denial of access.

(c) The Chairman of the Appeals Panels or her/his designee and at least two other members chosen by her/him from a list of senior officers designated for this purpose by the various bureaus of the Department shall constitute a panel to consider and decide the appeal. There shall be a written record of the reasons for the final determination. The final determination will be made within 30 working days for Executive Order and Privacy Act appeals, and within 20 working days (excluding Saturdays, Sundays, and holidays) for FOIA appeals. For good cause shown, the Chairman of the Appeals Review Panels may extend such determination beyond the 30-day period in Privacy Act cases.

(d) The Chairman shall then notify the requester in writing of the panel's decision to grant access and of the Department's regulations concerning access.

(e) When the final decision of the Panel is to refuse to grant an individual access to a record, the Chairman of the Panel shall advise the individual in writing:

(1) Of the refusal to grant the appeal and the reasons therefor including the exemptions of the Freedom of Information Act, the Privacy Act of 1974, and/or Executive Order 12065 under which access is denied;

(2) Of her/his right to seek judicial review of the Department's decision, where applicable.

§ 171.61 Appeal of refusal to amend records.

(a) Review of an initial refusal to amend a record under the Privacy Act of 1974 may be requested by the individual who submitted the initial request for amendment. The review (hereinafter referred to as the appeal) should be requested in writing within 60 days of the date the individual is informed of the Department's refusal to amend a record in whole or in part. The appeal must be in writing and should be sent by certified mail to the Assistant Secretary for Public Affairs, Chairman, Appeals Review Panels, Department of State, 2201 C Street, NW, Washington, D.C. 20520.

(b) The time for decision on the appeal begins on the date the appeal is received by the Chairman, Appeals Review Panels. The appeal should include any documentation, information or statements advanced for the amendment of the record.

(c) The Chairman of the Appeals Review Panels and two other members of the Panels designated by him shall constitute a panel to consider and decide the appeal; there shall be a written record of the reasons for the final determination. The final determination will be made within 30 days (excluding Saturdays, Sundays, and legal public holidays), unless for good cause shown, the Chairman of the Appeals Review Panels extends such determination beyond the 30-day period.

(d) When the final determination is that the record should be amended in accordance with the individual's request, the Chairman of the Appeals Review Panels shall direct the office responsible for the record to comply. A responsible official of the Department shall then:

(1) Amend the records as directed;

(2) If any accounting of the disclosure has been made, advise all previous recipients of the record of the amendment and its substance;

(3) So advise the individual in writing.

(e) When the final decision is that the request of the individual to amend the record is refused, the Chairman of the Panels shall advise the individual:

(1) Of the refusal and the reasons for it;

(2) Of her and his right to file a concise statement of the reasons for disagreeing with the decision of the Department;

(3) Of the procedures for filing the statement of disagreement;

(4) That the statement which is filed will be made available to anyone to whom the record is subsequently disclosed together with, at the discretion of the Department, a brief statement by the Department summarizing its reasons for refusing to amend the record;

(5) That prior recipients of the disputed record will be provided a copy of any statement of dispute to the extent that an accounting of disclosures was maintained; and

(6) Of her/his right to seek judicial review of the Department's refusal to amend the record.

(f) When the final determination is to refuse to amend a record and the individual has filed a statement under paragraph (e) of this section, the Department will clearly annotate the record so that the fact that the record is disputed is apparent to anyone who may subsequently have access to, use, or disclose it. When information that is the subject of a statement of dispute filed by an individual is subsequently disclosed, the Department will note that the information is disputed and provide a copy of the individual's statement. The Department may also include a brief summary of the reasons for not making a correction when disclosing disputed information. Such statements will normally be limited to the reasons given to the individual for not amending the record. Copies of the Department's statement shall be treated as part of the individual's record for granting access; however, it will not be subject to amendment by the individual under these regulations.

Subpart H—Other Agency Material

§ 171.70 Referral.

While processing a request for access, the Department may locate in its files documents originated by other Federal agencies. The Department shall refer the documents to the originating agency for review and possible declassification and release to the requester. The originating agency is then responsible for contacting the requester directly concerning the release of the material and for notifying the Department of its determination. The Department of State will notify the requester of the referral unless the association of the reviewing agency with the information requires protection in the interest of national security.

§ 171.71 Concurrence.

While processing a request for access, the Department may locate Department of State documents containing information originated by or of substantive interest to other Federal agencies. The Department shall refer these documents or portions thereof to the originating or interested agency for review, possible declassification and concurrence regarding the documents' release. The other agency will then return the documents to the Department so that it may contact the requester regarding the material.

DEPARTMENT OF TRANSPORTATION

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NOTICE OF SYSTEMS OF RECORDS

The identification of the operating unit or units within the Department to which the particular system of records pertains appears as

'DOT/' followed by a designating abbreviation. The abbreviations and their meanings are as follows:

OST - Office of the Secretary of Transportation
CG - United States Coast Guard
FAA - Federal Aviation Administration
FHWA - Federal Highway Administration
FRA - Federal Railroad Administration
MARAD – Maritime Administration
NHTSA - National Highway Traffic Safety Administration
RSPA - Research and Special Programs Administration
SLS - Saint Lawrence Seaway Development Corporation
TSC - Transportation Systems Center
UMTA - Urban Mass Transportation Administration

PREFATORY STATEMENT OF GENERAL ROUTINE USES

The following routine uses apply to, except where otherwise noted or where obviously not appropriate, each system of records set forth below.

1. In the event that a system of records maintained by the Department to carry out its functions indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether federal, state, local or foreign, charged with the responsibility of investigation or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto.

2. A record from this system of records may be disclosed, as a routine use, to a federal, state or local agency maintaining civil, criminal or other relevant enforcement information or other pertinent information, such as current licenses if necessary to obtain information relevant to a Department decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant or other benefit.

3. A record from this system of records may be disclosed, as a routine use, to a federal agency, in employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter.

4. A record from this system of records may be disclosed, as a routine use, in the course of presenting evidence to a court, magistrate or administrative tribunal, including disclosures to opposing counsel in the course of settlement negotiations.

5. The information contained in this system of records will be disclosed to the Office of Management and Budget in connection with the review of private relief legislation as set forth in OMB Circular No. A-19 at any stage of the legislative coordination and clearance process as set forth in that Circular.

6. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In such cases, however, the Congressional office does not have greater right to records than the individual. Thus, the disclosure may be withheld from delivery to the individual where the file contains investigative or factual information or to other materials which are being used, or are expected to be used, to support prosecution or fines against the individual for violations of a statute, or of regulations of the Department based on statutory authority. No such limitations apply to records requested for Congressional oversight or legislative purposes; release is authorized under 49 CFR 10.35(a)(9).

7. One or more records from a system of records may be disclosed routinely to NARS (GSA) in records management inspections being conducted under the authority of 44 U.S.C. 2904 and 2906.

8. Access to Systems of Records of the Department is authorized to member(s) of the Office of Inspector General where the records are considered '...pertinent to the DOT programs or operations being reviewed. Existing orders or (internal) directives contrary to this provision are hereby superseded.' The Secretary of Transportation by the foregoing has clarified the role of Inspector General personnel 'who have need for the record(s) in the performance of their duties.'

9. The Department may make available to another agency or instrumentality of any governmental jurisdiction, including State and local governments, listings of names from any System of Records in the Department for use in law enforcement activities, either civil or criminal, or to expose fraudulent claims, regardless of the stated purpose for the collection of the information in the System of Records. These enforcement activities are generally referred to as 'matching' programs because two lists of names are checked for match using automated assistance.

This routine use is advisory in nature and does not offer unrestricted access to Systems of Records for such law enforcement and related antifraud activities. Each request will be considered on the basis of its purpose, merits, cost effectiveness and alternatives using 'Revised Supplemental Guidance for Conducting Matching Programs' published by the Director, Office of Management and Budget, dated May 11, 1982.

APPENDIX I

LOCATION OF CG DISTRICTS AND HEADQUARTERS UNITS.

1. COMMANDER
1st Coast Guard District
150 Causeway Street
Boston, MA 02114

2. COMMANDER
2nd Coast Guard District
1430 Olive Street
St. Louis, MO 63103

3. COMMANDER
3rd Coast Guard District
Governors Island
New York, NY 10004

4. COMMANDER
5th Coast Guard District
Federal Building
431 Crawford Street
Portsmouth, VA 23705

5. COMMANDER
7th Coast Guard District
51 S.W. 1st Ave.
Miami, FL 33130

6. COMMANDER
8th Coast Guard District
Hale Boggs Federal Building
500 Camp Street
New Orleans, LA 70130

7. COMMANDER
9th Coast Guard District
1240 East 9th St.
Cleveland. OH 44199

8. COMMANDER
11th Coast Guard District
Union Bank Building
400 Oceangate Building
Long Beach, CA 90822

9. COMMANDER
12th Coast Guard District
Government Island
Alameda, CA 94501

10. COMMANDER
13th Coast Guard District
Federal Bldg
915 Second Ave.
Seattle, WA 98174

11. COMMANDER
14th Coast Guard District
Prince Kalanianaole
Federal Building
300 Ala Moana Building
Honolulu, HI 96580

12. COMMANDER
17th Coast Guard District
P.O. Box 3-5000
Juneau, Alaska 99802

13. SUPERINTENDENT
U.S. COAST GUARD ACADEMY
New London, CT 06320

14. COMMANDING OFFICER
U.S. COAST GUARD YARD
Curtis Bay,
Baltimore, MD 21226

15. COMMANDING OFFICER
US COAST GUARD
TRAINING CENTER
Governors Island
New York, NY 10004

16. COMMANDING OFFICER
U.S. Coast Guard Training Center
Cape May, NJ 08204

18. COMMANDING OFFICER
U.S. Coast Guard
Supply Center

830 3rd Ave
Brooklyn, NY 11232

19. COMMANDING OFFICER
U.S. COAST GUARD INSTITUTE
P.O. Substation 18
Oklahoma City, OK 73169

20. COMMANDING OFFICER
U.S COAST GUARD
AIRCRAFT REPAIR & SUPPLY CENTER
Elizabeth City, NC 27909

21. COMMANDING OFFICER
U.S. Coast Guard Aviation
Training Center
Mobile, AL 36608

22. COMMANDING OFFICER
U.S. COAST GUARD RADIO
STATION NHM)
7223 Telegraph Rd.
Alexandria, VA 22310

23. COMMANDING OFFICER
U.S. COAST GUARD RESERVE
TRAINING CENTER
Yorktown, VA 23690

25. COMMANDER, COAST GUARD
ACTIVITIES, EUROPE
London
Box 50
FPO New York, NY 09510

26. COMMANDING OFFICER
U.S. COAST GUARD
TRAINING CENTER
Petaluma, CA 94952

27. COMMANDING OFFICER U.S. COAST GUARD AVIATION Technical Training Center
Elizabeth City, NC 27909

28. COMMANDING OFFICER
U.S. COAST GUARD
ELECTRONICS ENGINEERING
CENTER
Wildwood, NJ 08260

29. COMMANDING OFFICER
RESEARCH & DEVELOPMENT CENTER
Avery Point
Groton, CT 06340

30. COMMANDING OFFICER
Pay and Personnel Center (PPC)
444 S.E. Quincy St.
Topeka, KS 66683

DOT/ALL-1

System name:

System Name: DOT Grievance Records Files.

System location:

System Location: Records are maintained in the personnel office which services the aggrieved employee if the grievance was processed under DOT 3770.2, Agency Administrative Grievance System, pursuant to 5 CFR Part 771. If processed under a negotiated grievance procedure from an approved labor agreement on behalf of a member, of a group of members, of a recognized collective bargaining unit, or if processed by the union, the grievance record shall be maintained in the office of the official administering the labor agreement pertainig to the collective bargaining unit.

Categories of individuals covered by the system:

Categories of Individuals: Current and former DOT employees who have submitted grievances with their respective administrations under DOT Order 3770.2, of grievances pertaining to members of DOT Collective Bargaining Units which were submitted in accordance with negotiated grievance procedures.

Categories of records in the system:

Categories of Records: The system contains records relating to grievances filed by or on behalf of DOT employees within the Department of Transportation. Grievance case files contain relevant documents used in the processing of grievances under systems applicable to DOT employees, including statements of employees, witnesses, reports of interviews and hearings, factfinders and/or arbitrator's findings and recommendations, copies of decisions and correspondence and exhibits. Grievances in DOT may be submitted and processed through individually negotiated grievance systems contained in various labor agreements applicable to different collective bargaining units throughout the agency, or as prescription in DOT 3770.2, which is the Agency Administrative Grievance System applicable to DOT headquarters employees and all employees of DOT operating administrations, except where operating administrations have promulgated their own grievance systems.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: These records and information in these records may be used:

To disclose pertinent information to the appropriate Federal, State, or local agency responsible for investigating, prosecuting, enforcing, or implementing a statute, rule, regulation, or order, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation.

To disclose information to any source from which additional information is requested in the course of processing a grievance to the extent necessary to identify the purpose(s) of the request and identify the type of information requested.

To disclose information to a Federal agency in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the conducting of a security clearance, the conducting of a security or suitability investigation of an individual, the classifying of jobs, the letting of a contract, or the issuance of a license, grant, or other benefits by the requesting agency, to the extent that the information is relevant and necessary to requesting the agency's decision on the matter.

To provide information to a congressional office from the record of an individual in response to an inquiry from that congressional office made at the request of that individual.

To disclose information to another Federal agency or to a court when the Government is party to a judicial proceeding before the court.

By the National Archives and Records Administration (General Services Administration) in records management inspections conducted under authority of 44 USC 2904 and 2906.

By the agency maintaining the records or the Office of Personnel Administration (OPM), in the production of summary descriptive statistics and analytical studies in support of the function for which the records are collected and maintained, or for related work force studies. While published statistics and studies do not contain individual identifiers, in some instances the selection of elements of data included in the study may be structured in such a way as to make the data individually identifiable by officials.

To disclose information to officials of the Merit Systems Protection Board, including the Office of the Special Counsel, the Federal Labor Relations Authority and its General Counsel, or the Equal Employment Opportunity Commission when requested in performance of their authorized duties.

To disclose in response to a request for discovery or for appearance of a witness, information that is relevant to the subject matter involved in a pending judicial or administrative proceeding.

To provide information to officials of labor organizations recognized under the Civil Service Reform Act when relevant and necessary to their duties of exclusive representation concerning personnel policies, practices, and matters affecting work conditions.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: These records are maintained in file folders.

Retrievability:

Retrievability: These records are retrieved by the names of the individuals on whom they are maintained, or by names and local identification of unions.

Safeguards:

Safeguards: These records are maintained in lockable metal filing cabinets to which only authorized personnel have access.

Retention and disposal:

Retention and Disposal: These records may be disposed of 3 years after closing of the case. Disposal is by shredding or burning.

System manager(s) and address:

System Manager(s) and Address: Director of Personnel, M-10
U.S. Department of Transportation
400 7th Street, SW, Room 9401
Washington, D.C. 20590

Notification procedure:

Notification Procedure: It is required that individuals submitting grievances be provided, on request, a copy of the record under the grievance process. They may, however, contact the agency personnel or designed office where the action was processed regarding the existence of such records on them. They must furnish the following information for their records to be located and identified.

Name.
Date of Birth.
Approximate date of closing of the case and kind of action taken.
Organizational component involved.
Statement as to whether the grievance was processed under administrative or negotiated grievance procedures.

Record access procedures:

Record Access Procedure: It is required that individuals submitting grievances be provided, on request, a copy of the record under the grievance process. However, after the action has been closed an individual may request access to the official copy of the grievance file by contacting the agency personnel or designated office where the action was processed.

Individuals must provide the following information for their records to be located and identified.
Name.
Date of Birth.
Approximate date of closing of the case and kind of action taken.
Organization component involved.
Statement as to whether the grievance was processed under administrative or negotiated grievance procedures. Individuals requesting access must also follow the DOT Rules regarding identification, (Title 49, Part 10, Section 10.37) to ensure he or she is who they claim to be.

Contesting record procedures:

Contesting Record Procedure: Reviews of requests from individuals seeking amendment of their records which have been the subject of a judicial or quasi-judicial action will be limited in scope. Review of amendment requests of these records will be restricted to determining if the record accurately documents the action of the agency ruling on the case, and will not include a review of the merits of the action, determination, or finding. Individuals wishing to request amendment to their records to correct factual errors should contact the agency personnel or designated office where the grievance was processed. Individuals must furnish the following information for their records to be located and identified.

Name.
Date of Birth.
Approximate date of closing of the case and kind of action taken.
Organizational component involved.
Statement as to whether the grievance was processed under administrative or negotiated grievance procedures.
Individuals requesting amendment must also follow the Department of Transportation Privacy Act Regulations regarding amendments, Title 49, Part 10, Sections 10.41, 10.43, 10.45, and 10.51.

Record source categories:

Record Source Categories: Information in this system of records is provided

By the individual on whom the records is maintained.
By testimony of witnesses.
By agency officials.
From related correspondence from organization or persons.

DOT/ALL-2

System name:

System Name: Safety Management Information System (SMIS). DOT/ALL.

Title refers to data concerning occupational safety and health.

System location:

System Location: Department of Transportation (DOT),
Office of the Assistant Secretary for
Administration,
400 7th St., SW,
Washington, D.C., 20590.

Categories of individuals covered by the system:

Categories of Individuals: All Federal, Civilian/Military Employees of the Department of Transportation and DOT Real and Personal Property.

Categories of records in the system:

Categories of Records: All DOT Occupational Safety and Health Loss Management Reporting Records.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: Issue reports and statistical information to the U.S. Department of Labor, OSHA. Provides information for safety and health program management analysis and functions and interface with workmens compensation charges, and maintain a 5-year OSHA requirement for record retention.

General routine uses apply.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: Magnetic Tape and Disks.

Retrievability:

Retrievability: The records are retrieved by case identifying number, and can be accessed by employees who have a need for the record in the performance of their duties, primarily headquarters and regional safety program managers.

Safeguards:

Safeguards: The records cannot be accessed without a code name, a specific control number and a password. Regional and headquarters safety program managers have access to the records.

Retention and disposal:

Retention and Disposal: The records are kept 5 years then disposed of by blanking or erasing the magnetic tape or disk.

System manager(s) and address:

System Manager: Office of Installation and Logistics (M-60),
Chief, Internal Occupational Safety and
Health Branch,
Department of Transportation,
Office of the Secretary,
400 7th St., SW,
Washington, D.C. 20590.

Notification procedure:

Notification Procedure: Data may be provided by written request, signed by the individual whose record(s) are being requested. Direct requests to: Chief, Internal Occupational Safety and Health Branch at the above address.

Record access procedures:

Record Access Procedures: Individuals may gain access to their records by a request to their Regional Safety Manager, Headquarters Safety Manager or the System Manager given above.

Contesting record procedures:

Contesting Record Procedures: If the individual is not satisfied by the safety manager within their operating element of DOT, they may contest their records with the Office of Installations and Logistics. If resolution is still not satisfactory to the individual an appeal may be filed with the Secretary of Transportation addressed to the General Counsel: Department of Transportation, Office of the Secretary, Office of the General Counsel, 400 7th Street, SW, Washington, D.C. 20590.

Record source categories:

Record Source Categories: All records are derived from reports in a format consistent with the requirements established by the guidelines of the U.S. Department of Labor.

DOT/ALL 3

System name:

System Name: Application for U. S. Government Motor Vehicle Operator's Identification Card (Government Drivers License), DOT/ALL.

System location:

System Location: Department of Transportation (DOT), Office of the Secretary (OST),
Transportation Branch (M-444),
400 7th Street, SW, Room 2318,
Washington, DC 20590. Corresponding application offices in all other DOT subordinate Administrations.

Categories of individuals covered by the system:

Categories of Individuals: This system of records contains information regarding all DOT employees who are licensed to operate government vehicles.

Categories of records in the system:

Categories of Records: Application for Operator's Identification Card.

Physical fitness inquiry.
Accident Reports.
NHTSA Vehicle Driver Register Report.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: Determine qualifications and fitness for issuance, retention, revocation or renewal of operators license.

Limited access to issuing official and those persons whose official duties require such access.

See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: The records are maintained in a locked filing cabinet in folders, at each location within OST and Administrations.

Retrievability:

Retrievability: These records are filed in alphabetical order with a cross reference by permit number in a log.

Safeguards:

Safeguards: Limited access to issuing official and those persons whose official duties require such access.

Retention and disposal:

Retention and Disposal: Retained for 3 years after separation, retirement or transfer of individual or expiration of license and then destroyed.

System manager(s) and address:

System Manager: Chief, Transportation Branch,
Department of Transportation,
Office of the Secretary,
Chief, Transportation Branch 400 7th Street, SW, Room 2318,
Washington, DC 20590.

Notification procedure:

Notification Procedure: Inquiries may be addressed to:
Department of Transportation,
Office of the Secretary,
Transportation Branch, M-444,
400 7th Street, SW, Room 2318,
Washington, DC 20590.

Record access procedures:

Record Access Procedure: Individuals who desire access to the information about themselves in this system of records should contact, or address their inquiries to, the system manager or to the appropriate office with their own organization.

Contesting record procedures:

Record Contest Procedure: To contest a record, contact the System Manager.

Record source categories:

Record Source Categories: Applications received from individuals for operator's license.

Accident reports received from individuals.

DOT/ALL-4

System name:

Station Message Detail Recording (SMDR).

System location:

U.S. Department of Transportation, Assistant Secretary for Administration, Room 9112, 400 7th Street, SW., Washington, DC 20590.

Decentralized segments are located at Operating Administrations' contacts offices.

Categories of individuals covered by the system:

Department of Transportation employees who make Federal Telecommunications Systems (FTS) and Domestic and International Commercial Long Distance calls from the three Headquarters Buildings: The Nassif and Trans Point Buildings and Federal Building-10A.

Categories of records in the system:

Records relating to the use of the Department's administrative telephones to place FTS and Commercial Long Distance calls, records indicating assignment of telephone numbers to Departmental employees, and records relating to the location of telephones.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Magnetic tape storage via batch processing and paper copy.

Retrievability:

Records are retrieved by telephone number or routing symbol, from the telecommunications contacts in the Operating Administrations and the Telecommunications Management Branch in OST.

Safeguards:

Only telecommunications personnel within the Office of the Secretary and operation and maintenance contract personnel have access to tapes. Telecommunications contacts and managers in OST and the Operating Administrations will have access to printed records. Printed records will have a cover sheet indicating Privacy Act coverage.

Retention and disposal:

Records are disposed of as provided in National Archives and Records Administration General Records Schedule 12.

System manager(s) and address:

Chief, Telecommunications Management Branch, M-33, U.S. Department of Transportation, Office of the Secretary, Office of Information Resource Management, 400 Seventh Street SW., Room 9112, Washington, DC 20590.

Notification procedure:

Contact Telecommunications Management Branch, M-33, at the above address.

Record access procedures:

Contact Telecommunications Management Branch, M-33 at the above address or telecommunications contacts in the Operating Administrations.

Individuals may review their own data upon presentation of a valid Department of Transportation identification card to their Operating Administration contact or the Telecommunications Management Branch in OST.

Record source categories:

Telephone assignment records, call detail listings and results of administrative inquiries relating to assignment of responsibility for placement of specific long distance calls.

Systems exempted from certain provisions of the act:

None.

DOT/ALL-5

System name:

Employee Counseling Services Program Records.

Security classification:

None.

System location:

Records are maintained in the office of the Employee Counseling Service which provides counseling to the employee.

Note.—In order to meet the statutory requirement that agencies provide appropriate prevention, treatment, and rehabilitation programs and services for employees with alcohol or drug programs, and to better accommodate establishment of a health service program to promote employees' physical and mental fitness, it may be necessary for the Department of Transportation (DOT) to negotiate for use of the counseling staff of another Federal, state, or local government, or private sector agency or institution. This system also covers records on DOT employees that are maintained by another Federal, state, or local government, or private sector agency or institution under such a negotiated agreement.

Categories of individuals covered by the system:

Current and former DOT employees who have been counseled or otherwise treated regarding alcohol or drug abuse or for personal or emotional health problems.

Categories of records in the system:

Records in this system include documentation of visits to employee counselors (Federal, state, local government, or private) and the diagnosis, recommended treatment, results of treatment, and other notes or records of discussions held with the employee made by the counselor. Additionally, records in this system may include documentation of treatment by a private therapist or a therapist at a Federal, state, local government, or private institution.

Authority for maintenance of the system:

5 U.S.C. 3301 and 7901, 21 U.S.C. 1101, 42 U.S.C. 4541 and 4561, and 44 U.S.C. 3101.

Purpose(s):

These records are used to document the nature of the individual's problem and progress made and to record an individual's participation in and the results of community or private sector treatment or rehabilitation programs.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

a. To disclose information to qualified personnel for the purpose of conducting scientific research, management audits, financial audits, or program evaluation, but such personnel may not identify, directly or indirectly, any individual patient in any report or otherwise disclose patient identities in any manner (when such records are provided to qualified researchers employed by DOT, all patient identifying information shall be removed).

b. To disclose information, when an individual to whom a record pertains is mentally incompetent or under legal disability, to any person who is responsible for the care of the individual.

c. To disclose information to the Department of Justice that is relevant and necessary to evaluate and defend claims against the United States that are based upon participation in alcohol, drug, or other treatments or rehabilitation programs conducted by DOT.

DOT's general routine uses (49 FR 15345) do not apply to this system or records. These are the only routine uses provided for DOT's Employee Counseling Services Program records. Furthermore, in many instances a full disclosure of the contents of the record is not required. Whenever possible, a partial disclosure will be made or a summary of the contents of the record will be disclosed. Full disclosure of the record will be made only when a partial disclosure or a summary will not suffice.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

These records are maintained in file folders.

Retrievability:

These records are retrieved by the name or social security number of the individual on whom they are maintained or by a unique case file identifier.

Safeguards:

These records are maintained in locked file cabinets with access strictly limited to employees directly involved in the DOT's Employee Counseling Services Program.

Retention and disposal:

Records are maintained for three to six years after the employee's last contact with DOT's Employee Counseling Services Program.

System manager(s) and address:

Director of Personnel, Office of the Secretary, Department of Transportation, Room 9101, 400 7th Street, SW, Washington, DC 20590

Notification procedure:

DOT employees wishing to inquire whether this system of records contains information about them should contact the DOT Employee Counseling Services Program coordinator who arranged for counseling or treatment. Individuals must furnish the following information for their records to be located and identified:

a. Name.

b. Date of Birth.

Record access procedures:

DOT employees wishing to request access to records pertaining to them should contact the DOT Employee Counseling Services Program coordinator who arranged for counseling or treatment. Individuals must furnish the following information for their records to be located and identified:

a. Name.

b. Date of birth.

An individual must also follow DOT's regulations regarding maintenance of and access to records pertaining to individuals (49 CFR Part 10).

Contesting record procedures:

DOT employees wishing to request amendment to these records should contact the DOT Employee Counseling Services Program coordinator who arranged for counseling or treatment. Individuals must furnish the following information for their records to be located and identified:

a. Name.

b. Date of birth.

An individual must also follow DOT's regulations regarding maintenance of and access to records pertaining to individuals (49 CFR Part 10).

Record source categories:

Information in this sytem of records comes from the individual to whom it applies, the supervisor of the individual if the individual was referred by the Supervisor, the Employee Counseling Service Program staff member who records the counseling session, and therapists or institutions providing treatment.

DOT/ALL 6

System name:

Workers' Compensation Information System, DOT.

System location:

These records will be maintained at the human resource management offices in DOT Washington, DC., regional and center Headquarters, the Consolidated Uniform Payroll System Office at the Mike Monroney Aeronautical Center in Oklahoma City, Oklahoma, and at the Office of Personnel, Office of the Secretary, in Washington, DC.

Categories of individuals covered by the system:

All DOT employees who file claims for Federal Employees' Compensation (FEC) or report work-related injuries or occupational health-related illnesses.

Categories of records in the system:

Records regarding Office of Workers' Compensation (OWCP) claims filed by DOT employees. The system consists of information which is derived from DOT personnel and payroll records and OWCP claims records maintained on DOT employees.

Authority for maintenance of the system:

5 U.S.C. Chapter 81, 20 CFR Chapter I and 5 U.S.C. 552a, Department of Labor and DOT implementing regulations.

Purposes:

These records are maintained in accordance with law and regulation in order to ensure proper and efficient management of the OWCP within DOT. These records are required to assure compliance with the law and regulations and for maintaining program cost analysis and comparison information. These records will provide occupation-related data including personnel data for the purpose of determining patterns of injury or illness and determining case disposition information, and will be used as a source of information for purposes of controverting claims when appropriate, monitoring recovery of injured employees and offering of light duty assignments. Records in this system may also be integrated with other DOT program-related personnel information as required for the sound policy or fiscal management of the program and the agency's mission, or in response to legislative and/or administrative initiatives or requirements. These records may be used as a source of information for the development of policy guidance and/or training programs, for program review and evaluation purposes, and for the provision of management information on an as required or ad hoc basis.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records are to be held in confidence and no information shall be disclosed except:

a. To the Department of Labor, OWCP, OSHA, and/or OPM for review of appropriate case and/or investigative actions in collaboration with them.

b. Also, see the Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

These records are maintained in file folders, magnetic tape and disk. Storage is at the geographic location of the servicing human resource management offices, the Headquarters human resource management policy offices, and the Consolidated Uniform Payroll Office in Oklahoma City, Oklahoma.

Retrievability:

Records are maintained by employee name, social security and FEC case numbers, and regional/location identifiers.

Safeguards:

Access to and use of these records are limited to those persons whose official duties require such access.

Retention and disposal:

These records are maintained and disposed of in accordance FPMR 101-11.4, General Records Schedules.

System manager(s) and address:

Manager, Department of Transportation Workers' Compensation Program, Office of the Secretary, Office of Personnel, Personnel Policy Division, 400 Seventh Street SW, Washington, DC 20590
Office of Labor and Employee Relations, Federal Aviation Administration, 800 Independence Avenue SW, Washington, DC 20591
Chief, Civilian Personnel Division, United States Coast Guard, 200 Second Street SW, Washington, DC 20593-001
Director, Office of Personnel and Training, Federal Highway Administration, 400 Seventh Street SW, Washington, DC 20590
Director, Office of Personnel, Federal Railroad Administration, 400 Seventh Street SW, Washington, DC 20590
Director, Office of Personnel, National Highway Traffic Safety Administration, 400 Seventh Street SW, Washington, DC 20590
Director, Office of Personnel, Urban Mass Transportation Administration, 400 Seventh Street SW, Washington, DC 20590
Director, Office of Personnel, Maritime Administration, 400 Seventh Street SW, Washington, DC 20590
Chief, Personnel Division, Research and Special Programs Administration, 400 Seventh Street SW, Washington, DC 20590
Chief, Personnel Operations Division, Office of the Secretary, 400 Seventh Street SW, Washington, DC 20590
Director, Office of Personnel and Training, Office of Inspector General, 400 Seventh Street SW, Washington, DC 20590
Director, Office of Personnel and Safety, Saint Lawrence Seaway Development Corporation, 180 Andrews Street, Massena, NY 13662-1763
Department of Transportation, Regional Human Resource Management Officers

Notification procedure:

Individuals wishing to know if their records appear in this system of records may inquire in person or writing to the system manager.

Record access procedures:

Individuals who desire information about themselves contained in this system of records should contact or address their inquiries to the system manager.

Contesting record procedures:

Individuals who desire to contest records about themselves contained in this system should contact or address their inquiries to the system manager.

Record source categories:

Information contained in this system is received from DOT records or OWCP records received from and maintained on DOT and its employers.

DOT/CG 501

System name:

System Name: Auxiliary Management Information System (AUXMIS). DOT/CG.

System location:

System Location: Department of Transportation (DOT),
United States Coast Guard (CG),
Office of Boating, Public & Consumer Affairs (G-B)
2100 2nd Street, SW, Room 4304,
Washington, DC 20593.

Categories of individuals covered by the system:

Categories of Individuals: All present Coast Guard Auxiliarists.
All Auxiliarists disenrolled since 1974.

Categories of records in the system:

Categories of Records: Personal information (name, address, birthdate, Social Security Number (SSN), phone number).
Auxiliary qualifications information (Instructor, Examiner, Specialty).
Auxiliary Activities information (patrols conducted, classes taught).
Information on boats, radio stations or aircraft owned by Auxiliarists.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: Cumulative unit and individual activity summaries for use as a management tool by all Auxiliary units.
Identification cards for all Auxiliary members.
Alphabetical nationwide cross-reference listing for use by headquarters and district office staffs.
Mailing lavels fordistrrict mailings to Auxiliaries.
An annual member summary of all information on each member which is mailed directly to the member concerrned.
Used by:
District Directors of Auxiliary.
Chief Director of Auxiliary.
All elected and appointed officers of the Auxiliary.
See Preface State of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: AUXMIS master records contain personal and activity information concerning USCG Auxiliarists and Director of Auxiliary (DIRAUX). Each person's record consists of 500 characters. The approximately 50,000 records which are stored in the system presently are stored on both magnetic tape and magnetic disk.

Retrievability:

Retrievability: The current AUXMIS master file residing on magnetic disk is retrieved by number and name of the individual and can be accessed by those Directors of Auxiliary with access to the CDC-3300 system at any time. Those DIRAUX without access to the CDC-3300 can request inquiries to be done at the central site by the Office of Boating Safety.

Safeguards:

Safeguards: The master files cannot be accessed without the proper control cards. All DIRAUX and Chief, Director of Auxiliary have the means available to access the master files.

Retention and disposal:

Retention and Disposal: Retention of weekly tape files is 180 days at which time they are erased
Retention of disk files is 1 week, and then updated.
Retention of the year-end tape file is permanent.

System manager(s) and address:

System Manager: Chief Director of Auxiliary, G-BAU,
Department of Transportation,
United States Coast Guard,
2100 2nd Street, SW,
Washington, DC 20593.

Notification procedure:

Notification Procedure: Department of Transportation
United States Coast Guard Headquarters,
Management Analysis Division, G-CMA,
2100 2nd Street, SW,
Washington, DC 20593.
Written request must be signed by the individual.

Record access procedures:

Record Access Procedure: Individuals in the Auxiliary have their record available on a quarterly basis in the Flotilla Roster produced for their flotilla. All information except the Social Security Number and date of birth is on the Flotilla Roster. On an annual basis, the member receives a personal report concerning himself only which contains all elements of his record. At any time during the year, members of the Auxiliary can request through the DIRAUX where attached for access to their member's jacket retained by DIRAUX or can request a report in the annual report format.

Contesting record procedures:

Contesting Record Procedure: Record content can be contested at any time, and if error is found all DIRAUX have the means to correct individual records. Members are provided the means to correct their own addresses, SSN's, names and phone numbers and occupations.

Record source categories:

Record Source Categories: All records pertaining to Auxiliarists are derived from forms which are filled out by the individuals involved on a voluntary basis.

DOT/CG 503

System name:

System Name: Motorboat Registration. DOT/CG.

System location:

System Location: Department of Transportation (DOT),
United States Coast Guard (CG),
Commandant (G-B)
2100 2nd Street, SW,
Washington, DC 20593.

Categories of individuals covered by the system:

Categories of Individuals: Boat owners registering for the issuance of boat identification numbers for boats recorded in the States of Washington, Alaska, and New Hanpshire and in American Samoa.

Categories of records in the system:

Categories of Records: Tapes; (Computer listings on disk with information on boat owner: Name, address, and boat information).
Printouts- Same.
Office files- Same.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: Used by:
Authorized Coast Guard Personnel involved in the Coast Guard boating safety program.
To renew old registrations to issue new number to all motorboats.
The purpose of the numbering system is for identification of recreational boats in case of accident, loss, theft, or abandonment.
See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage:
All records are maintained in file cabinets.

Retrievability:

Retrievability: By name/number.

Safeguards:

Safeguards: Only authorized office personnel have access to subject files. All personnel screened prior to allowing access. Building secured and guarded after duty hours.

Retention and disposal:

Retention and Disposal: Records are retained permanently.

System manager(s) and address:

System Manager: Chief, Office of Boating, Public and Consumer Affairs
Department of Transportation,
United States Coast Guard Headquarters,
2100 2nd Street, SW,
Washington, DC 20593.

Notification procedure:

Notification Procedure: Contact:
Department of Transportation,
United States Coast Guard Headquarters,
Commandant (G-CMA),
2100 2nd Street, SW,
Washington, DC 20593.
Written request must be signed by the individual whose record(s) are being requested.

Record access procedures:

Record Access Procedure: Procedures may be obtained by visiting Coast Guard Headquarters or writing to:
Department of Transportation,
United States Coast Guard Headquarters,
Commandant (G-CMA),
2100 2nd Street, SW,
Washington, DC 20593.

Contesting record procedures:

Contesting Record Procedure: Same as 'Record Access Procedure.'

Record source categories:

Record Source Categories: Individual applicant.

DOT/CG 505

System name:

System Name: Recreational Boating Law Enforcement Case Files. DOT/CG.

System location:

System Location: Department of Transportation (DOT),
United States Coast Guard (CG),
Coast Guard District Offices and Headquarters unit offices for records of incidents in their localities. Addresses in Appendix 1.

Categories of individuals covered by the system:

Categories of Individuals: Owners/operators of vessels found in violation of Federal recreational boating laws or regulations.

Categories of records in the system:

Categories of Records: Case files containing names of violators, their addresses and social security numbers, together with descriptions of boats and notations of the alleged violations of Federal boating laws, and copies of correspondence relating to the disposition of any penalty involved.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: Information contained in this system is used by authorized Coast Guard employees in performance of their duties to determine the appropriate enforcement action to be taken by the Coast Guard in individual cases as well as providing a record of repeated offenders.
See Prefatory Statement of General Routine Uses.

Disclosure to consumer reporting agencies:

Disclosures pursuant to 5 USC 552a(b)(12). Disclosures may be made from this systems to 'consumer reporting agencies' (collecting on behalf of the U.S. Govt.) as defined in the Fair Credit Reporting Act (15 USC 1681a(f)) or the Federal Claims Collection Act of 1982 (31 USC 3701(a)(3)).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: Information in this system is maintained on index cards, in logbooks, and in file folders.

Retrievability:

Retrievability: Information is retrieved by name of individual in alphabetical file.

Safeguards:

Safeguards: Information available only to authorized personnel. Files maintained in office in building which is secured during non-working hours and which has a roving guard patrol.

Retention and disposal:

Retention and Disposal: Records in system maintained for three years before disposal by mutilation or burning.

System manager(s) and address:

System Manager: Chief, Office of Boating, Public and Consumer Affairs
Department of Transportation,
United States Coast Guard Headquarters,
2100 2nd Street, SW,
Washington, DC 20593.

Notification procedure:

Notification Procedure: Department of Transportation,
United States Coast Guard Headquarters,
Commandant (G-CMA),
2100 2nd Street, SW,
Washington, DC 20593.

Record access procedures:

Record Access Procedure: Procedures may be obtained by writing to or visiting the Commandant (G-CMA) at the address in 'System Manager', or by visiting the local Coast Guard District or Unit where incident occurred.
Proof of identity will be required prior to release of records. A military identification card, driver's license or similar document is considered suitable identification.

Contesting record procedures:

Contesting Record Procedure: Same as 'Notification Procedure.'

Record source categories:

Record Source Categories: Information obtained from reports of Coast Guard boarding officers and marine safety investigations as well as from reports by citizens concerning possible violations of law or regulation.

Systems exempted from certain provisions of the act:

Exemptions: Portions of this system may be exempt from disclosure under the provisions of 5 USC 552a(k)(2) which provide in part, that investigatory material compiled for law enforcement purposes may be withheld from disclosure to the extent that the identity of the source of the information would be revealed by disclosing the investigatory record, and the source has received an express guarantee that his identity would be held in confidence, or, prior to the effective date of this section, if the source received an implied promise that his identity would be held in confidence.

DOT/CG 507

System name:

System Name: Coast Guard Supplement to the Manual of Courts Martial Investigations. DOT/CG.

System location:

System Location: Department of Transportation (DOT),
United States Coast Guard (CG),
Commandant (G-L),
2100 2nd Street, SW, Washington, DC 20593.

Categories of individuals covered by the system:

Categories of Individuals: Military and civilian employees of the Coast Guard and other individuals who may be involved in any Coast Guard investigation.

Categories of records in the system:

Categories of Records: Investigations into injuries to Coast Guard personnel, mishaps involving vessels, aircraft and vehicles.
Incidents involving fires, explosions, for loss or destruction of classified material.
Circumstances involving equipment failures and property damage, loss, or destruction.
Circumstances involving violation of standards of conduct personnel.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: Used by authorized Coast Guard personnel in connection with the performance of their official duties which include, but are not limited to:
Accident prevention.
Payment of disability benefits,
Improvement of internal Coast Guard procedures and practices.
Reports are used in connection with the resolution of claims against the Coast Guard as well as claims asserted by the government.
Reports are transmitted to the Veterans Administration to assist that agency in determining entitlement to benefits administered by it.
See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: Records maintained in storage cabinets in division files for three years and then forwarded to the Federal Records Depository.

Retrievability:

Retrievability: Card index maintained permitting access to individual investigations by listing identifiable data such as name of person, vessel or other facility involved in investigation.

Safeguards:

Safeguards: Authorized personnel are granted access to these records in connection with the performance of their official duties.
Records are disclosed to members of the public under the provisions of the FOIA. These requests are considered on a case by case basis.

Retention and disposal:

Retention and Disposal: Records are maintained in division files for three years and then forwarded to Federal Records Depository

System manager(s) and address:

System Manager: Chief Counsel,
Department of Transportation,
United States Coast Guard Headquarters,
2100 2nd Street, SW,
Washington, DC 20593.

Notification procedure:

Notification Procedure: Written request must be signed by the individual. Write to or visit:
Department of Transportation,
United States Coast Guard Headquarters,
Commandant (G-CMA),
2100 2nd Street, SW,
Washington, DC 20593.

Record access procedures:

Record Access Procedure: All individuals whose conduct is the subject of these investigations are designated at the outset as parties to these investigations and accorded their rights as such. Following completion of the investigative reports, parties will be provided with copies upon request.
At all subsequent times parties may have access to the investigative records by writing to or visiting Commandant (G-CMA), at the address in 'Notification Procedure' above or the local unit to which assigned.
Proof of identity may be required prior to release of records. Military identification, driver's license or similar document will be considered suitable identification.

Contesting record procedures:

Contesting Record Procedure: A party has the right to make argument and/or submit statements on his own behalf during the course of an investigation or subsequent to its conclusion. Write or visit locations as indicated in 'Record Access Procedure.'

Record source categories:

Record Source Categories: Coast Guard investigating officers, military and civilian personnel.

DOT/CG 508

System name:

Claims and Litigation, DOT/CG.

System location:

Department of Transportation (DOT). Litigation records are primarily located at Coast Guard Headquarters. Claims records are located at Coast Guard Headquarters and at the two Maintenance and Logistics Commands.

a. Litigation:
United States Coast Guard (CG), Commandant (G-LCL), 2100 2nd Street, SW., Washington, DC 20593-0001

b. Claims:
United States Coast Guard (CG), Commandant (G-LCL), 2100 2nd Street, SW., Washington, DC 20593-0001

Commander, Maintenance and Logistics Command Atlantic (ml), Governors Island, Building 400, New York, New York 10004-5098

Commander, Maintenance and Logistics Command Pacific (ml), Coast Guard Island, Alameda, California 94501-5100

Categories of individuals covered by the system:

Persons who have filed a claim initiated litigation, or are the subject of an affirmative claim or litigation on behalf of the Coast Guard. Persons would include corporations, estates, insurance companies or other legal entities authorized by Federal law to file a claim or lawsuit against the United States or United States Coast Guard.

Categories of records in the system:

Lawsuits and claims for and against the Coast Guard. Files may include all background information obtained in adjudicating or deciding the Coast Guard's position on the lawsuit or claim.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

a. Disclosures from this system may be made to Federal employees responsible for collecting debts owed the United States pursuant to 5 U.S.C. 5514, 31 U.S.C. 3716 and 37 U.S.C. 1007(c), including collection by means of referral to the IRS for deduction from tax refunds pursuant to 31 U.S.C. 3720a, or by means of withholding, revoking, suspending, or collecting by means of not renewing documents, licenses, loans or other privileges when authorized by law.

b. Disclosures from this system may be made to individuals, corporations, private counsel and other entities contracted by the United States to collect debts owed the United States pursuant to 31 U.S.C. 3718 and any other applicable statutes. The contracted collection agency, individual or counsel shall be subject to the Privacy Act.

c. Disclosures from this system may be made to other Federal, state and local agencies for assistance in resolving the claim or lawsuit.

d. See Prefatory Statement of General Routine Uses.

Disclosure to consumer reporting agencies:

Disclosures from this system may be made to consumer reporting agencies pursuant to 5 U.S.C. 552a(b)(12). The Coast Guard may disclose to a consumer reporting to be valid and overdue as follows: (1) The name, address, taxpayer identification number and other information necessary to establish the identity of the individual responsible for the claim; (2) the amount, status, and history of the claim; and the program under which the claim arose. The Coast Guard may disclose the information specified in this paragraph under 5 U.S.C. 552a(b)(12) and the procedures contained in subsection 31 U.S.C. 3711(f). A consumer reporting agency to which these disclosures may be made is defined at 31 U.S.C. 3701(a)(3).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Magnetic tape or disk, and file folders.

Retrievability:

Information is retrieved by individual name in alphabetical file or by taxpayer identification number.

Safeguards:

Information available only to authorized personnel. Data processing access if by password. File folders retained in locked room when unattended.

Record retained for one year at the responsible Coast Guard command and then forwarded to the Federal Records Center where they are destroyed 8 years after the final action on the lawsuit or claim. Card index files and magnetic tape and disk files retained indefinitely.

System manager(s) and address:

Chief Counsel.
Department of Transportation, United States Coast Guard Headquarters, 2100 2nd Street, SW, Washington, DC 20593-0001

Notification procedure: Written request must be signed by the individual and be mailed to:

Department of Transportation, United States Coast Guard Headquarters, Commandant (G-TIS), 2100 2nd Street, SW, Washington, DC 20593-0001

Record access procedures:

Procedures may be obtained by writing Commandant (G-TIS) at the address in "Notification Procedure" above. Proof of identity may be required prior to affording access to records.

Contesting record procedures:

Same as "Record Access Procedure."

Record source categories:

a. Information obtained from Coast Guard military and civilian personnel, Coast Guard investigating officers, other law enforcement investigating officers, and members of the public.

b. Records from CG Privacy Act System DOT/CG 507.

DOT/CG 509

System name:

System Name: Non-Judicial Punishment Report. DOT/CG.

System location:

System Location: Department of Transportation (DOT),
United States Coast Guard (CG),
Commandant (G-L),
2100 2nd Street, SW, Washington, DC 20593.

Categories of individuals covered by the system:

Categories of Individuals: Coast Guard military personnel who have been subject to non-judicial punishment proceedings under Article 15 of the Uniform Code of Military Justice.

Categories of records in the system:

Categories of Records: Records of Proceedings under Article 15, Uniform Code of Military Justice.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: Used by Coast Guard Personnel, in connection with military justice administration.

Records provide statistical data concerning the number of proceedings held, units holding proceeding, offenses committed, punishments imposed, and background data of individuals concerned.

See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: File cabinet.

Retrievability:

Retrievability: By name.

Safeguards:

Safeguards: Records are made available to authorized personnel. Records are maintained in building with limited access during non-working hours and with roving security patrol.

Retention and disposal:

Retention and Disposal: New system, disposal procedures not as yet established. Back-up material disposed of after introduction into system.

System manager(s) and address:

System Manager: Chief Counsel,
Department of Transportation,
United States Coast Guard Headquarters,
2100 2nd Street, SW,
Washington, DC 20593.

Notification procedure:

Notification Procedure: Department of Transportation,
United States Coast Guard Headquarters,
Commandant (G-CMA),
2100 2nd Street, SW,
Washington, DC 20593.

Record access procedures:

Record Access Procedure: Procedures may be obtained by writing to or visiting Commandant (G-CMA), at the address in 'Notification Procedure' above or the local Coast Guard District Office in the area in which the individual is assigned to duty.

Contesting record procedures:

Contesting Record Procedure: Same as 'Record Access Procedure.'

Record source categories:

Record Source Categories: Information from individual service records and from proceedings conducted.

DOT/CG 510

System name:

System Name: Records of Trial: Special, General and Summary Courts-Martial, DOT/CG.

System location:

System Location: Department of Transportation (DOT),
United States Coast Guard (CG),
Commandant (G-L),
2100 2nd Street, SW,
Washington, DC 20593.

Categories of individuals covered by the system:

Categories of Individuals: Any individual who is tried by court martial in the Coast Guard.

Categories of records in the system:

Categories of Records: Records of trial.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: These are public records available to anyone.

Review.

See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Storage: Maintained in file cabinets.

Retrievability:

Retrievability: Filed alphabetically by name of individual.

Safeguards:

Safeguards: Maintained in file cabinets in building with limited access during non-working hours and with roving security patrol.

Retention and disposal:

Retention and Disposal: Retained permanently. Maintained for two years, reviewed by System Manager and then transferred to Federal Records Center.

System manager(s) and address:

System Manager: Chief Counsel,
Department of Transportation,
United States Coast Guard Headquarters,
2100 2nd Street, SW,
Washington, DC 20593.

Notification procedure:

Notification Procedure: Department of Transportation,
United States Coast Guard Headquarters,
Commandant (G-CMA),
2100 2nd Street, SW,
Washington, DC 20593.

Record access procedures:

Record Access Procedure: Procedures may be obtained by writing to or visiting Commandant (G-CMA) at address in 'Notification Procedure' above.

Contesting record procedures:

Contesting Record Procedure: Same as 'Record Access Procedure.'

Record source categories:

Record Source Categories: Trial proceedings and subsequent statutory reviews - Court of Military Review, Court of Military Appeals and Chief Counsel of the Coast Guard.

DOT/CG 511

System name:

System Name: Legal Assistance Case File System. DOT/CG.

System location:

System Location: Department of Transportation (DOT),
United States Coast Guard (CG),
Commandant (G-L),
2100 2nd Street, SW,
Washington, DC 20593.
System is also located at:
United States Coast Guard District Legal Offices and Legal Offices of Coast Guard Units. See Appendix I for addresses of the District and other legal offices.

Categories of individuals covered by the system:

Categories of Individuals: Clients of officers assigned to render legal assistance regarding the personal affairs of Coast Guard military members.

Categories of records in the system:

Categories of Records: Records contain information concerning the matters handled by these officers for clients.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: The information is used on behalf of clients in providing legal assistance.

These records are also used to prepare statistical reports concerning a legal officer's time utilization.

The Prefatory Statement of Routine Uses applies to records in this system only to the extent that their disclosure would not constitute a violation of the judicially recognized privilege attaching to attorney-client communications and of the ethical and professional responsibilities of lawyers under the American Bar Association's Code of Professional Responsibility.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Storage: Normally, written records kept in file folders.

Retrievability:

Retrievability: Alphabetical indexes by name of member.

Safeguards:

Safeguards: Kept in office space or filing cabinets which are normally locked during non-working hours. Building patrolled by roving security guards after duty hours.

Retention and disposal:

Retention and Disposal: Records retained as long as needed to serve client or as long as deemed necessary by the legal officer. Disposal is by whatever means considered appropriate by the legal officer, depending on the contents of the record involved.

System manager(s) and address:

System Manager: Chief Counsel,
Department of Transportation,
United States Coast Guard Headquarters,
2100 2nd Street, SW,
Washington, DC 20593.
District or unit legal offices:
Senior Counsel, for records maintained at the particular location (See Appendix I for addresses).

Notification procedure:

Notification Procedure: Requests for determination whether this system contains records concerning an individual should be made in writing or in person to:
Department of Transportation,
United States Coast Guard Headquarters,
Commandant (G-CMA),
2100 2nd Street, SW,
Washington, DC 20593.

Record access procedures:

Record Access Procedure: These records are available in the Office of Chief Counsel at Coast Guard Headquarters or within the legal offices in the various Coast Guard districts or units, dependent on where legal assistance was rendered.

A military identification card or other comparable identification will be required to be shown by persons seeking access to their legal assistance records.

Contesting record procedures:

Contesting Record Procedure: The agency's rules for contesting the contents of these records or for appealing initial determinations by the custodian thereof not to disclose any part of these records shall be controlling. These rules may be obtained by writing: Commandant (G-CMA) at the address listed in 'Notification Procedure.'

Record source categories:

Record Source Categories: Information in this record system is obtained from the client involved and as a result of any subsequent investigation by the legal officer on behalf of the client.

DOT/CG 516

System name:

System Name: Coast Guard Military Discrimination Complaints, DOT/CG.

System location:

System Location: Department of Transportation (DOT),
United States Coast Guard (CG),
Commandant (G-H),
2100 2nd Street, SW,
Washington, DC 20593.
Records are also maintained at:
Each District Office and Headquarters Unit at the addresses in Appendix I.

Categories of individuals covered by the system:

Categories of Individuals: Coast Guard Military Personnel.

Categories of records in the system:

Categories of Records: Files contain discrimination complaints filed by Coast Guard military personnel or their representatives and correspondence resulting therefrom.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: Department of Transportation, Office of Civil Rights:

Used for investigations of complaints and arriving at decisions for resolution of complaints.

Coast Guard Headquarters Military Personnel Office:

Used for information in making personnel administration decisions.

Coast Guard Headquarters, Commandant, Vice Commandant, Congressional Liaison: Used to answer correspondence being sent to Congressional representatives, federal and state officials, and nationally recognized organizations who are representing the individual.

Coast Guard Headquarters, Office of Civil Rights and the Military Equal Opportunity Division:

Used to take care of discrimination complaints and the correspondence precipitated therefrom and maintain a file on it.

All Coast Guard Commands:
Used to bring a complaint to a satisfactory conclusion, where possible.
See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Storage: File folders kept in file cabinets.

Retrievability:

Retrievability: System is kept by alphabetical file, service number and/or social security number, rank/rate, and Coast Guard unit.

Safeguards:

Safeguards: During normal working hours access to records is controlled by office personnel; during non-working hours the building is guarded by a roving security patrol.

Retention and disposal:

Retention and Disposal: Files are kept permanently.

System manager(s) and address:

System Manager: Chief, Office of Civil Rights,
Department of Transportation,
United States Coast Guard Headquarters,
2100 2nd Street, SW, Washington, DC 20593.

Notification procedure:

Notification Procedure: Contact the following office in writing or in person:
Department of Transportation,
United States Coast Guard Headquarters,
Commandant (G-CMA),
2100 2nd Street, SW,
Washington, DC 20593.
Written request must be signed by the individual.

Record access procedures:

Record Access Procedure: Procedures may be obtained by writing to or visiting Commandant (G-CMA) at the address in 'Notification Procedure' or the local office where the record is filed.

Prior written notification of personal visits is required to insure that the records will be available at the time of visit.

Proof of identity will be required prior to affording access to records. A military identification, driver's license or similar document will be considered suitable identification.

Contesting record procedures:

Contesting Record Procedure: Same as 'Record Access Procedure.'

Record source categories:

Record Source Categories: From individuals or their representatives submitting complaints, congressional correspondence, personnel service, records, Coast Guard Headquarters and Coast Guard units correspondence, individuals and organizations volunteering information pertinent to complaints.

DOT/CG 517

System name:

System Name: Complaints of Discrimination, DOT/CG.

System location:

System Location: Department of Transportation (DOT),
United States Coast Guard (CG),
Commandant (G-H),
2100 2nd Street, SW,
Washington, DC 20593.
Each District and Headquarters Unit: See addresses in Appendix 1.

Categories of individuals covered by the system:

Categories of Individuals: Civilian employees (including non-appropriated funds employees) and applicants for employment.

Categories of records in the system:

Categories of Records: Various memoranda, letters, statements, statistics and other information related to the situation which prompted the person to allege discrimination.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: Investigating and processing complaints of discrimination by personnel in Office of Civil Rights, Investigators, Hearing Examiners, Employee Representatives, Coast Guard Officials.

See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Storage: Typed, hand-written, printed material stored in folders in metal filing cabinets.

Retrievability:

Retrievability: Indexed by name and Coast Guard installation.

Safeguards:

Safeguards: Screening of personnel, need to know basis.

After duty hours, building is secured and roving security guards are on duty.

Retention and disposal:

Retention and Disposal: Maintained indefinitely.

System manager(s) and address:

System Manager: Chief, Office of Civil Rights,
Department of Transportation,
United States Coast Guard Headquarters,
2100 2nd Street, SW,
Washington, DC 20593.

Notification procedure:

Notification Procedure: Contact the following office in person or in writing:
Department of Transportation,
United States Coast Guard Headquarters,
Commandant (G-CMA),
2100 2nd Street, SW,
Washington, DC 20593.
Written requests must be signed by the individual.

Record access procedures:

Record Access Procedure: Procedure may be obtained by writing to or visiting the Commandant (G-CMA) at the address in 'Notification Procedure' or the local activity where the complaint was filed.

Prior written notification of personal visits is required to insure that the records will be available at the time of visit.

Proof of identity will be required prior to release of records. A military identification card, drivers license or similar document will be considered suitable identification.

Contesting record procedures:

Contesting Record Procedure: Same as 'Record Access Procedure.'

Record source categories:

Record Source Categories: Interviews with complainant, employees, management officials; personnel records, internal Coast Guard memoranda.

DOT/CG 526

System name:

System Name: Adjudication and Settlement of Claims System, DOT/CG.

System location:

System Location: Department of Transportation (DOT),
United States Coast Guard (CG),
Commandant (G-F)
2100 2nd Street, SW,
Washington, DC 20593.
Partial systems are located at Coast Guard Districts and Units. See Appendix I for locations.

Categories of individuals covered by the system:

Categories of Individuals: Active duty military members.
Reserve military members.
Retired military members.
Civilian employees.

Categories of records in the system:

Categories of Records: Claims arising out of disputes concerning amounts of pay received.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: To reach a final decision as to entitlements of claimants.

To use as precedential data in the resolution of similar questions in the future.

Used by authorized Coast Guard officials and officials of the IRS, GAO, and the Civil Service Commission, as required.

See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: Records are stored manually in file folders.

Retrievability:

Retrievability: Claims in the file are filed and retrieved by claimant name.

Safeguards:

Safeguards: Access is limited to authorized officials by screening of personnel.

Maintained in Government building having roving security guards after duty hours.

Retention and disposal:

Retention and Disposal: After adjudication and settlement, most submissions are disposed of. A limited number of such submissions are retained for precedential value, as required.

System manager(s) and address:

System Manager: Chief, Office of Comptroller,
Department of Transportation,
United States Coast Guard Headquarters,
2100 2nd Street, SW,
Washington, DC 20593.

Notification procedure:

Notification Procedure: Department of Transportation,
United States Coast Guard Headquarters,
Commandant (G-CMA),
2100 2nd Street, SW,
Washington, DC 20593.
Written request must be signed by the individual.

Record access procedures:

Record Access Procedure: Procedure may be obtained by writing to or visiting Commandant (G-CMA) at the address in 'Notification Procedures' or the local Coast Guard District or Unit administrative officer for the area in which an individual's duty station is located. See Appendix I for locations.

Proof of identity will be required prior to affording an individual access to records. A military identification card, a driver's license, or similar document will be considered suitable identification.

Contesting record procedures:

Contesting Record Procedure: Same as 'Record Access Procedure.'

Record source categories:

Record Source Categories: Sources include: The individual, CG payroll offices, legal staff, investigators, Office of Personnel, Comptroller General (GAO) and congressional correspondence.

DOT/CG 528

System name:

System Name: Centralized Reserve Pay and Retirement System, DOT/CG.

System location:

System Location: Department of Transportation (DOT),
United States Coast Guard (CG),
Pay and Personnel Center (PPC)
444 S.E. Quincy St.
Topeka, KS 66683
System is also located at District Offices and other Field Units.
See Appendix I for locations.

Categories of individuals covered by the system:

Categories of Individuals: United States Coast Guard Reserve Members.

Categories of records in the system:

Categories of Records: Master Pay and Retirement Point Credits Record.

Master Personnel Data Accounting Record.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: Used to prepare monthly payroll and all associated listings.

Used also:
For preparation of budgets.
For accounting purposes.
To compute pay and points.
The compilation of data.
Permanent pay and points records (retirement data).
W-2 wage and federal tax reporting.
To report earnings to state and city taxing authorities.
Used by authorized Coast Guard, IRS, GAO, and other Agency Officials as required.
See Prefatory Statement of General Routine Uses; 3 through 5 do not apply.

Disclosure to consumer reporting agencies:

Disclosures pursuant to 5 USC 552a(b)(12): Disclosures may be made from this systems to 'consumer reporting agencies' (collecting on behalf of the U.S. Govt.) as defined in the Fair Credit Reporting Act (15 USC 1681a(f)) or the Federal Claims Collection Act of 1982 (31 USC 3701(a)(3)).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: Microfilm of payroll retained in Reserve Pay Branches and Districts.

Records are filed manually in filing cabinet.

Retrievability:

Retrievability: Records are indexed alphabetically by name of Reservist and CG Unit Number.

Records are retrieved by name/number.

Safeguards:

Safeguards: Access is limited to user staff members.

Stored in secured building after duty hours.

Retention and disposal:

Retention and Disposal: Microfilm and records are retained until member is discharged or retired. Three years subsequent to retirement or discharge, records are transferred to a Federal Records Center.

System manager(s) and address:

System Manager: Chief, Office of Comptroller,
Department of Transportation,
United States Coast Guard Headquarters,
2100 2nd Street, SW,
Washington, DC 20593.

Notification procedure:

Notification Procedure: Department of Transportation,
United States Coast Guard Headquarters,
Commandant (G-CMA),
2100 2nd Street, SW,
Washington, DC 20593.
Written request must be signed by the individual.

Record access procedures:

Record Access Procedure: Procedures may be obtained by writing to or visiting Commandant (G-CMA) at the address in 'Notification Procedure' or the local Coast Guard District or Unit administrative officer for the area in which an individual's duty station is located.

Proof of identity will be required prior to affording an individual access to records. A military identification card, a driver's license, or similar document will be considered suitable identification.

Contesting record procedures:

Contesting Record Procedure: Same as 'Record Access Procedure.'

Record source categories:

Record Source Categories: Sources include:
The District Commander and Office of Reserve.
The individual.
Unit Commanding Officers.
District Commanders.
Office of the Reserve.

DOT/CG 529

System name:

System Name: Civilian Payroll System, DOT/CG.

System location:

System Location: Department of Transportation (DOT),
United States Coast Guard (CG),
Federal Aviation Administration (FAA),
Aeronautical Center (AAC-24),
P.O. Box 25735,
Oklahoma City, OK 73125.

Categories of individuals covered by the system:

Categories of Individuals: Civilian employees.

Categories of records in the system:

Categories of Records Earnings and leave.
Retirement records.
Pay files.
Allotment deductions.
Accounts receivable and accounts payable.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: Used for the preparation of payroll checks and bonds.
To report federal withholding tax to the Internal Revenue Service.
To report earnings to state and city taxing authorities.
To report FICA withholding to the Social Security Administration.
Used also to prepare report of retirement contributions, allotment payments, and various reports for CG Headquarters and District Offices (budgeting, accounting, management, etc).
Used by authorized Coast Guard, FAA, IRS, GAO, and Civil Service Commission in the performance of their official duties.
See Prefatory Statement of General Routine Uses.

Disclosure to consumer reporting agencies:

Disclosures pursuant to 5 USC 552a(b)(12): Disclosures may be made from this systems to 'consumer reporting agencies' (collecting on behalf of the U.S. Govt.) as defined in the Fair Credit Reporting Act (15 USC 1681a(f)) or the Federal Claims Collection Act of 1982 (31 USC 3701(a)(3)).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: Manually filed in file folders, records maintained on tape.

Retrievability:

Retrievability: Records indexed by pay periods, alphabetically, and by tape number. Records are retrieved by name/number.

Safeguards:

Safeguards: Access is limited to authorized personnel.
Stored in Government building with a roving security guard after duty hours.

Retention and disposal:

Retention and Disposal: Records retained for 3, 4 and 10 years then transferred to a Federal Records Center.

System manager(s) and address:

System Manager: Chief, Office of Comptroller,
Department of Transportation,
United States Coast Guard Headquarters,
2100 2nd Street, SW,
Washington, DC 20593.

Notification procedure:

Notification Procedure: Department of Transportation,
United States Coast Guard Headquarters,
Commandant (G-CMA),
2100 2nd Street, SW,
Washington, DC 20593.
Written request must be signed by the individual.

Record access procedures:

Record Access Procedure: Procedures may be obtained by writing to or visiting Commandant (G-CMA) at the address in 'Notification Procedure' or the local Coast Guard District or Unit office for the area in which an individual's duty station is located.
Proof of identity will be required prior to affording an individual access to records. A military identification card, a driver's license, or similar documents will be considered suitable identification.

Contesting record procedures:

Contesting Record Procedure: Same as 'Record Access Procedure.
195Record source categories:
Record Source Categories: Sources include:
The individual.
Personnel Offices.
Payroll Offices.

DOT/CG 533

System name:

System Name: Retired Pay and Personnel System, DOT/CG.

System location:

System Location: Department of Transportation (DOT),
United States Coast Guard (CG),
Pay and Personnel Center (PPC)
444 S.E. Quincy St.
Topeka, KS 66683

Categories of individuals covered by the system:

Categories of Individuals: Annuitants.
Lighthouse Keeper Retirees.
Honorary Retirees.
USCG Retirees.

Categories of records in the system:

Categories of Records: Pay and personnel data of military retirees, annuitants, lighthouse keepers and retirees.
Personnel data of honorary retirees.
Accounts receivable and accounts payable.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: Produce various listings and reports provided to USCG offices.
Produce checks.
W-2 wage and federal tax reporting to the Internal Revenue Service.
Reports of earnings to state and city taxing authorities.
Listing of currently retiring officers, home addresses and mailing labels used by authorized USCG and USCG affiliated organizations.
Reports and information exchanged with the Veterans Administration, Civil Service Commission, Social Security Administration, the Department of Defense and the Red Cross.
See Prefatory Statement of General Routine Uses.

Disclosure to consumer reporting agencies:

Disclosures pursuant to 5 USC 552a(b)(12): Disclosures may be made from this systems to 'consumer reporting agencies' (collecting on behalf of the U.S. Govt.) as defined in the Fair Credit Reporting Act (15 USC 1681a(f)) or the Federal Claims Collection Act of 1982 (31 USC 3701(a)(3)).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: Records are filed manually in file folders.
Microfilm is stored in the retired pay branch.
Check tapes are filed in tape library.

Retrievability:

Retrievability: Records and microfilm are indexed alphabetically, check tapes are indexed by tape number.
Retrieved by name/number.

Safeguards:

Safeguards: Access is limited to user staff members under supervisory control.
Stored in government building having roving security guard after duty hours.

Retention and disposal:

Retention and Disposal: Records are retained in the Retired Pay Branch for 3 years subsequent to retiree's or annuitant's death, then forwarded to a Federal Records Center.
Magnetic tapes are retained 18 months, microfilm for 6 years (required by GAO) then destroyed.

System manager(s) and address:

System Manager: Chief, Office of Comptroller,
Department of Transportation,
United States Coast Guard Headquarters,
2100 2nd Street, SW,
Washington, DC 20593.

Notification procedure:

Notification Procedure: Department of Transportation,
United States Coast Guard Headquarters,
Commandant (G-CMA),
2100 2nd Street, SW,
Washington, DC 20593.
Written request must be signed by the individual.

Record access procedures:

Record Access Procedure: Procedures may be obtained by writing to or visiting Commandant (G-CMA) at the address in 'Notification Procedure.'

Proof of identity will be required prior to affording an individual access to records. A military identification card, a driver's license, or similar document will be considered suitable identification.

Contesting record procedures:

Contesting Record Procedure: Same as 'Record Access Procedure.'

Record source categories:

Record Source Categories: Sources include:
The individual.
Coast Guard personnel offices.
Coast Guard payroll offices.

DOT/CG 534

System name:

System Name: Travel and Transportation of Household Effects, DOT/CG.

System location:

System Location: Department of Transportation (DOT),
United States Coast Guard (CG),
Commandant (G-F),
2100 2nd Street, SW,
Washington, DC 20593.
System is also located at each District Office and Headquarters unit. See Appendix I for locations

Categories of individuals covered by the system:

Categories of Individuals: Active duty military members, retired military members, and civilian employees.

Categories of records in the system:

Categories of Records: Travel claims, transportation claims, government bills of lading, application for shipment of household effects.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: Vouchers submitted for payment of claims, for audit of claims for payment, to account for cost of moving household goods, advice of shipment of household goods, for reporting of funds expended, and for payment of household and transportation claims.

Used by authorized Coast Guard personnel and personnel of the General Accounting Office (GAO) in connection with the performance of official duties.

See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: Filed manually in file folders.

Retrievability:

Retrievability: Records are retrieved by schedule numbers and/or individual name.

Safeguards:

Safeguards: Access is limited to user staff members.
Stored in a building which is secured after duty hours.

Retention and disposal:

Retention and Disposal: Records are kept for 3 years, then transferred to a Federal Records Center.

Exception: Schedule 98-Ts (Freight and Transportation) are forwarded to General Accounting Office (GAO) after 3 months.

System manager(s) and address:

System Manager: Chief, Office of Comptroller,
Department of Transportation,
United States Coast Guard Headquarters,
2100 2nd Street, SW,
Washington DC 20593.

Notification procedure:

Notification Procedure: Department of Transportation,
United States Coast Guard Headquarters,
Commandant (G-CMA),
2100 2nd Street, SW,
Washington, DC 20593.
Written request must be signed by the individual.

Record access procedures:

Record Access Procedure: Procedures may be obtained by writing to or visiting Commandant (G-CMA) at the address in 'Notification Procedure' or the local Coast Guard District or unit office for the area in which an individual's duty station is located.

Proof of identity will be required prior to affording an individual access to records. A military identification card, a driver's license, or similar document will be considered suitable identification.

Contesting record procedures:

Contesting Record Procedure: Same as 'Record Access Procedure.'

Record source categories:

Record Source Categories: Sources include:
The individual who is the subject of the record.
Ground freight and transportation carriers and agents.
Airline companies.
Personnel offices.
Other responsible agencies.

DOT/CG 535

System name:

System Name: Nonappropriated Fund System (NAFA), DOT/CG.

System location:

System Location: Department of Transportation (DOT),
United States Coast Guard (CG),
Commandant (G-FNM),
2100 2nd Street, SW,
Washington, DC 20593.
System is also located at:
District and Headquarters Units. See Appendix I for Locations.

Categories of individuals covered by the system:

Categories of Individuals: Civilian employees.
Active duty military members.
Retired military members.
Military dependents.

Categories of records in the system:

Categories of Records: Payroll records.
Accounting records for NAFA loans.
Purchase slips for articles sold in Base Exchange (BX) that cost more than 75 dollars.
Listing of bad checks.
Lay away purchase list.
Job applications.
Personnel records.
Credit books kept by ships and isolated shore units.
Correspondence.
Membership applications.
Accounts receivable.
Investigatory reports involving abuse of facilities.
Purchase listings and sales slips for specific items.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: Payroll for NAFA employees.
Personnel actions.
Accounting purposes.
Budget and inventory controls.
Used by members and employees of USCG in the performance of their official duties related to the management, supervision and administration of nonappropriated funds.
Officials and employees of other agencies, attorney general's office or Congress in the performance of their official duties related to the management, supervision and administration of nonappropriated funds.
Billing, reservations, protection of funds.
See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: Automated records may be stored on tape, disc, drums and punched cards.

Manual records may be stored in file folders and/or credit ledgers, card files, and notebooks.

Retrievability:

Retrievability: Records are indexed alphabetically and by social security number, membership number or unit number.

Safeguards:

Safeguards: Access is limited to authorized personnel. Building is secured after duty hours.

Retention and disposal:

Retention and Disposal: Records are retained until usefulness has expired and then destroyed.

System manager(s) and address:

System Manager: Chief, Office of Comptroller,
Department of Transportation,
United States Coast Guard Headquarters,
2100 2nd Street, SW,
Washington, DC 20593.

Notification procedure:

Notification Procedure: Department of Transportation,
United States Coast Guard Headquarters,
Commandant (G-CMA),
2100 2nd Street, SW,
Washington, DC 20593.
Written request must be signed by the individual.

Record access procedures:

Record Access Procedure: Procedures may be obtained by writing to or visiting Commandant (G-CMA) at the address in 'Notification Procedure' or the local Coast Guard District or Unit office for the area in which an individual's work station is located.

Proof of identity will be required prior to affording an individual access to records. A military identification card, a driver's license, or similar document will be considered suitable identification.

Contesting record procedures:

Contesting Record Procedure: Same as in 'Record Access Procedure'.

Record source categories:

Record Source Categories: Sources include:
The individual.
Previous employees.
Educational institutions.
Employment agencies.
Civilian and military investigative reports.
General correspondence.

DOT/CG 536

System name:

System Name: Contract and Real Property File System, DOT/CG.

System location:

System Location: Department of Transportation (DOT),
United States Coast Guard (CG),
Commandant (G-F),
2100 2nd Street, SW,
Washington, DC 20593.
Systems are also located at various District and Headquarters Units. See Appendix I for locations.

Categories of individuals covered by the system:

Categories of Individuals: Individuals or companies doing business with the Coast Guard.
Employees of prime and sub-contractors.
Individuals requiring use of CG property.
Military members and civilian employees.

Categories of records in the system:

Categories of Records: Contracts and related files.
Real property and leased family housing files.
Bidders list.
Minority compliance records.
Payment schedule records.
Witness fees records.
Various payment files relating to Admiralty and Tort claims.
Personnel claims.
Collection register.
Open purchase order file.
Correspondence files and vendor lists.
Information on employees of contractors, job level and pay of these employees.
Permits, licenses and easements.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: Used to determine compliance of contractors with minimum wages for certain skills and trades on government contracts.
Used to aid in record keeping of payments and collections.
Used to determine potential for contracting with the government.
Used to record issuance of personal property and maintain inventories.
Used to determine contractor responsibilities and liability.
Used by Coast Guard officials of the General Accounting Office (GAO) in performance of duties.
See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: Manually filed in file folders. Maintained on tape/card three ring binders, and in hard cover books.

Retrievability:

Retrievability: Retrieved by individual/company name, number, construction job, and/or location.

Safeguards:

Safeguards: Access restricted to authorized personnel only; some records in locked safe and/or filing cabinet.
Maintained in building having roving security guard after duty hours.

Retention and disposal:

Retention and Disposal: Some records retained indefinitely; some retained 3, 4 or 6 years, then destroyed or forwarded to a Federal Records Center for an additional 7 years.

System manager(s) and address:

System Manager: Chief, Office of Comptroller,
Department of Transportation,
United States Coast Guard Headquarters,
2100 2nd Street, SW,
Washington, DC 20593.

Notification procedure:

Notification Procedure: Department of Transportation,
United States Coast Guard Headquarters,
Commandant (G-CMA),
2100 2nd Street, SW,
Washington, DC 20593.
Written request must be signed by the individual.

Record access procedures:

Record Access Procedure: Procedures may be obtained by writing to or visiting Commandant (G-CMA) at the address in 'Notification Procedure' or the local Coast Guard District or Unit office for the area in which the contract was submitted or property is located.

Proof of identity will be required prior to affording an individual access to records. A military identification card, a driver's license, or similar document will be considered suitable identification.

Contesting record procedures:

Contesting Record Procedure: Same as above 'Record Access Procedure.'

Record source categories:

Record Source Categories: Sources include:
Individuals.
Contractors.
Contract employees.
Bidders.
Financial institutions.
Insurance companies.
Community associations.
Other agencies.
Bills.
Letters.
Collection receipts.
Electronic accounting machine listings.

DOT/CG 537

System name:

System Name: FHA Mortgage Insurance for Servicemen.

System location:

System Location: Department of Transportation (DOT),
United States Coast Guard (CG),
Commandant (G-F),
2100 2nd Street, SW,
Washington, DC 20593.

Categories of individuals covered by the system:

Categories of Individuals: U.S. Coast Guard Military Personnel who have applied for Federal Housing Administration Mortagage Insurance.

Categories of records in the system:

Categories of Records: Selected aspects of FHA Mortgage Insurance Records for military personnel, including copies of Form DD-802, 'Request for and Certificate of Eligibility' and Form DD-803, 'Certificate of Termination'.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: Used to enable management to verify that billings from FHA are correct, and payable from Coast Guard funds. Users are authorized Coast Guard personnel.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: Records are filed manually in closed file cases.

Retrievability:

Retrievability: Folders are filed by named individual, alphabetically. Copies of documents are filed chronologically in the folders together with a record of payment.

Safeguards:

Safeguards: Access is limited to user staff members. After duty hours the building is patrolled by roving security guards.

Retention and disposal:

Retention and Disposal: Files are maintained as long as a member is covered by an insured mortgage loan; 3 years after, files are forwarded to Federal Records Center. Destroyed 4 years after case files are closed.

System manager(s) and address:

System Manager: Chief,
Office of Comptroller,
Department of Transportation,
United States Coast Guard Headquarters,
2100 2nd Street, SW,
Washington, DC 20593.

Notification procedure:

Notification Procedure: Contact Commandant (G-CMA),
U.S. Coast Guard Headquarters,
Washington, DC 20593.
The written request should include the requestors name in full and signature.

Record access procedures:

Record Access Procedure: Procedures may be obtained by writing Commandant (G-CMA), at the address above, or by visiting the Coast Guard Headquarters, 2100 2nd Street, SW, Washington, DC. Proof of identity will be required prior to affording an individual access to his records. A military identification card, a drivers license, or similar document will be considered suitable identification.

Contesting record procedures:

Contesting Record Procedure: Same as 'Record Access Procedure'.

Record source categories:

Record Source Categories: From individual concerned and the Federal Housing Administration.

DOT/CG 561

System name:

System Name: Port Safety Reporting System Individual Violation Histories, DOT/CG.

System location:

System Location: Department of Transportation (DOT),
United States Coast Guard (CG),
Commandant (G-WPE),
2100 2nd Street, SW,
Washington, DC 20593.
System is also located at:
Offices of the District Commanders. See Appendix I for locations.

Categories of individuals covered by the system:

Categories of Individuals: Masters, operators, owners, agents, shippers, charterers and/or pilots of commercial vessels and barges, reported for violations of United States port safety regulations.

Categories of records in the system:

Categories of Records: Computerized listings, by name, giving specific violations, date, place and penalty assessed.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: Determining penalties to be assessed by Coast Guard hearing officers; execution of judgments by U. S. attorneys as necessary.

See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:'

Policies and Practices:

Storage:

Storage: Magnetic tape or disc.

Retrievability:

Retrievability: By name.

Safeguards:

Safeguards: Restricted access data processing area. Program access by password.

Source documents and printouts are stored in locked rooms or file cabinets.

Retention and disposal:

Retention and Disposal: Disposed of 3 years after final disposition of case.

Paper files destroyed by mutilation, shredding or burning.

Magnetic tapes are obliterated by writing over magnetic surface till content is rendered useless and unreadable.

System manager(s) and address:

System Manager: Chief, Office of Marine Environment and Systems,
Department of Transportation,
United States Coast Guard Headquarters,
2100 2nd Street, SW,
Washington, DC 20593.

Notification procedure:

Notification Procedure: Department of Transportation,
United States Coast Guard Headquarters,
Commandant (G-CMA),
2100 2nd Street, SW,
Washington, DC 20593.
Written request must be signed by the individual.

Record access procedures:

Record Access Procedure: Procedures may be obtained by writing to or visiting Commandant (G-CMA) at the address in 'Notification Procedure' above or the local Coast Guard District, at the address in Appendix I, where the violation occurred.

Contesting record procedures:

Contesting Record Procedure: Same as 'Record Access Procedure'.

Record source categories:

Record Source Categories: Report of Violation, Form CG-2636, prepared by Coast Guard officials.

Systems exempted from certain provisions of the act:

Exemptions: Portions of this system may be exempt from disclosure under the provisions of 5 USC 552a(k)(2), which provide in part, that investigatory material compiled for law enforcement purposes may be withheld from disclosure to the extent that the identity of the source of the information would be revealed by disclosing the investigatory record, and the source has received an express guarantee that his identity would be held in confidence or, prior to the effective date of this section, if the source received an implied promise that his identity would be held in confidence.

DOT/CG 571

System name:

System Name: Physical Disability Separation System, DOT/CG.

System location:

System Location: Department of Transportation (DOT),
United States Coast Guard (CG),
Commandant (G-KDE),
2100 2nd Street, SW,
Washington, DC 20593.

Categories of individuals covered by the system:

Categories of Individuals: USCG active duty personnel and USCG personnel separated or retired for physical disability.

Categories of records in the system:

Categories of Records: Central Physical Evaluation Board files.
Formal Physical Evaluation Board files.
Physical Review Council files.
Physical Disability Appeal Board files.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: Used by:
Coast Guard officials in connection with physical disability separation and retirement proceedings.
The Veterans Administration for assistance in determining the eligibility of individuals for benefits administered by that agency and available to USPHS or DOD medical personnel in connection with the performance of their official duties.
See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: File folders.

Retrievability:

Retrievability: By name of individual.

Safeguards:

Safeguards: Roving guard patrol. Restricted personnel access by screening.

Retention and disposal:

Retention and Disposal: Retained two years after disposition then transferred to Federal Records Center, St. Louis, MO.

System manager(s) and address:

System Manager: Chief, Office of Health Services,
Department of Transportation,
United States Coast Guard Headquarters,
2100 2nd Street, SW,
Washington, DC 20593.

Notification procedure:

Notification Procedure: Department of Transportation,
United States Coast Guard Headquarters,
Commandant (G-CMA),
2100 2nd Street, SW,
Washington, DC 20593.
Written request must include a notarized statement attesting that the individual requesting the notification is in fact the individual about whom information is requested.

Record access procedures:

Record Access Procedure: Procedures may be obtained by writing to or visiting Commandant (G-CMA) at the address in 'Notification Procedure.'

Contesting record procedures:

Contesting Record Procedure: Same as 'Record Access Procedure' above.

Record source categories:

Record Source Categories; Information in records developed through proceedings of administrative bodies listed in 'Categories of Records' above.

DOT/CG 572

System name:

USCG Military Personnel Health Record System.

System location:

At the member's unit or the Coast Guard health care facilities at which the member or dependents receive treatment.

Categories of individuals covered by the system:

a. Active duty, reserve, and retired members of the uniformed services and their dependents.

Categories of records in the system:

a. Records of medical and dental treatment, including x-rays.
b. Physical Examinations.
c. ADP Records containing due dates for physical/dental and eye examinations, innoculations, screening tests and results of actions required by Coast Guard or other federal, state or local government or agency.
d. Records concerning line of duty determination and eligibility for disability benefits.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

a. Provided to the Department of Defense to determine suitability of members for overseas assignments and to develop automated information relating to medical readiness in wartime and contingency operations.

b. Provided to federal, state, or local governments and agencies to compile statistical data for research and auditing; to provide quality assurance; to report medical conditions and other data required by law; to aid in preventive health and communicable disease control programs.

c. Provided to the Joint Commission on Accreditation of Healthcare Organizations to evaluate health care provided, personnel and facilities for professional certification and hospital accreditation; to provide quality assurance.

d. Records of communicable disease are provided to the Department of Defense to analyze the results, to ensure uniformity of record keeping, and to centralize production of reports for all uniformed services.

e. Provided to Department of Defense or other federal, state or local governments and agencies for casualty identification purposes.
f. Provided to the Social Security Administration and Veterans Administration for use in determining an individual's entitlement to benefits administered by those agencies.
g. Provided to the Public Health Service, Department of Defense, or Veterans Administration medical personnel or to personnel or facilities providing care to eligible beneficiaries under contract in connection with medical treatment of individuals.
See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Storage of individual files are in folders. Portions of records are automated at some units.

Retrievability:

Name or social security number of member or dependent.

Safeguards:

Rooms or cabinets in which records are located are locked when unattended. Access limited to these records at all times by personnel screening.

Retention and disposal:

a. Active Duty Personnel: Individual medical files are retained at the members' unit or medical administration office for so long as the member is assigned to the particular area. When the member is reassigned, the individual medical file is transferred to the new duty station upon reassignment of member. Upon separation or retirement, the individual medical file is incorporated into the Official Officer Service Records System (DOT/CG 626) or Enlisted Personnel Record System (DOT/CG 629), as appropriate.

b. Retired Personnel: Individual medical files are retained at the medical facility for a period of 4 years from date of last activity. Transferred to National Personnel Records Center (Military Personnel Records), 9700 Page Blvd., St. Louis, MO 63132, 4 years after last activity.

c. Dependents: Individual medical files are retained at the medical treatment facility for period of 4 years from date of last activity. Transferred to new duty station of sponsor upon written request of dependent. Records not transferred are forwarded to National Personnel Records Center (CPR) 111 Winnebago St., St. Louis, MO 63118, 4 years after last activity.

d. Reserve Personnel: Individual medical files are retained in custody of the reserve group or unit, or district commander(s) for so long as the reservist is assigned to the particular area. When the member is reassigned, the individual medical file is transferred to the new reserve group or unit or district commander(r), as appropriate. Upon separation or retirement, the individual medical file is incorporated into Official Coast Guard Reserve Service Record System (DOT/CG 676).

System manager(s) and address:

System Manager: Chief, Office of Health Services, Department of Transportation, United States Coast Guard, 2100 2nd Street, SW, Washington, DC 20593-0001.

Notification procedure:

Department of Transportation, United States Coast Guard, Commandant (G-CMA), 2100 2nd Street, SW, Washington, DC 20593-0001. Written request must be signed by the individual.

Record access procedures:

a. Active Duty Personnel: Write or visit the health care facility where the record is located, or write Commandant (G-CMA) at the address in "Notification Procedure."

b. Retired Personnel and all Departments: Write or visit the health care facility where the record is/was located. If unable to locate records, write:

(Retired) National Personnel Records Center, (Military
Personnel Records), 9700 Page Blvd, St. Louis, MO 63132
(Dependents) National Personnel Records Center (CPR), 111
Winnebago Street, St. Louis, MO 63118

c. Reserve Personnel: Write or visit reserve group or unit or district commander(r) of the district where command is located, or write: U.S. Coast Guard (G-CMA), 2100 2nd Street, SW, Washington, DC 20593-0001.

The decision to release medical records directly to the individual shall be made by a medical practitioner per 49 CFR 10.35(c).

Contesting record procedures:

Contact Commandant (G-CMA) at the address in "Notification Procedure."

Record source categories:

a. Medical facilities where beneficiaries treated or examined.
b. Investigations resulting from illness or injury.
c. From the individual.

DOT/CG 573

System name:

System Name: U.S. Public Health Services (USPHS) Commissioned Officer Corps Staffing and Recruitment Files, DOT/CG.

System location:

System Location: Department of Transportation (DOT),
United States Coast Guard (CG),
Commandant (G-KMA),
2100 2nd Street, SW,
Washington, DC 20593.

Categories of individuals covered by the system:

Categories of Individuals: Personnel records of USPHS commissioned officers assigned to duty with the Coast Guard.

Categories of records in the system:

Categories of Records: Personnel records, Commissioning applications, assignment preference, reference questionnaires, background information.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: Used to assist administrators in assigning personnel to area requiring their specific skills.

Used to monitor career development of personnel assigned to program.

See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: File folders.

Retrievability:

Retrievability: By name of individuals.

Safeguards:

Safeguards: During working hours access is controlled by office personnel; during non-working hours building is patrolled by roving security patrol.

Retention and disposal:

Retention and Disposal: Records are retained during period of an individual's assignment to the Coast Guard. Thereafter, records are destroyed by shredding.

System manager(s) and address:

System Manager:
Chief, Office of Health Services,
Department of Transportation,
United States Coast Guard Headquarters,
2100 2nd Street, SW,
Washington, DC 20593.

Notification procedure:

Notification Procedure: Department of Transportation,
United States Coast Guard Headquarters,
Commandant (G-CMA),
2100 2nd Street, SW,
Washington, DC 20593.

Written request must be signed by the individual.

Record access procedures:

Record Access Procedure: Procedures may be obtained by writing to or visiting Commandant (G-CMA) at the address in 'Notification Procedure'.

Proof of identity will be required prior to release of records. A military identification card, driver's license or similiar document will be considered suitable identification.

Contesting record procedures:

Contesting Record Procedure: Same as 'Record Access Procedure.'

Record source categories:

Record Source Categories: Previous employers, educational institutions, references, Coast Guard Medical Administrators and the individual.

DOT/CG 576

System name:

USCG Non-Federal Invoice Processing System (NIPS).

System location:

Office of Health and Safety, U.S. Coast Guard, 2100 Second Street, SW, Washington, DC 20593-0001.

Commander, Maintenance and Logistics Command Atlantic, Health Services Division, Governor's Island, Building 400, New York, NY 10004-5100.

Commander, Maintenance and Logistics Command Pacific, Health Services Division, Coast Guard Island, Alameda, CA 94501-5100.

Categories of individuals covered by the system:

Active duty, reserve, and retired members of the uniformed services and their eligible dependents, and non-Federal health care providers that have rendered services to eligible beneficiaries.

Categories of records in the system:

a. Records containing correspondence, memoranda, and related documents concerning potential and actual health care invoices for processing by NIPS.

b. Copies of medical and dental treatment records provided to the individual that are the subject of an invoice for non-Federal health care provided to an eligible beneficiary.

c. Automated data processing (ADP) records containing identifying data on individuals including: Units of assignment and address, home address, and information necessary to process and monitor bills for payment.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

a. Records may be disclosed to health care professionals, auditing, utilization, and peer review organizations for review of cost data and appropriateness of care.

b. Medical information, including records of health care and medical invoices may be disclosed to health care professionals, auditing, utilization and peer review organizations to support a government claim.

c. See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Storage of individual files are in folders. Portions of records are extracted in an ADP data base. ADP data will be maintained in hard disk and magnetic tape storage.

Retrievability:

a. Name or Social Security Number of member or dependents sponsor.

b. Name of Member's Unit.

c. Name or tax identification number of non-Federal health care providers.

Safeguards:

Room and cabinets in which records are located are locked when unattended. There are roving guard patrols during nonduty hours. Access to records is limited to those directly involved in managing claims. Records in the ADP data base are retrievable only by those with authorized access to ADP equipment and the data base is protected by standard ADP security measures including the use of passwords.

Retention and disposal:

Records are retained at Maintenance and Logistics Commands (MLCs) for 1 year; transferred to a Federal Record Storage Facility and retained for an additional 5 years 3 months for a total of 6 years 3 months and destroyed thereafter.

System manager(s) and address:

Office of Health and Safety, U.S. Coast Guard, 2100 Second Street SW, Washington, DC 20593-0001.

Notification procedure:

Send a written request with patient's name, sponsor's name and social security number, to the System Location for the MLC where care was rendered. The request must be signed by the individual, or if a minor dependent, by the parent or guardian.

Commander, Maintenance and Logistics Command Atlantic, Health Services Division, Governor's Island, New York, NY 10004-5100

Commander, Maintenance and Logistics Command Pacific, Health Services Division, Coast Guard Island, Alameda, CA 94501-5100

Record access procedures:

Write or visit the appropriate Commander, MLC at the address given in "Notification Procedure" responsible for where the care was received.

Contesting record procedures:

Same as "Record Access Procedure".

Record source categories:

a. From the individual, individual's spouse, parent or guardian.

b. Medical facilities (U.S. Coast Guard, Department of Defense, Uniformed Services Treatment Facility, or non-Federal provider) where beneficiaries are treated.

c. For Active Duty personnel--the Official Officer Service Records System (DOT/CG 626), and the Enlisted Personnel Record System; (DOT/CG 629).

d. For Reserve personnel—the Official Coast Guard Reserve Service Record System (DOT/CG 676).

e. Investigations resulting from illness or injury.

DOT/CG 586

System name:

System Name: Chemical Transportation Industry Advisory Committee, DOT/CG.

System location:

System Location: Department of Transportation (DOT),
United States Coast Guard (CG),
Commandant (G-M),
2100 2nd Street, SW,
Washington, DC 20593

Categories of individuals covered by the system:

Categories of Individuals: Committee members.

Categories of records in the system:

Categories of Records: Address, phone number.
Biographical sketch.
Committee information.
Minutes of meetings.

Routine uses of records maintained in the system, including categories of records of users and the purposes of such uses:

Arranging meetings, keeping records of committee business, determine committee membership.

Used by Coast Guard personnel in the performance of official duties.

See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: File folders.

Retrievability:

Retrievability: By committee name/individual name.

Safeguards:

Safeguards: Personnel screening prior to granting access.
Building has roving security after hours.

Retention and disposal:

Retention and Disposal: Permanently retained.

System manager(s) and address:

System Manager:
Chief, Office of Merchant Marine safety.
Department of Transportation,
United States Coast Guard Headquarters,
2100 2nd Street, SW,
Washington, DC 20593.

Notification procedure:

Notification Procedure: Department of Transportation,
United States Coast Guard Headquarters,,
Commandant (G-CMA),
2100 2nd Street, SW,
Washington, DC 20593.
Written request must be signed by the individual.

Record access procedures:

Record Access Procedure: Procedures may be obtained by writing to or visiting Commandant (G-CMA) at the address in 'Notification Procedure.'

Proof of identity will be required prior to granting access. A military identification card, driver's license or similar document is considered suitable identification.

Contesting record procedures:

Contesting Record Procedure: Same as 'Record Access Procedure.'

Record source categories:

Record Source Categories: From the individual of record.

DOT/CG 587

System name:

System Name: Investigation of Violations of Marine Safety Laws or Regulations, DOT/CG.

System location:

System Location: District Offices - See Appendix I for addresses.

Categories of individuals covered by the system:

Categories of Individuals: Persons who have violated or who are suspected of violating marine safety or related laws or regulations.

Categories of records in the system:

Categories of Records: Reports of violation and supporting documents.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: Evaluation by Coast Guard personnel for law enforcement purposes.

Evaluation by other agencies, state, local and foreign governments for purposes of law enforcement, and other purposes which the agency may deem necessary for their mission.

For use in civil litigation.
For insurance purposes.
Use by the general public.
See Prefatory Statement of General Routine Uses.

Disclosure to consumer reporting agencies:

Disclosures pursuant to 5 USC 552a(b)(12): Disclosures may be made from this systems to 'consumer reporting agencies' (collecting on behalf of the U.S. Govt.) as defined in the Fair Credit Reporting Act (15 USC 1681a(f)) or the Federal Claims Collection Act of 1982 (31 USC 3701(a)(3)).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: File folders.

Retrievability:

Retrievability: Records pertaining to violations of law or regulation are retrieved by individual name or vessel name.

Safeguards:

Safeguards: Destroyed three years after case is closed.

System manager(s) and address:

System Manager: Chief, Office of Merchant Marine Safety,
Department of Transportation,
United States Coast Guard Headquarters,
2100 2nd Street, SW,
Washington, DC 20593.

Notification procedure:

Notification Procedure: Department of Transportation,
United States Coast Guard Headquarters,
Commandant (G-CMA),
2100 2nd Street, SW,
Washington, DC 20593.
Written request must be signed by the individual.

Record access procedures:

Record Access Procedure: Procedures may be obtained by writing to or visiting (G-CMA) at the address in 'Notification Procedure' or the local Coast Guard District for the area in which the alleged violation occurred.

Contesting record procedures:

Contesting Record Procedure: Same as 'Record Access Procedure.'

Record source categories:

Record Source Categories: Coast Guard investigating records compiled as a result of vessel casualty.
Investigations by other law enforcement agencies.
Vessel operator complaints.
Deficiencies noted during Coast Guard inspections.

Systems exempted from certain provisions of the act:

Exemptions: Portions of this system may be exempt from disclosure under the provisions of 5 USC 552a (K)(2) which provide in part, that investigatory material compiled for law enforcement purposes may be withheld from disclosure to the extent that the identity of the source of the information would be revealed by disclosing the investigatory record, and the source has received an express guarantee that his identity would be held in confidence, or, prior to the effective date of this section, if the source received an implied promise that his identity would be held in confidence.

DOT/CG 589

System name:

System Name: U. S. Merchant Seamen's Records.

System location:

System Location: Department of Transportation (DOT),
United States Coast Guard (CG),
Commandant (G-MVP),
2100 2nd Street, SW,
Washington, DC 20593.
Portions of these records may be located at the Marine Inspection Office or the Marine Safety Office where the seaman was documented.

Categories of individuals covered by the system:

Categories of Individuals: U. S. Merchant Seamen.

Categories of records in the system:

Categories of Records: Personnel File.
Shipping Articles.
Locator List.
Log Books.
Seamen's License Records.
Fingerprint Records.
Disciplinary Records.
Security Records.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: Used by Coast Guard officials in administering the Commercial Vessel Safety Program to determine qualifications for the issuance of licenses, documents, and certificates; to determine disciplinary action; to provide duplicate records of service or documents to the seaman, his next of kin or his agent; to provide information to other Federal Agencies, such as the Veterans' Administration, the Social Security Administration, etc. in connection with benefits and services administered by those agencies; to provide information to private organizations when considered beneficial to the seaman; to provide information to Federal, State, and local investigative and law enforcement officials as provided for by law.

See Prefatory Statement of General Routine Use.

Disclosure to consumer reporting agencies:

Disclosures pursuant to 5 USC 552a(b)(12): Disclosures may be made from this systems to 'consumer reporting agencies' (collecting on behalf of the U.S. Govt.) as defined in the Fair Credit Reporting Act (15 USC 1681a(f)) or the Federal Claims Collection Act of 1982 (31 USC 3701(a)(3)).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: The personnel file will be stored on updateable microfiche and limited personal data will reside on computer disks and magnetic tapes. The above media will be continuously updated as new or additional data is received. The remainder of the records will be stored in file folders in paper form.

Retrievability:

Retrievability: The personnel file on microfiche will be accessed from its storage cabinet by a coded identifier of the location of the record within the cabinet. The data on the computer record will be retrieved by direct terminal access with the selection of data elements determined by the authorized user. Retrieval will be by name and cross indexed under ID (i.e., 'Z', 'BK', or Social Security Number).

Safeguards:

Safeguards: Personnel files on microfiche are stored in the locked retrieval cabinet. The data on the computer file can be retrieved only via 'password' identifier with users being permitted access only to that portion of the overall file that has previously been determined as meeting their needs. The file folders are maintained in locked rooms.

Retention and disposal:

Retention and Disposal: Personnel files are held 3 years for unlicensed personnel and 10 years for licensed personnel after last activity, then transferred to a holding area where they may be destroyed after 60 years of inactivity. Shipping Articles are held 3 years then transferred to a Federal Records Center where they are considered historical data and are not destroyed. Disciplinary Records are maintained in paper form. Administrative Law Judge's Decisions and Orders and Appeal File are transferred to a Federal Records Center after 5 years. Commandant's Decision on Appeal and National Transportation Safety Board Decisions and Orders are retained. Disciplinary Record Cards are destroyed upon notice of death.

System manager(s) and address:

System Manager: Chief, Office of Merchant Marine Safety,
Department of Transportation,
United States Coast Guard Headquarters,
2100 2nd Street, SW,
Washington, DC 20593.

Notification procedure:

Notification Procedure: Department of Transportation, United States Coast Guard Headquarters, Commandant (G-CMA), 2100 2nd Street, SW, Washington, DC 20593. In order to determine if a record for an individual exists, it is necessary that the applicant furnish the complete name in which the document was issued, the serial number of the document (i.e., 'Z', 'BK', and/or Social Security Number), and his date and place of birth. A written request must be signed by the individual.

Record access procedures:

Record Access Procedure: Procedures may be obtained by writing Commandant (G-CMA) or visiting at the address in 'Notification Procedure' or the Marine Inspection Office or Marine Safety Office where the document was issued for locally maintained portions.

Contesting record procedures:

Contesting Record Procedure: Same as 'Record Access Procedure'.

Record source categories:

Record Source Categories: Personnel File - Date furnished by the seamen, U.S. Coast Guard officials, other Federal Agencies and employer. Shipping Articles - Vessels' operators, seamen, masters of vessels, State Department, and Coast Guard officials. Disciplinary Records - Furnished by the Investigating Officers at the various Marine Inspection and Marine Safety Offices.

Systems exempted from certain provisions of the act:

Exemptions: Portions of this system of records may be exempt from disclosure under the provisions of 5 USC 552a (k)(2), which provide, in part that investigatory material compiled for law enforcement purposes may be withheld from disclosure to the extent that the identity of the source of the information would be revealed by disclosing the investigatory record, and the source has received an express guarantee that his identity would be held in confidence, or, prior to the effective date of this section, if the source received an implied promise that his identity would be held in confidence.

DOT/CG 591

System name:

System Name: Merchant Vessel Documentation System (Manual and Automated), DOT/CG.

System location:

System Location: Automated system is located at:
Department of Transportation,
United States Coast Guard Headquarters,
Commandant (C-MVD),
2100 2nd Street, SW,

Washington, DC 20593.
Manual systems are located at:
Coast Merchant Vessel Documentation Offices,
(See section E.W., Standard Distribution List - COMDTNOTE 5605 for office locations).

Categories of individuals covered by the system:

Categories of Individuals: Vessel owners.
Mortgagees.
Vessel buyers and sellers.
Lien claimants.
Vessel builders.

Categories of records in the system:

Categories of Records:
Vessel owner information.
Vessel information.
Instruments of record (bills of sale, mortgages, etc.).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: Establishing eligibility for documentation of vessels.
Issuance of marine documents.
Recordation of bills of sale, mortgages, etc.
Publication of the annual MERCHANT VESSELS OF THE UNITED STATES.
Publication of the monthly supplement to MERCHANT VESSELS OF THE UNITED STATES.
Used by:
Coast Guard.
Other Governmental agencies.
Financial institutions and other money leaders.
Anyone having business with or an interest in a documented vessel.
See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: Index of owners maintained by Commandant (G-MVD).
All other records maintained at home port of vessel by vessel name.

Retrievability:

Retrievability: Upon furnishing name of vessel owner to Commandant (G-MVD), vessel name is established and request for information referred to appropriate home port.
Records retrieved at home port by use of vessel name.

Safeguards:

Safeguards: Personnel screening.

Retention and disposal:

Retention and Disposal: Listings of vessel owners constantly updated by additions and deletions (automated).
Field office vessel folders transferred to FRC 2 years after change of vessel's home port or 2 years after removal of vessel from documentation (manual).

System manager(s) and address:

System Manager: Chief, Office of Merchant Marine Safety,
Department of Transportation,
United States Coast Guard Headquarters,
2100 2nd Street, SW,
Washington, DC 20593.

Notification procedure:

Notification Procedure: Department of Transportation,
United States Coast Guard Headquarters,
Commandant (G-CMA),
2100 2nd Street, SW,
Washington, DC 20593.
Written requests must be signed by the individual whose records are the subject.

Record access procedures:

Record Access Procedure: Procedures may be obtained by writing or by visiting Commandant (G-CMA) at the address in 'Notification Procedure' or the local Coast Guard District Office.

Contesting record procedures:

Contesting Record Procedure: Same as 'Record Access Procedure.'

Record source categories:

Record Source Categories: Vessel owners, Mortgagee, lien claimants, Vessel sellers and buyers, Coast Guard admeasures and vessel builders.

DOT/CG 592

System name:

System Name: Registered/Applicant Pilot Eligibility Folder, DOT/CG.

System location:

System Location: Department of Transportation (DOT),
United States Coast Guard (CG),
Ninth Coast Guard District,
Great Lakes Pilotage Staff,
1240 East Ninth Street,
Cleveland, OH 44199.

Categories of individuals covered by the system:

Categories of Individuals: United States registered pilots and applicant pilots suitably registered to perform pilotage duties aboard foreign vessels on the Great Lakes.

Categories of records in the system:

Categories of Records: Application for registration, renewal of registration, annual report of physical examination, Coast Guard license data, examination for registration.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: Used by Department of Transportation, U. S. Coast Guard, F.B.I., pilot associations and corporations.
Used for pilot registration, training program needs, retirements, statistical compilations, and negotiations with Canadian authorities to assure equitable participation by U.S. registered pilots with Canadian registered pilots.
See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: File folders.

Retrievability:

Retrievability: By name and pilot registration number.

Safeguards:

Safeguards: Screened by office personnel prior to use. Locked in cabinets during non-working hours.

Retention and disposal:

Retention and Disposal: Permanent.

System manager(s) and address:

System Manager: Chief, Great Lakes Pilotage Staff,
Ninth Coast Guard District,
1240 East Ninth Street,
Cleveland, OH 44199.

Notification procedure:

Notification Procedure: Same as 'System Manager' above.

Record access procedures:

Record Access Procedure: Same as 'System Manager' above.

Contesting record procedures:

Contesting Record Procedure: Same as 'System Manager' above.

Record source categories:

Record Source Categories: Individual's original application for U.S. pilot's registration and individual's yearly report of medical examination.

DOT/CG 611

System name:

System Name: Intelligence and Security Investigative Case System, DOT/CG.

System location:

System Location: Department of Transportation(DOT),
United States Coast Guard(CG),
Commandant (G-OIS),
2100 2nd Street, SW,
Washington, DC 20593.
Systems are also located in Coast Guard District Offices at the addresses listed in Appendix I.

Categories of individuals covered by the system:

Categories of Individuals: U. S. Coast Guard military personnel, merchant marine personnel, port and dock workers, and persons under investigation for violations of laws and regulations administered by the Coast Guard.

Categories of records in the system:

Categories of Records: Personnel security investigations, national agency check results, criminal investigations, counterintelligence investigations, computerized case control system.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: Used by authorized Coast Guard personnel for:
Security clearances.
Actions by commanders under the Uniform Code of Military Justice.
Career advancement of U.S. Coast Guard military personnel.
Approval of merchant seamen documents.
Access of individuals to port facilities.
Used by:
Appropriate federal, state or local agencies for criminal law enforcement and prosecution by the United States government.
National Agency Checks and background investigations.
See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: Investigative dossiers and 3x5 card retrieval system.

Retrievability:

Retrievability: By name and/or case number.

Safeguards:

Safeguards: Alarm controlled spaces, locked and/or limited access file cabinets and office spaces.
Using receipt control, automatic data processing (ADP) system cannot be penetrated for data through terminals, or otherwise, located outside the U.S. Coast Guard computer center without use of proper administrative controls.
Release of dossiers to accredited personnel on 'need-to-know' basis only.

Retention and disposal:

Retention and Disposal; Dossiers retained 50 years from date of birth.
Deceased, retirees and others separated are held one year from separation.
Dossiers are retired to the Washington National Federal Records Center for further retention of 30 years.
3x5 cards are annotated to recall retired dossiers if necessary.
Computer printouts are retained for 10 years then destroyed.

System manager(s) and address:

System Manager:
Chief, Office of Operations,
Department of Transportation,
United States Coast Guard Headquarters,
2100 2nd Street, SW,
Washington, DC 20593.

Notification procedure:

Notification Procedure: Department of Transportation,
United States Coast Guard Headquarters,
Commandant (G-CMA),
2100 2nd Street, SW,
Washington, DC 20593.
Written request must be signed by the individual.

Record access procedures:

Record Access Procedure: Procedures may be obtained by writing to, or visiting Commandant (G-CMA) at the address in 'Notification Procedure' or the local Coast Guard District Office, location in Appendix I, for the area in which an individual's duty station is located.

Proof of identity will be required prior to affording an individual access to records. A military identification card, a driver's license, or similar document will be considered suitable identification.

Contesting record procedures:

Contesting Record Procedure: Same as 'Record Access Procedure'.

Record source categories:

Record Source Categories: National Agency Checks, background investigations, criminal investigations, interviews, records, checks, observations, statements.

Systems exempted from certain provisions of the act:

Exemptions: Portions of this system of records may be exempt from disclosure under the provisions of 5 USC 552a (k)(2), which provides in part that investigatory material compiled for law enforcement purposes may be withheld from disclosure to the extent the identity of the source of the information would be revealed by disclosing the investigatory record, and the source has received an express promise that his identity would be held in confidence, or, prior to the effective date of this section, if the source received an implied promise that his identity would be held in confidence.

Portions of this system of records may be exempt from disclosure under the provisions of 5 USC 552a(k)(5) which provides, in part, that investigatory material compiled solely for the purpose of determining suitability, eligibility, or qualifications for Federal civilian employment, military service, Federal contracts, or access to classified information may be withheld from disclosure but only to the extent that the disclosure of such material would reveal the identity of the source who furnished information to the Government under an express promise that the identity of the source would be held in confidence or, prior to the effective date of this section, under an implied promise that the identity of the source would be held in confidence.

Portions of this system of records may be exempt from disclosure under the provisions of 5 USC 552a(k)(7), which provide, in part, that evaluation material used to determine potential for promotion in the armed services may be withheld from disclosure but only to the extent that the disclosure of such material would reveal the identity of a source who furnished information to the Government under an express promise that the identity of a source would be held in confidence, or, prior to the effective date of this section, under an implied promise that the identity of the source would be held in confidence.

DOT/CG 612

System name:

System Name: Port Security Card System, DOT/CG.

System location:

System Location: Department of Transportation (DOT),
United States Coast Guard Headquarters (CG),
Commandant (G-OIS),
2100 2nd Street, SW,
Washington, DC 20593.
Records are also located at each District Office. See Appendix I for locations.

Categories of individuals covered by the system:

Categories of Individuals: Persons regularly employed on vessels and water front facilities, or persons having regular public or private business with the operation, maintenance, or administration of vessels and cargoes or waterfront facilities.

Categories of records in the system:

Categories of Records: Applications for port security cards awaiting processing.
Processed applications indicating those granted or denied port security cards.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: Used by Authorized Coast Guard officials to determine eligibility for issuance of Port Security Cards
See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: Paper files, 3x5 cards.

Retrievability:

Retrievability: By name.

Safeguards:

Safeguards: Maintained in file cabinets in secure areas.
Personnel are screened prior to granting access.

Retention and disposal:

Retention and Disposal: Retained for 8 years, then destroyed by mutilating, shredding or burning.

System manager(s) and address:

System Manager: Chief, Office of Operations,
Department of Transportation,
United States Coast Guard Headquarters,
2100 2nd Street, SW,
Washington, DC 20593.

Notification procedure:

Notification Procedure: Department of Transportation,
United States Coast Guard Headquarters,
Commandant (G-CMA),
2100 2nd Street, SW,
Washington, DC 20593.
Written request must be signed by the individual.

Record access procedures:

Record Access Procedure: Procedures may be obtained by writing to or visiting Commandant (G-CMA) at the address in 'Notification Procedure' or the local Coast Guard District or unit office for the area in which the application was filed.

Proof of identity will be required prior to affording an individual access to records. A military identification card, a driver's license, or similar document will be considered suitable identification.

Contesting record procedures:

Contesting Record Procedure: Same as 'Record Access Procedure'.

Record source categories:

Record Source Categories: Individual applications.
National Agency checks.
Other records already at Coast Guard Headquarters, if any.

Systems exempted from certain provisions of the act:

Exemptions: Portions of this system of records may be exempt from disclosure under the provisions of 5 USC 552a(k)(2), which provide, in part, that investigatory material compiled for law enforcement purposes may be withheld from disclosure to the extent that the identity of the source of the information would be revealed by disclosing the investigatory record and the source has received an express guarantee that his identity would be held in confidence, or, prior to the effective date of this section, if the source received an implied promise that his identity would be held in confidence.

DOT/CG 622

System name:

System Name: Military Training and Education Records, DOT/CG.

System location:

System Location: Department of Transportation (DOT), United States Coast Guard (CG), Commandant (G-PTE), 2100 2nd Street, SW, Washington, DC 20593. Records are also located at District and Headquarters Units. See Appendix I for locations.

Categories of individuals covered by the system:

Categories of Individuals: Coast Guard Military Personnel (Commissioned Officers, Commissioned Warrant Officers, Cadets, and Enlisted Personnel.)

Categories of records in the system:

Categories of Records: General Service Correspondence Course. Off-Duty Education Records. Professional Training Records. Nontraditional Educational Support Records. Achievement and Aptitude Test Results. Academic Performance Records. Correspondence Course Rate Advancement Records. Military Performance Records. Admissions Processing Records. Grade Reporting Records. Cadet Academic Status Records. Transcript Maintenance Records. Cadet Discipline Status Records. Military Personnel Records. Military Training Schedules Records.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: Evaluation and measurement of training performance. Statistical summaries. Input to personnel records. Partial criteria for selection and admission to service/professional schools. Partial criteria for selection to postgraduate education programs. Criteria for admission to the Coast Guard. Criteria for retention in service Schools. Criteria for promotion. The above information is used by authorized Coast Guard personnel in the performance of Official duties. See Prefatory Statement of General Routine Uses, 3 through 5 do not apply.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: File folders stored in file cabinets. Portions are stored on ADP equipment.

Retrievability:

Retrievability: Retrieved by name, rate, class number, cadet code number, and Social Security Number.

Safeguards:

Safeguards: Records are kept in file cabinets in offices that are locked during off-duty hours. Those records stored in ADP equipment may only be accessed through use of a user access code.

Retention and disposal:

Retention and Disposal: Personal History, Service History and School Conduct and Military Performance records are kept for one year. Academic and Correspondence Course records are kept for five years. Aptitude and Achievement Test results, as a part of Training and Education records, are kept for five years. Records are destroyed by mutilating, shredding or burning.

System manager(s) and address:

System Manager: Chief, Office of Personnel, Department of Transportation, United States Coast Guard Headquarters, 2100 2nd Street, SW, Washington, DC 20593.

Notification procedure:

Notification Procedure: Department of Transportation, United States Coast Guard Headquarters, Commandant (G-CMA), 2100 2nd Street, SW, Washington, DC 20593. Written request must be signed by the individual.

Record access procedures:

Record Access Procedure: Procedures may be obtained by writing to or visiting (G-CMA) at the address in 'Notification Procedure', or by visiting the local activity where assigned for training. Prior written notification of personal visits is required to insure that the applicable record will be available. Proof of identity is required prior to release of records. A military identification card, driver's license, or simiiar document will be considered suitable identification.

Contesting record procedures:

Contesting Record Procedure: Same as 'Record Access Procedures'.

Record source categories:

Record Source Categories: Official military personnel records, test results, instructors and supervisors.

Systems exempted from certain provisions of the act:

Exemptions: Portions of this system of records may be exempt from disclosure under the provisions of 5 U.S.C. 552a(k)(5), which provide, in part, that investigatory material compiled solely for the purpose of determining suitability, eligibility, or qualifications for Federal civilian employment, military service, Federal contracts, or access to classified information may be withheld from disclosure but only to the extent that the disclosure of such material would reveal the identity of a source who furnished information to the government under an express promise that the identity of the source would be held in confidence or, prior to the effective date of this section, under an implied promise that the identity of the source would be held in confidence. Portions of this system of records may be exempt from disclosure under the provisions of 5 U.S.C. 552a(k)(6), which provides, in part, that testing or examination material used solely to determine individual qualifications for appointment or promotion in the Federal service may be withheld from disclosure to the extent that disclosure of these records would compromise the objectivity or fairness of the testing or examination process. Portions of this system of records may be exempt from disclosure under the provisions of 5 U.S.C. 552a(k)(7), which provide, in part, that evaluation material used to determine potential for promotion in the armed services may be withheld from disclosure but only to the extent that the disclosure of such material would reveal the identity of a source who furnished information to the government under an express promise that the identity of a source would be held in confidence, or, prior to the effective date of this section, under an implied promise that the identity of the source would be held in confidence.

DOT/CG 623

System name:

Military Pay and Personnel System.

System location:

Department of Transportation (DOT),

a. U.S. Coast Guard (CG), Department of Transportation Computer Center, 400 7th Street SW, Washington, DC 20590.

b. U.S. Coast Guard Pay and Personnel Center, 444 SE Quincy Street, Topeka, KS 66683.

c. U.S. Coast Guard, 2100 2nd Street SW, Washington, DC 20593.

d. Decentralized data segments are located at the unit maintaining the individual's pay and personnel record.

Categories of individuals covered by the system:

a. All Coast Guard military personnel, active duty and reserve.

b. Retired reserve Coast Guard military personnel waiting for pay at age 60.

c. Active Duty National Oceanic and Atmospheric Administration (NOAA) Officers.

d. Personnel separated from service in all the preceding categories.

Categories of records in the system:

All categories of records may include identifying information, such as name(s), date of birth, home residence, mailing address, social security number, payroll information, and home telephone.

Records reflect:

a. Work experience, education level achieved, and specialized education or training obtained in and outside of military service,

b. Military duty assignments, ranks held, pay and allowance, personnel actions such as promotions, demotions, or separations,

c. Enrollment or declination of enrollment in insurance programs,

d. Performance evaluation,

e. The individual's desire for future assignments, training requested, and notation by assignment officers,

f. Information for determinations of waivers and remissions of indebtedness to the U.S. Government, and

g. Information for the purpose of validating legal requirements for garnishment of wages.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

a. To the Department of Treasury for the purpose of disbursement of salary, U.S. Savings Bonds, and allotments,

b. To government agencies to disclose earnings and tax information,

c. To the Department of Defense and Veterans Administration for determinations of benefit eligibility for military members and their dependents,

d. To contractors to manage payment and collection of benefit claims,

e. To the Department of Defense for manpower and readiness planning,

f. To the Comptroller General for the purpose of processing waivers and remissions,

g. To contractors for the purpose of system enhancement, maintenance, and operations,

h. To Federal, state, and local agencies for determination of eligibility for benefits connected with the Federal Housing Administration program,

i. To provide an official of another Federal agency information needed in the performance of official duties to reconcile or reconstruct data files in support of functions for which the records were collected and maintained,

j. To an indivudual's spouse, or person responsible for the care of the individual concerned when the individual to whom the record pertains is mentally imcompetent, critically ill, or under other legal disability for the purpose of assuring the individual is receiving benefits or compensation they are entitled to receive,

k. To a requesting government agency, organization, or individual the home address and other relevant information on those individuals who, it is reasonably believed, might have contracted an illness, been exposed to, or suffered from a health hazard while a member of government service,

l. To businesses for the purpose of electronic fund transfers or allotted pay transactions authorized by the individual concerned,

m. To credit agencies and financial institutions for the purpose of processing credit arrangements authorized by the individual concerned,

n. To other government agencies for the purpose of earning garnishment,

o. To prepare the Officer Register and Reserve Officer Register which is provided to all Coast Guard officers and the Department of Defense,

p. To other federal agencies and collections agencies for the collection of indebtedness to the Federal Government.

See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

The storage is on computer disks, magnetic tape, microfilm, and paper forms in file folders.

Retrievability:

Retrieval from the system is by name or social security number and can be accessed by employees in pay and personnel offices and other pay and personnel employees located elsewhere who have a need for the record in the performance of their duties.

Safeguards:

Computers provide privacy and access limitation by requring a user name and password match. Access to decentralized segments are similarly controlled. Only those personnel with a need to have access to the system are given user names and passwords. The magnetic tape backups have limited access in that users must justify the need and obtain tape numbers and volume identifers from a central source before they are provided data tapes. Paper record and microfilm records are in limited access areas in locking storage cabinets.

Retention and disposal:

Leave and Earnings Statements, pay records, are microfilmed and retained on site four years, then archived at the Federal Records Center, and destroyed when 50 years old. The official copy of the personnel record is maintained in the Official Service Records, DOT/CG 626 for active duty officers, the Enlisted Personnel Record System, DOT/CG 629 for active duty enlisted personnel or the Official Coast Guard Reserve Service Record, OST/CG 576 for inactive duty reservists. Duplicate magnetic copies of the pay and personnel record are retained at an off site facility for a useful life of seven years. Paper records for waivers and remissions are retained on site six years three months after the determination and then destroyed. Paper records to determine legal sufficiency for garnishment are retained on site six years three months after the member separates from the service or the garnishment is terminated and then destroyed.

System manager(s) and address:

a. All information on Coast Guard members and other than b., c., and d. below:

(1) For active duty members of the Coast Guard:

Chief, Office of Personnel, Department of Transportation, U.S. Coast Guard Headquarters, 2100 2nd Street, SW, Washington, DC 20593

(2) For Coast Guard inactive duty reserve members and retired Coast Guard reservists awaiting pay at age 60:

Chief, Office of Readiness and Reserve, Department of Transportation, U.S. Coast Guard Headquarters, 2100 2nd Street, SW, Washington, DC 20593.

b. For Coast Guard Waivers and Remissions:

Chief, Personnel Services Division (G-PS), Office of Personnel, U.S. Coast Guard Headquarters, 2100 2nd Street, SW, Washington, DC 20593.

c. For records used to determine legal sufficiency for garnishment of wages and pay records:

Commanding Officer (LGL), U.S. Coast Guard Pay and Personnel Center, 444 SE Quincy Street, Topeka, KS 66683.

d. For data added to the decentralized data segment the commanding officer, officer-in-charge of the unit handling the individual's pay and personnel record, or Chief, Administrative Services Division, for individuals whose records are handled by Coast Guard Headquarters.

e. For NOAA members:

National Oceanic and Atmospheric Administration, Commissioned Personnel Division, 11400 Rockville Pike, Rockville, MD 20852.

Notification procedure:

Inquiries should be directed to:

a. For all information on Coast Guard members other than b., c., and d. below:

Department of Transportation, U.S. Coast Guard Headquarters (G-TIS), 2100 2nd Street, SW, Washington, DC 20593.

b. For records used to determine legal sufficiency for garnishment of wages and pay records.

Commanding Officer, U.S. Coast Guard Pay and Personnel Center, 444 SE Quincy Street, Topeka, KS 66683.

c. For data added to the decentralized data segment the commanding officer, officer-in-charge of the unit handling the individual's pay and personnel record, or Chief, Administrative Services Division, for individuals whose records are handled by Coast Guard Headquarters. Addresses for the units handling the individual's pay and personnel record are available from the individual's commanding officer.

d. For all information on NOAA members:

National Oceanic and Atmospheric Administration, Commissioned Personnel Division, 11400 Rockville Pike, Rockville, MD 20852.

Record access procedures:

Contact the addressee under notification procedures and specify the exact information you desire. Requests must include the full name and social security number of the individual concerned. Prior written notification of personal visits is required to insure that the records will be available at the time of visit. Photographic proof of identity will be required prior to release of records. A military identification card, driver's license or similar document will be considered suitable indentification.

Contesting record procedures:

Contact the addressee under notification procedures and specify the exact information or items you are contesting and provide any documentation that justifies your claim. Correspondence contesting records must include the full name and social security number of the individual concerned.

Record source categories:

a. The individual's record from the following systems of records:
(1) Official Officer Service Records, DOT/CG 626.
(2) Enlisted Personnel Record System, DOT/CG 629.
(3) Official Coast Guard Reserve Service Record, OST/CG 676.
b. Information is obtained from the individual, Coast Guard personnel officials, National Oceanic and Atmospheric Administration personnel officials, and the Department of Defense.

DOT/CG 624

System name:

System Name: Personnel Management Information System (PMIS).

System location:

System Location: Commanding Officer
Pay and Personnel Center (PPC)
444 S.E. Quincy St.
Topeka, KS 66683

Categories of individuals covered by the system:

Categories of Individuals: All regular Coast Guard personnel on active duty. All Reserve Coast Guard personnel on extended active duty and Reserve personnel on initial active duty for training.

Categories of records in the system:

Categories of Records: A single computer record which currently contains about 450 data elements on each member. Some data elements are used only for enlisted, others only for officers. The file contains personal information such as name, place of birth, rank, location, etc. The file also contains pay date elements which will form the basis for deriving pay entitlements for Coast Guard military personnel under the Joint Uniform Military Pay System (JUMPS).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: The file is used to produce a number of reports used throughout the Coast Guard. Types of reports are:
Locator Listing for Headquarters and Districts,
Personnel Roster for the unit to assist in verifying information,
Number of personnel in pay grades for advancement levels and budget expenditures,
Current reports for this system of records are listed in the Reports Distribution Manual generated by the Coast Guard for this system,
Queires and batch processing are used to recruitment levels,
Various Coast Guard offices receive the locator listing and management reports,
Government agencies other than Coast Guard categories,
See prefatory statement of General Routine Uses, 3 through 5 do not apply.

Disclosure to consumer reporting agencies:

Disclosures pursuant to 5 USC 552a(b)(12): Disclosures may be made from this systems to 'consumer reporting agencies' (collecting on behalf of the U.S. Govt.) as defined in the Fair Credit Reporting Act (15 USC 1681a(f)) or the Federal Claims Collection Act of 1982 (31 USC 3701(a)(3)).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: The storage is on computer disks with tape backups. The file is updated once a week. Once a month the file is dumped to a tape file for historical purposes.

Decentralized segments are maintained at each District Office and at Personnel Support Centers. See Appendix I for locations.

Retrievability:

Retrievability: Retrieval from the system is by use of name or Social Security Number or a combination of personal and non-personal characteristics.

Users retrieve information direct from the file through card input or direct terminal access. Data elements to be retrieved and method of use are selected by the user.

An extract file containing summary records is produced monthly for use on a 'time sharing' system. Retrieval of information from this extract is by direct terminal access only. Data elements to be retrieved and method of use are selected by the user.

Safeguards:

Safeguards: The computer provides privacy and access limitations by requiring a user name and password match. In addition each element of the file has its own level of accessability which must be held by the user. Only those staff components at Headquarters with a need to have access to the file are given user names and passwords. Access to the 'Time Share' extract is similarly controlled. The backup tapes and monthly dumps also have limited access in that users must justify the need before they are provided the tape numbers.

Retention and disposal:

Retention and Disposal: End-of-Year system backup tapes and day to day transaction tapes are retained indefinitely. Statistical and other report extract tapes are recycled into the system and consequently destroyed. Paper working files are disposed of in accordance with current record disposal instructions.

System manager(s) and address:

System Manager: Chief,
Office of Personnel,
Department of Transportation,
United States Coast Guard Headquarters,
2100 2nd Street, SW,
Washington, DC 20593.

Notification procedure:

Notification Procedure: Inquiries should be directed to:
Department of Transportation,
United States Coast Guard Headquarters,
Commandant (G-CMA),
2100 2nd Street, SW,
Washington, DC 20593.

Record access procedures:

Record Access Procedure: Procedure may be obtained by writing to or visiting Commandant (G-CMA) at the address in 'Notification Procedure'. Prior written notification of personal visits is required to insure that the records will be available at the time of visit. Proof of identity will be required prior to release of records. A military identification card, driver's license or similar document will be considered suitable identification.

Contesting record procedures:

Contesting Record Procedure: Same as 'Record Access Procedure'.

Record source categories:

Record Source Categories: The data to update the file comes from copies of official service record entries prepared by field units. The data is entered on tape for update of the computer files.

DOT/CG 625

System name:

System Name: Officer Selection and Appointment System, DOT/CG.

System location:

System Location: Department of Transportation (DOT),
United States Coast Guard (CG),
Commandant (G-PMR),
2100 2nd Street, SW,
Washington, DC 20593.
Records are also located at each District and Headquarters Unit. Use Appendix I for locations.

Categories of individuals covered by the system:

Categories of Individuals: Applicants for Coast Guard Officer Candidate School or direct commission programs of the Coast Guard.

Categories of records in the system:

Categories of Records: Information in the system is supplied by applicants and also by persons, other than the applicants, who submit information pertinent to the suitability of the applicants for commissioned service in the Coast Guard.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: Officials and employees of the Coast Guard in the performance of their duties in managing and contributing to the recruitment and appointment of men and women for officer programs in the regular and reserve components of the Coast Guard.

The Attorney General of the United States or his authorized representatives in connection with litigation, fraudulent enlistment or other matters under the jurisdiction of such agencies.

Official employees of the Veterans Administration and Selective Service Administration in the performance of their official duties related to enlistment and reenlistment eligibility and related benefits.

The Senate or the House of Representatives of the United States or any committee or subcommittee on matters within their jurisdiction requiring disclosure of files or records of personnel covered by this system.

See Prefatory Statement of General Routine Uses, 3 through 5 do not apply.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: Paper records are stored in file folders.

Retrievability:

Retrievability: The system is indexed alphabetically by name of applicant and is retrieved by name.

Safeguards:

Safeguards: Records are kept in file cabinets locked after working hours.

Buildings have 24-hour security guards and limited access.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Retention and Disposal:

Application files for nonselected officer candidate applicants are destroyed after six months and nonselected applicants for direct commission are destroyed after one year. Files for all selected applicants are placed in the selectee's officer personnel folder.

System manager(s) and address:

System Manager: Chief, Office of Personnel,
Department of Transportation,
United States Coast Guard Headquarters,
2100 2nd Street, SW,
Washington, DC 20593.

Notification procedure:

Notification Procedure: Department of Transportation,
United States Coast Guard Headquarters,
Commandant (G-CMA),
2100 2nd Street, SW,
Washington, DC 20593.

Record access procedures:

Record Access Procedure: Procedure may be obtained by writing to or visiting Commandant (G-CMA) at the address in 'Notification Procedure' or to the applicable Coast Guard District Office.

A letter request should contain full name, address, social security number, approximate date of application, and signature.

Proof of identification will consist of military identification card, driver's license or other official identification.

Contesting record procedures:

Contesting Record Procedure: Same as 'Record Access Procedure'.

Record source categories:

Record Source Categories: Coast Guard recruiting personnel and employee processing application.

Medical personnel conducting physical examination and private physicians providing consultations or patient history.

Character and employer references named by applicants.

Educational institutions, staff and faculty members.

Selective Service Commission.

Local state and Federal law enforcement agencies.

Prior or current military service record.

Commanding officer of Coast Guard unit, if active duty.

Coast Guard offices charged with personnel security clearance functions.

Other Coast Guard officials and employees in the performance of their official duties and as specified by current instructions and regulations promulgated by competent authority.

Systems exempted from certain provisions of the act:

Exemptions: Portions of this system of records may be exempt from disclosure under the provisions of 5 USC 552a(k)(5), which provide, in part, that investigatory material compiled solely for the purpose of determining suitability, eligibility, or qualifications for Federal civilian employment, military service, Federal contracts, or access to classified information may be withheld from disclosure but only to the extent that the disclosure of such material would reveal the identity of a source who furnished information to the Government under an express promise that the identity of the source would be held in confidence, or, prior to the effective date of this section, under an implied promise that the identity of the source would be held in confidence.

Portions of this system of records may be exempt from disclosure under the provisions of 5 USC 552a(k)(7), which provide, in part, that evaluation material used to determine potential for promotion in the armed services may be withheld from disclosure but only to the extent that the disclosure of such material would reveal the identity of a source who furnished information to the Government under an express promise that the identity of a source would be held in confidence, or, prior to the effective date of this section, under an implied promise that the identity of the source would be held in confidence.

DOT/CG 626

System name:

System Name: Official Officer Service Records, DOT/CG.

System location:

System Location: Department of Transportation (DOT),
United States Coast Guard(CG),
Commandant (G-PO),
2100 2nd Street, SW,
Washington, DC 20593.

Certain records in the system are maintained at:
National Personnel Records Center,
9700 Page Boulevard,
St. Louis, MO 63132.

Portions of the official service record, e.g., health record, security status jacket and leave record are maintained at the officer's unit.

Categories of individuals covered by the system:

Categories of Individuals: All Commissioned officers of the Coast Guard on active duty, permanent or disability retired lists.

Regular officers who sign and do not accept a Reserve commission.

Categories of records in the system:

Categories of Records: General file and service record card.

Fitness File & Officer Summary Records.

Medical File.

Medical History for officers on the Temporary Disability Retired List.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: Fulfillment of normal administrative procedures including assignment, promotion, training, etc.

Physical Evaluation Boards.

Board for Correction of Military Records.

Answering of Congressional and personal inquiries initiated by the individual whose record is concerned.

Preparation of forms, statements, compilations and computations necessary in the daily personnel administration of each individual entering, reentering or leaving the Coast Guard.

(Routine personnel administration requires copies of this and other service record material to be included in administrative files physically separated from the record; however, the original of this material will be included in the official service record maintained at Coast Guard Headquarters).

Furnishing of information (authorized and specified by the individual concerned) to other agencies or individuals (specified by the individual concerned) normally concerned with employment, educational or veteran's benefits, claims or applications.
Furnishing specified material in an officer's service record pursuant to the order of a court of competent jurisdiction.
Used by:
Authorized Coast Guard Personnel.
Personnel from other Federal Agencies in the conduct of official business, as authorized by the Chief, Officer Personnel Division or his designated representative.
See Prefatory Statement of General Routine Uses, 3 through 5 do not apply.

Disclosure to consumer reporting agencies:

Disclosures pursuant to 5 USC 552a(b)(12): Disclosures may be made from this systems to 'consumer reporting agencies' (collecting on behalf of the U.S. Govt.) as defined in the Fair Credit Reporting Act (15 USC 1681a(f)) or the Federal Claims Collection Act of 1982 (31 USC 3701(a)(3)).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: Records are maintained on paper and are assembled and filed in one official service record per member and stored on open shelf files in a room with controlled access.

Retrievability:

Retrievability: Individual records are indexed and retrievable by name and/or last four digits of member's service number.

Safeguards:

Safeguards: During working hours physical access to records is controlled by the Officer Records Branch (G-PO-4).
Records are maintained in a central storage area locked behind two separate doors during non-working hours in the building, which has roving and static security patrols.

Retention and disposal:

Retention and Disposal: Each individual record is maintained at Coast Guard Headquarters until three months after retirement/resignation, after which it is shipped to the:
National Personnel Records Center (Military Personnel Records),
9700 Page Boulevard,
St. Louis, MO 63132.
After the separation documents are received, records of Reserve Officers released from active duty and Regular Officers who resign and accept Reserve Commissions are sent to the Department of Transportation,
United States Coast Guard Headquarters.
2100 2nd Street, SW,
Washington, DC 20593.

System manager(s) and address:

System Manager: Chief, Office of Personnel,
Department of Transportation,
United States Coast Guard Headquarters,
2100 2nd Street, SW,
Washington, DC 20593.

Notification procedure:

Notification Procedure: Inquiry requests for a determination as to whether this system contains records on an individual should be made by that individual, in person or in writing, to:
Department of Transportation,
United States Coast Guard Headquarters,
Commandant (G-CMA),
2100 2nd Street, SW,
Washington, DC 20593.
Requestors in person will be required to show a valid I.D. card.
Written request must include the member's name, rank, Social Security Number, and period of service.

Record access procedures:

Record Access Procedure: Procedures may be obtained by writing to or visiting Commandant (G-CMA) at the address in 'Notification Procedure' or the local activity to which assigned for locally maintained portions of subject records.
Proof of identity will be required prior to release of records. A military identification card, driver's license or similar document will be considered suitable identification.

Contesting record procedures:

Contesting Record Procedure: Same as 'Record Access Procedure.'

Record Source Categories:

Personal interview and voluntary submissions by individuals.
Training/Educational Reports.
Fitness Reports.
USCG District Offices and other operating units of the Coast Guard.

Systems exempted from certain provisions of the act:

Exemptions: Portions of this system of records may be exempt from disclosure under the provisions of 5 USC 552a(k)(5), which provide, in part, that investigatory material compiled solely for the purpose of determining suitability, eligibility, or qualifications for Federal civilian employment, military service, Federal contracts, or access to classified information may be withheld from disclosure, but only to the extent that the disclosure of such material would reveal the identity of a source who furnished information to the Government under an express promise that the identity of the source would be held in confidence, or, prior to the effective date of this section, under an implied promise that the identity of the source would be held in confidence.
Portions of this system of records may be exempt from disclosure under the provisions of 5 USC 552a(k)(7), which provide, in part, that evaluation material used to determine potential for promotion in the armed services may be withheld from disclosure but only to the extent that the disclosure of such material would reveal the identity of a source who furnished information to the government under an express promise that the identity of the source would be held in confidence, or, prior to the effective date of this section, under an implied promise that the identity of the source would be held in confidence.

DOT/CG 627

System name:

System Name: Enlisted Recruiting Selection Record System, DOT/CG.

System location:

System Location: Primary System:
Department of Transportation (DOT),
United States Coast Guard (CG),
Commandant (G-P),
2100 2nd Street, SW,
Washington, DC 20593.
Decentralized segments are maintained at:
Coast Guard District offices and Coast Guard recruiting offices. See Appendix I for locations.

Categories of individuals covered by the system:

Categories of Individuals: Records and correspondence pertaining to prospective applicants, applicants for regular and reserve enlisted programs, and any other individuals who have initiated correspondence pertaining to enlistment in the United States Coast Guard.

Categories of records in the system:

Categories of Records: Records and correspondence in both automated and non-automated forms concerning personal history, education, professional qualifications, mental aptitude, physical qualifications, character and interview appraisals, National Agency Checks and certifications, service performance and congressional or special interests.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: Officials and employees of the U.S. Coast Guard in the performance of their duties in managing and contributing to the recruitment program of the Coast Guard Reserve.
The Comptroller General or any of his authorized representatives, upon request, in the course of the performance of duties of the General Accounting Office relating to the management or quality of military recruitment.
The Attorney General of the United States or his authorized representatives in connection with litigation, fraudulent enlistment or other matters under the jurisdiction of such agencies.
Officials and employees of other Departments and agencies of the Executive Branch of government, upon request, in the performance of their official duties related to the management or quality of military recruitment.

Officials and employees of the Veterans Administration and Selective Service System in the performance of their official duties related to enlistment and reenlistment eligibility and related benefits.

The Senate or the House of Representatives of the United States or any committee or subcommittee on matters within their jurisdiction requiring disclosure of files or records of personnel covered by this system.

Such contractors and their employees as are or may be operating in accordance with an approved official contract with the U.S. Government.

See Prefatory Statement of General Routine Uses; 3 through 5 do not apply.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: Automated records are stored on magnetic tape.

Paper records are stored in file folders.

Retrievability:

Retrievability: Alphabetically by name of subject and social security number.

Safeguards:

Safeguards: Records are accessible only to authorized personnel within the Coast Guard recruiting organization and are handled with security procedures appropriate for documents marked 'For Official Use Only'.

Retention and disposal:

Retention and Disposal: Records are normally maintained for two years and then disposed of by multilating, shredding, or burning.

System manager(s) and address:

System Manager: Chief, Office of Personnel,
Department of Transportation,
United States Coast Guard Headquarters,
2100 2nd Street, SW,
Washington, DC 20593.

Notification procedure:

Notification Procedure: Department of Transportation,
United States Coast Gurad Headquarters,
Commandant (G-CMA),
2100 2nd Street, SW,
Washington, DC 20593.

Record access procedures:

Record Access Procedure: Procedures may be obtained by writing to, or visiting, Commandant (G-CMA) at the address in 'Notification Procedure' or the appropriate local office where the record, or portion thereof, is filed.

Prior written notification is required to insure that records will be available at time of visit.

Proof of identity will be required prior to affording access to records. A military identification card, driver's license, or similar document, will be considered suitable identification.

Contesting record procedures:

Contesting Record Procedure: Same as 'Record Access Procedure'.

Record source categories:

Record Source Categories: Coast Guard recruiting personnel and administrative staff.

Medical personnel or private physicians providing consultations or patient history.

Character and employer references.

Educational institutions, staff and faculty members.

Selective Service System.

Local, state, and Federal law enforcement agencies.

Prior or current military service records.

Members of Congress.

Other officials and employees of the Coast Guard, Department of Defense and components thereof, in the performance of their duties and as specified by current instructions and regulations promulgated by competent authority.

Systems exempted from certain provisions of the act:

Exemptions: Portions of this system of records may be exempt from disclosure under the provisions of 5 USC 552a(k)(5), which provide, in part, that investigatory material compiled solely for the purpose of determining suitability, eligibility, or qualification for Federal civilian employment, military service, Federal contracts, or access to classified information may be withheld from disclosure but only to the extent that the disclosure of such material would reveal the identity of a source who furnished information to the Government under an express promise that the identity of the source would be held in confidence or, prior to the effective date of this section, under an implied promise that the identity of the source would be held in confidence.

Portions of this system of records may be exempt from disclosure under the provisions of 5 USC 552a(k)(7), which provide, in part, that evaluation material used to determine for promotion in the armed services may be withheld from disclosure but only to the extent that the disclosure of such material would reveal the identity of a source who furnished information to the Government under an express promise that the identity of a source would be held in confidence, or, prior to the effective date of this section, under an implied promise that the identity of the source would be held in confidence.

DOT/CG 628

System name:

System Name: Officer, Enlisted, and Recruiter Selection Test File, DOT/CG.

System location:

System Location: Department of Transportation (DOT),
United States Coast Guard (CG),
Commandant (G-PE),
2100 2nd Street, SW,
Washington, DC 20593.

Categories of individuals covered by the system:

Categories of Individuals: Civilian or military personnel who have taken the following tests:

U.S. Navy Officer Qualification (OQT).

U.S. Navy and U.S. Marine Corps Aviation Selection (AST).

U.S. Navy Basic Test Battery (BTB) (retests).

The Cooperative Tests for Advanced Electronic Training (AET TESTS).

The 16 Personality Factor Test used for screening of enlisted personnel for recruiting duty.

Professional Examination for Merchant Mariners.

Categories of records in the system:

Categories of Records: Card files, answer sheets.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: The records are kept to provide the test results if an applicant (civilian or military) applies for an officer program or is already in military and interested in certain training programs.

Internal users:

Officer Recruiting, Enlisted Recruiting, Enlisted Personnel, Training Programs, Merchant Marine, Commanding Officer, Enlisted Personnel District, Personnel offices, Training Centers and Academy.

Other Government Agencies:

U.S. Navy Recruiting, U.S. Marine Corps, U.S. Navy Bureau of Medicine and Surgery.

See Prefatory Statement of General Routine Uses; 3 through 5 do not apply.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: File folders. case files.

Retrievability:

Retrievability: By name.

Safeguards:

Safeguards: Combination - type safe, locked files.

Test results are given only on a need to know basis to authorized personnel.

Only custodian of safes and alternate custodian have access.

Retention and disposal:

Retention and Disposal: Test answer sheets are destroyed after 2 years.

Card file - destroyed after 4 years.

System manager(s) and address:

System Manager: Chief, Office of Personnel,
Department of Transportation,
United States Coast Guard Headquarters,
2100 2nd Street, SW,
Washington, DC 20593.

Notification procedure:

Notification Procedure: Department of Transportation,
United States Coast Guard Headquarters,
Commandant (G-CMA),
2100 2nd Street, SW,
Washington, DC 20593.

Record access procedures:

Record Access Procedure: Procedures may be obtained by writing to or visiting Commandant (G-CMA) at the address in 'Notification Procedure.'

Proof of identity will be required prior to release of records. A military identification card, driver's license or similar document will be considered suitable identification.

Contesting record procedures:

Contesting Record Procedure: Same as 'Record Access Procedure.'

Record source categories:

Record Source Categories: Individuals concerned and United States Coast Guard recruiting officials.
U.S. Marine Corps officials.
U.S. Navy Recruiting officials,
U.S. Navy Bureau of Medicine Surgery officials.

Systems exempted from certain provisions of the act:

Exemptions: Portions of this system of records may be exempt from disclosure under the provisions of 5 USC 552a(k)(6), which provides, in part, that testing or examination material used solely to determine individual qualifications for appointment or promotion in the Federal service may be withheld from disclosure to the extent that disclosure of these records would compromise the objectivity or fairness of the testing or examination process.

Portions of this system of records may be exempt from disclosure under the provisions of 5 USC 552a(k) (5), which provide, in part, that investigatory material compiled solely for the purpose of determining suitability, eligibility, or qualifications for Federal civilian employment, military service, Federal contracts, or access to classified information may be withheld from disclosure but only to the extent that the disclosure of such material would reveal the identity of a source who furnished information to the Government under an express promise that the identity of the source would be held in confidence or, prior to the effective date of this section, under an implied promise that the identity of the source would be held in confidence.

Portions of this system of records may be exempt from disclosure under the provisions of 5 USC 552a(k)(7), which provide, in part, that evaluation material used to determine potential for promotion in the armed services may be withheld from disclosure but only to the extent that the disclosure of such material would reveal the identity of a source who furnished information to the Government under an express promise that the identity of a source would be held in confidence, or, prior to the effective date of this section, under an implied promise that the identity of the source would be held in confidence.

DOT/CG 629

System name:

System Name: Enlisted Personnel Record System, DOT/CG.

System location:

System Location: Department of Transportation (DOT),
United States Coast Guard (CG),
Commandant (G-PE),
2100 2nd Street, SW,
Washington, DC 20593.

Decentralized segments of the system are located at each District office and Headquarters Unit. See Appendix I for locations.

Categories of individuals covered by the system:

Categories of Individuals: All enlisted members of the Coast Guard now serving on active duty (including enlisted members of the Reserve on extended active duty), and members who have been temporarily or permanently retired or discharged.

Categories of records in the system:

Categories of Records: Enlisted contract package, record of emergency data, leave records, performance ratings, administrative remarks, medical records.

All other requisite Coast Guard personnel forms, and pertinent miscellaneous correspondence.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: For use in formulating all Coast Guard personnel actions including, but not limited to, assignment, promotion, re-enlistment, retirement, discharge, determination of entitlement to pay and allowances, correction of records, and disciplinary actions.

Data is provided to the Veterans Administration for determination of an individual's eligibility for benefits administered by that agency and to medical facilities maintained by the Department of Health, Education and Welfare in conjunction with medical treatment afforded an individual.

See Prefatory Statement of General Routine Uses; 3 through 5 do not apply.

Disclosure to consumer reporting agencies:

Disclosures pursuant to 5 USC 552a(b)(12):Disclosures may be made from this systems to 'consumer reporting agencies' (collecting on behalf of the U.S. Govt.) as defined in the Fair Credit Reporting Act (15 USC 1681a(f)) or the Federal Claims Collection Act of 1982 (31 USC 3701(a)(3)).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: Records are maintained in enlisted files record jackets and stored in file cabinets.

Retrievability:

Retrievability: Records are retrievable by name of individual or the last three digits of the individual's social security number.

Safeguards:

Safeguards: Records maintained at Coast Guard Headquarters are located in a central storage area, locked behind two separate doors during non-working hours, in a building with a roving security patrol.

Records at field units are maintained in Government office buildings with off-duty hours security.

During working hours, access to records is controlled by office personnel.

Retention and disposal:

Retention and Disposal: Individual records are maintained at CG Headquarters until six months after an enlisted member is discharged, permanently retired for physical disability, or retired for years of service, after which records are transmitted for permanent storage to the:

National Personnel Records Center, (Military Personnel Records) GSA,
9700 Page Boulevard,
St. Louis, MO 63132.

In the case of members transferred to the Reserve, their records are sent to Commandant (G-RA-2) after separation documents are received.

System manager(s) and address:

System Manager: Chief, Office of Personnel,
Department of Transportation,
United States Coast Guard Headquarters,
2100 2nd Street, SW,
Washington, DC 20593.

Notification procedure:

Notification Procedure: Department of Transportation,
United States Coast Guard Headquarters,
Commandant (G-CMA),
2100 2nd Street, SW,
Washington, DC 20593.
Written request must be signed by individual.

Record access procedures:

Record Access Procedure: Procedures may be obtained by writing to, or visiting, Commandant (G-CMA) at the address in 'Notification Procedure' or the local Coast Guard District or unit administrative officer for the area in which an individual's duty station is located.

Proof of identity will be required prior to affording an individual access to records. A military identification card, a driver's license, or similar document will be considered suitable identification.

Contesting record procedures:

Contesting Record Procedure: Same as 'Record Access Procedure'.

Record source categories:

Record Source Categories: Information is obtained from the individual, and Coast Guard Officials.

Systems exempted from certain provisions of the act:

Exemptions: Portions of this system of records may be exempt from disclosure under the provisions of 5 USC 552a(k)(5), which provide, in part, that investigatory material compiled solely for the purpose of determining suitability, eligibility, or qualifications for Federal civilian employment, military service, Federal contracts, or access to classified information may be withheld from disclosure but only to the extent that the disclosure of such material would reveal the identity of a source who furnished information to the Government under an express promise that the identity of the source would be held in confidence or, prior to the effective date of this section, under an implied promise that the identity of the source would be held in confidence.

Portions of this system of records may be exempt from disclosure under the provisions of 5 USC 552a(k)(7), which provide, in part, that evaluation material used to determine potential for promotion in the armed services may be withheld from disclosure but only to the extent that the disclosure of such material would reveal the identity of a source who furnished information to the Government under an express promise that the identity of the source would be held in confidence, or, prior to the effective date of this section, under an implied promise that the identity of the source would be held in confidence.

DOT/CG 630

System name:

System Name: Coast Guard Family Housing, DOT/CG.

System location:

System Location: Department of Transportation (DOT),
United States Coast Guard (CG),
Commandant (G-P),
2100 2nd Street, SW,
Washington, DC 20593.
Decentralized segments are maintained at:
Each District and Headquarters Unit. See Appendix I for locations.

Categories of individuals covered by the system:

Categories of Individuals: Military and civilian personnel of all pay grades who make application for government and/or government leased housing.

Military personnel who make application in locating community housing, married officers and married E-3 or above (over 2 years service).

Certain government employees occupying government housing.

Military or civilian personnel who have corresponded with the President, a Congressman, or the Commandant concerning family housing.

Categories of records in the system:

Categories of Records: Applicants name, pay grade, marital status, current address and dependent information maintained for the Coast Guard Housing Administration Information and Liaison (HAIL) System.

Includes family housing survey; computer data summaries are maintained for the family housing survey.

Copies of correspondence from individual to the President, a Congressman or the Commandant, inquiry sheets, and replies maintained for Congressional correspondence files.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: For use by authorized Coast Guard employees in performance of their duties in placing the applicant in government owned or leased housing or community housing.

Assessing housing needs of District and Headquarters Units.

Answering inquiries from individuals, Congressmen or the Commandant concerning family housing.

Preparing budgets.

See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: File folders.

Retrievability:

Retrievability: By name of individual, Coast Guard District and date received.

Safeguards:

Safeguards: Records are maintained in locked file cabinets and desk file drawers.

Retention and disposal:

Retention and Disposal: Records are maintained until the applicant is placed in housing and then destroyed.

Records concerning Congressional correspondence are maintained indefinitely.

System manager(s) and address:

System Manager: Chief, Office of Personnel, Department of Transportation,
United States Coast Guard Headquarters,
2100 2nd Street, SW,
Washington, DC 20593.

Notification procedure:

Notification Procedure: Department of Transportation,
United States Coast Guard Headquarters,
Commandant (G-CMA),
2100 2nd Street, SW,
Washington, DC 20593.
Written request must be signed by individual whose record is being requested.

Record access procedures:

Record Access Procedure: Procedures may be obtained by writing to or visiting Commandant (G-CMA) at the address in 'Notification Procedure' or the local Coast Guard District Office. See address in Appendix I.

Contesting record procedures:

Contesting Record Procedure: Same as 'Record Access Procedure.'

Record source categories:

Record Source Categories: Information is obtained from applicants, individuals who complete family housing survey forms, initiate correspondence concerning family housing and Coast Guard Officials.

DOT/CG 631

System name:

Family Advocacy Case Record System.

System location:

Commandant (G-PS), U.S. Coast Guard Headquarters, 2100 2nd St. SW., Washington, DC 20593.

Decentralized segments may be maintained at the District, Maintenance and Logistics Command (MLC), or Headquarters Unit Social Worker's office, at the duty station of the sponsor, and at selected medical facilities. Decentralized segments may also be maintained at the duty station of the District, MLC, or Headquarters Unit Family Advocacy Representative (FAR) under whose jurisdiction an incident occurred.

Categories of individuals covered by the system:

Active duty, reserve and retired personnel and dependents entitled to care at Coast Guard or any other military medical and dental facility whose abuse or neglect is brought to the attention of appropriate authorities, and persons suspected of abusing or neglecting such beneficiaries.

Categories of records in the system:

Medical records of suspected and confirmed cases of family member abuse or neglect, investigative reports, correspondence, family advocacy committee reports, follow up and evaluation reports, and any other supportive data assembled relevant to individual family advocacy program files.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

a. To Federal, State and Local government or private agencies for coordination of family advocacy programs, medical care, mental health treatment, civil or criminal law enforcement, and research into the causes and prevention of family domestic violence.

b. To individuals or organizations providing family support program care under contract to the Federal Government.

c. See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records may be stored in file folders, microfilm, magnetic tape, punched cards, machine lists, discs, and other computerized or machine readable media.

Retrievability:

Records are retrieved through indices and cross indices of all individuals and relevant incident data. Types of indices used, but not limited to include: Name, social security number, and types of incidents.

Safeguards:

Records are maintained in various kinds of locked filing equipment in specified monitored or controlled access rooms or areas. Records are accessible only to authorized personnel. Computer terminals are located in supervised areas, with access controlled by password or other user code system.

Retention and disposal:

a. Records will be maintained at a decentralized location until the case is closed or the sponsor is separated.

b. Upon case closure or separation of the sponsor, the record will be transferred to Commandant (G-PS). The record will be retained for 5 years from case closure or date of last action. At the end of 5 years the record will be destroyed, except for information concerning certain minor Coast Guard dependents. Information concerning minor Coast Guard dependents who were victims or suspected victims of child abuse, neglect or sexual abuse will be retained until the dependent attains majority.

System manager(s) and address:

Chief, Office of Personnel and Training (G-P), Department of Transportation, U.S. Coast Guard Headquarters, 2100 2nd Street, SW., Washington, DC 20593-0001.

Notification procedure:

a. Central location: Notarized written requests should contain the full name and social security number of the member and be addressed to Commandant (G-TIS), U.S. Coast Guard, 2100 Second Street, SW., Washington, DC 20593-0001.

b. Decentralized locations: Notarized written request should contain the full name and social security number of the member and be addressed to the MLC, district, or unit where the individual is assigned.

Record access procedures:

Access may be obtained by writing to Commandant (G-TIS) at the address in Notification Procedure.

Contesting record procedures:

Same as "Record Access Procedures".

Record source categories:

Reports from medical personnel, educational institutions, law enforcement agencies, public and private health and welfare agencies, Coast Guard personnel and private individuals.

Systems exempted from certain provisions of the act:

Part of this system may be exempt under 5 U.S.C. 552a(k) (2) and (5) which provide in part the exemption of investigatory material compiled for law enforcement purposes or solely for the purposes of determining suitability, eligibility, or qualifications for Federal civilian employment, military service, Federal contracts, or access to classified information, but only to the extent that the disclosure would reveal the identity of a source who furnished information to the Government under an express promise of confidentiality.

DOT/CG 632

System name:

System Name: Uniformed Services Identification and Privilege Card Record System, DOT/CG.

System location:

System Location: Department of Transportation (DOT),
United States Coast Guard (CG),
Commandant (G-PS),
2100 2nd Street, SW,
Washington, DC 20593.

Categories of individuals covered by the system:

Categories of Individuals: Dependents of U.S. Coast Guard personnel (active, retired, reserve and deceased).

Former Coast Guard personnel who have been rated by the Veterans Administration as one-hundred percent disabled and their eligible dependents.

Categories of records in the system:

Categories of Records: Applications for Uniformed Service Identification and Privilege Card (DD-1172).

Verification for eligibility to possess the Identification and Privilege Cards (DD-1173).

Pertinent miscellaneous correspondence.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: Used by authorized Coast Guard employees to verify that applicant is entitled to be issued an Identification and Privilege Card.

Verification provided to other Armed Forces authorized personnel as required.

See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: Maintained in file folders.

Retrievability:

Retrievability: Alphabetical by name.

Safeguards:

Safeguards: Maintained in file cabinets. During working hours access to records is controlled by office personnel. During non-working hours building is patrolled by roving security guards.

Retention and disposal:

Retention and Disposal: Retained for 10 years after which they are destroyed.

System manager(s) and address:

System Manager: Chief, Office of Personnel,
Department of Transportation,
United States Coast Guard Headquarters,
2100 2nd Street, SW,
Washington, DC 20593.

Notification procedure:

Notification Procedure: Department of Transportation,
United States Coast Guard Headquarters,
Commandant (G-CMA),
2100 2nd Street, SW,
Washington, DC 20593.

Written request must contain, full name, social security number (SSN) and be signed by individual.

Record access procedures:

Record Access Procedure: Procedures may be obtained by writing to, or visiting, Commandant (G-CMA) at the address in 'Notification Procedure.'

Proof of identity will be required prior to affording an individual access to records. A military identification card, a driver's license, or similar document will be considered suitable identification.

Contesting record procedures:

Contesting Record Procedure: Same as 'Record Access Procedure.'

Record source categories:

Record Source Categories: Information is supplied by the sponsor and/or his dependents.

DOT/CG 633

System name:

System Name: Coast Guard Civilian Personnel Security Program, DOT/CG.

System location:

System Location: Department of Transportation (DOT),
United States Coast Guard (CG),
Commandant (G-PS/6),
2100 2nd Street, SW,
Washington, DC 20593.

Decentralized segments are located at:

Each District Office and Headquarters Unit. See Appendix I for locations.

Categories of individuals covered by the system:

Categories of Individuals:

Coast Guard Civilian Personnel.

Applicants for civilian positions.

Categories of records in the system:

Categories of Records: Records of civilian security clearance granted. Correspondence and requests concerning civilian personnel security actions.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: For use in determining eligibility for access to classified information under Executive Order 11652 and suitability for sensitive positions.

Categories of users include use by Coast Guard employees in performance of official duties and use by investigative agents of other federal agencies.

See Prefatory Statement of General Routine Uses; 3 through 5 do not apply.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: File folder - 3x5 Index cards.

Retrievability:

Retrievability: Records are retrieved by name of individual.

Safeguards:

Safeguards: Records are kept in locked cabinets and safes. Individual identification is required for users of records.

Retention and disposal:

Retention and Disposal: Upon termination of employment investigative files for civilians, which serve as a basis for security clearances, are returned to the Civil Service Commission.

A name record of type of investigation is kept for 5 years and then destroyed by burning.

System manager(s) and address:

System Manager: Chief, Office of Personnel,
Department of Transportation,
United States Coast Guard Headquarters,
2100 2nd Street, SW,
Washington, DC 20593.

Notification procedure:

Notification Procedure: Department of Transportation,
United States Coast Guard Headquarters,
Commandant (G-CMA),
2100 2nd Street, SW,
Washington, DC 20593.

Written request must be signed by the individual whose record is being requested.

Record access procedures:

Record Access Procedure: Procedures may be obtained by writing to or visiting Commandant (G-CMA) at the address in 'Notification Procedure' or the local office or unit. See addresses in Appendix I.

Proof of identity will be required prior to affording an individual access to records. A military identification card, a driver's license, or similar document will be considered suitable identification.

Contesting record procedures:

Contesting Record Procedure: Same as 'Record Access Procedure.'

Record source categories:

Record Source Categories: Civilian Personnel:

Civil Service Investigative Reports, Personnel Security Clearance requests and forms SF-85, SF-86 and SF-171.

Systems exempted from certain provisions of the act:

Exemptions: Portions of this system of records may be exempt from disclosure under the provisions of 5 USC 552a(k)(5), which provide, in part, that investigatory material compiled solely for the purpose of determining suitability, eligibility, or qualifications for Federal civilian employment, military service, Federal contracts, or access to classified information may be withheld from disclosure but only to the extent that the disclosure of such material would reveal the identity of a source who furnished information to the Government under an express promise that the identity of the source would be held in confidence, or, prior to the effective date of this section, under an implied promise that the identity of the source would be held in confidence.

Portions of this system of records may be exempt from disclosure under the provisions of 5 USC 552a(k)(7), which provide, in part, that evaluation material used to determine potential for promotion in the armed services may be withheld from disclosure but only to the extent that the disclosure of such material would reveal the identity of a source who furnished information to the Government under an express promise that the identity of a source would be held in confidence, or, prior to the effective date of this section, under an implied promise that the identity of the source would be held in confidence.

DOT/CG 635

System name:

System Name: Coast Guard Mutual Assistance, DOT/USCG.

System location:

System Location: Department of Transportation (DOT),
United States Coast Guard (CG),
Commandant (G-PS-3),
2100 2nd Street, SW,
Washington, DC 20593.

Decentralized segments are located at:

Each District Office or Headquarters Unit. See Appendix I for locations.

Categories of individuals covered by the system:

Categories of Individuals: Enlisted military personnel (active duty and retired) and dependents.

Officer personnel (active duty and retired) and dependents.

Categories of records in the system:

Categories of Records: Card Index.
Loan applications forms filed by month.
Educational loan file.
Organization financial records.
Bad debts listing.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: Used by authorized Coast Guard officials in approving loan and grant applications.

See Prefatory Statement of General Routine Uses; 3 through 5 do not apply.

Disclosure to consumer reporting agencies:

Disclosures pursuant to 5 USC 552a(b)(12): Disclosures may be made from this systems to 'consumer reporting agencies' (collecting on behalf of the U.S. Govt.) as defined in the Fair Credit Reporting Act (15 USC 1681a(f)) or the Debt Collection Act of 1982 (31 USC 3711(d)(4)).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: Index boxes and file folders.

Retrievability:

Retrievability: By name.

Safeguards:

Safeguards: Maintained in separate correspondence files.

All correspondence regarding an applicant is considered privileged and personnel are screened prior to access.

No loan records or correspondence are placed in service record of individual.

Periodic inspections are performed.

Retention and disposal:

Retention and Disposal; Administrative and financial data relating to CG Mutual Assistance Cases are disposed of four years after date of last transaction.

All other records and correspondence are disposed of after four years.

System manager(s) and address:

System Manager: Chief, Office of Personnel,
Department of Transportation,
United States Coast Guard Headquarters,
2100 2nd Street, SW,
Washington, DC 20593.

Notification procedure:

Notification Procedure: Department of Transportation,
United States Coast Guard Headquarters,
Commandant (G-CMA),
2100 2nd Street, SW,
Washington, DC 20593.

Written requests must be signed by individual whose record is being requested. Give date and place assistance is believed to have been received.

Record access procedures:

Record Access Procedure: Procedures may be obtained by writing to or visiting Commandant (G-CMA) at the address in 'Notification Procedure' or the local Coast Guard District office or unit for the area in which an individual's duty station is located. See Appendix I for addresses.

Proof of identity will be required prior to affording an individual access to records. A military identification card, a driver's license, or similar document will be considered suitable identification.

Contesting record procedures:

Contesting Record Procedure: Same as 'Record Access Procedure.'

Record source categories:

Record Source Categories: Individual requesting loan or grant.

DOT/CG 634

System name:

Child Care Program Record System.

System location:

At the facility where the care was provided or is being provided.

Categories of individuals covered by the system:

a. Children enrolled in a Coast Guard child care program. Eligible children include children of active duty members of the uniformed services and children of Federal employees.

Categories of records in the system:

a. Information about the family;
b. Medical history of child;
c. Authorization for emergency medical care;
d. Permission for field trips;
e. Authorization to release child to someone other than parent;
f. Establishment of eligibility for participation in state or Federally sponsored programs;
g. Communication between the center and parents about child; and
h. Other necessary records to protect health and safety of children.

Routine uses of records maintained in the system, including categories of users and purposes for such uses:

a. Provided to Federal, state, or local governments and agencies to report medical conditions and other data required by law; to aid in preventive health and communicable disease control problems.

b. Provided to Department of Agriculture and state agencies for use in determining eligibility to participate in the Child Care Food Program (CCFP).

c. See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained on forms in file folders or in computer file.

Retrievability:

Name of child.

Safeguards:

Files are maintained in a secured filing cabinet or secured computer file. Access is limited to authorized center staff.

Retention and disposal:

a. Child's record file is destroyed 3 years after date of last action. Registration/medical forms may be sent to another school or center if child transfers. CCFP eligibility records are transferred to an audit file at the end of each year where they are retrieved by child's name. Audit records are destroyed after 3 years or after audited, whichever is sooner.

System manager(s) and address:

System Manager: Chief, Office of Personnel, Department of Transportation, United States Coast Guard Headquarters, 2100 2nd Street, SW, Washington, DC 20593-0001.

Notification procedure:

a. Written request or personal visit to the child care center which provided care.

b. Written request to Commandant (G-TIS), U.S. Coast Guard, 2100 2nd Street, SW, Washington, DC 20593-0001

Proof of identity may be required prior to permitting access to records. Written request should include full name of the individual requestor and the full name of the child whose records are requested.

Record access procedures:

Same as Notification Procedure.

Contesting record procedures:

Same as Notification Procedure.

Record source categories:

Parents or medical personnel familiar with the child's medical history.

DOT/CG 636

System name:

System Name: Personal Affairs Record System Coast Guard Military Personnel, DOT/CG.

System location:

System Location: Department of Transportation (DOT),
United States Coast Guard (CG),
Commandant (G-PS),
2100 2nd Street, SW,
Washington, DC 20593.
Decentralized segments at:
Each District and Headquarters Unit. See Appendix I for locations.

Categories of individuals covered by the system:

Categories of Individuals: Active duty and retired Coast Guard military personnel who have been subject to damage arising out of domestic relations disputes, alleged personal indebtedness, and claims of alleged paternity.

Categories of records in the system:

Categories of Records: Case files containing complaint concerning alleged personal indebtedness, complaints arising out of domestic relations disputes, claims of alleged paternity.

Files contain correspondence including investigative steps, response to complaints and follow up correspondence on recurring complaints. Index card files contain summary of material contained in case file for each reference.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: For use in attempting to resolve complaints in an expeditious manner.

For reference in development of future policy.

Information is used by:

Authorized Coast Guard employees in performance of the duties.

Complainant and/or authorized representatives.

See Prefatory Statement of General Routine Uses; 3 through 5 do not apply.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: Case file and card index file

Retrievability:

Retrievability: Alphabetical listing.

Safeguards:

Safeguards: Kept in locked filing cabinet.

Personnel are screened prior to granting access.

Retention and disposal:

Retention and Disposal: Maintained for 5 years after action completed and then destroyed.

System manager(s) and address:

System Manager: Chief, Office of Personnel,
Department of Transportation,
United States Coast Guard Headquarters,
2100 2nd Street, SW,
Washington, DC 20593.

Notification procedure:

Notification Procedure: Department of Transportation,
United States Coast Guard Headquarters,
Commandant (G-CMA),
2100 2nd Street, SW,
Washington, DC 20593.

Written requests must be signed by the individual whose record is being requested.

Record access procedures:

Record Access Procedure: Procedures may be obtained by writing to or visiting Commandant (G-CMA) at the address in 'Notification Procedure' or the local Coast Guard District Office or unit for the area in which an individual's duty station is located. See Appendix I for addresses.

Proof of identity will be required prior to affording an individual access to records. A military identification card, a driver's license or similar document will be considered suitable identification.

Contesting record procedures:

Contesting Record Procedure: Same as 'Record Access Procedure.'

Record source categories:

Record Source Categories: Information is obtained from complainants, their legal representatives and Coast Guard officials.

DOT/CG 637

System name:

System Name: Appointment of Trustee or Guardian for Mentally Incompetent Personnel, DOT/CG.

System location:

System Location: Department of Transportation (DOT),
United States Coast Guard Headquarters (CG),
Commandant (G-PS),
2100 2nd Street, SW,
Washington, DC 20593.
Decentralized segments are located at:
Each District and Headquarters Unit. See Appendix I for locations.

Categories of individuals covered by the system:

Categories of Individuals: Active duty and retired Coast Guard military personnel.

Categories of records in the system:

Categories of Records: Case files containing information relating to the mental incompetency of certain Coast Guard personnel.

Records used to assist Coast Guard Officials in appointing trustees for mentally incompetent Coast Guard persons.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: Authorized Coast Guard employees in performance of their duties, prospective appointees, including but not limited to relatives, lawyers, physicians or other designated respresentatives.

Veterans Administration upon request for the determination of eligibility for benefits administered by that agency.

See Prefatory Statement of General Routine Uses; 3 through 5 do not apply.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: Locked file cabinet.

Retrievability:

Retrievability: Alphabetical listing.

Safeguards:

Safeguards: Stored in locked file cabinets.

Access restricted to representatives of incompetent.

Identification required, such as, a military identification card, valid state driver's license, or other picture identification card.

Retention and disposal:

Retention and Disposal: Maintained for 5 years after action is completed then destroyed.

System manager(s) and address:

System Manager: Chief, Office of Personnel,
Department of Transportation,
United States Coast Guard Headquarters,
2100 2nd Street, SW,
Washington, DC 20593.

Notification procedure:

Notification Procedure: Department of Transportation,
United States Coast Guard Headquarters,
Commandant (G-CMA),
2100 2nd Street, SW,,
Washington, DC 20593.
Written request must be signed by trustee or guardian.

Record access procedures:

Record Access Procedure: Procedures may be obtained by writing to or visiting Commandant (G-CMA) at the address in 'Notification Procedure' or the local Coast Guard District office or unit having custody of the records. See Appendix I for addresses.

Contesting record procedures:

Contesting Record Procedure: Same as 'Record Access Procedure.'

Record source categories:

Record Source Categories: Coast Guard officials, legal representatives of individuals and/or individuals concerned, and complainants.

DOT/CG–638

System name:

USCG Alcohol Abuse Prevention Program Record System.

System location:

Records are maintained in the office of:

a. Commander, U.S. Coast Guard, Maintenance and Logistics Command, Atlantic, New York, NY 10004–5098.

b. Commander, U.S. Coast Guard, Maintenance and Logistics Command, Pacific, Alameda, CA 94501–5100.

Categories of individuals covered by the system:

Active duty Coast Guard personnel receiving alcohol rehabilitation treatment.

Categories of records in the system:

Alcohol rehabilitation particulars which include: Name, Social Security Number, Prior Service, Rate/Rank, Date of Birth, History of Alcohol Abuse, Treatment Center, Dates of Treatment, Notes on Aftercare, and Final Disposition and Type.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

See Prefatory Statement of General Routine Uses; 3 through 5 do not apply.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are maintained on file cards (3" X 5") and/or a computer data base.

Retrievability:

Records are retrieved by the name of the individual.

Safeguards:

File cards are maintained in locked filing cabinets. The computer data base is protected by password access limited to the Alcohol Program Managers.

Retention and disposal:

Records will be destroyed three years after last activity.

System manager(s) and address:

Commandant (G–KOM), United States Coast guard, 400 7th Street SW, Washington, DC 20590–0001.

Notification procedure:

Written inquiries shall be submitted to the Alcohol Program Manager in the area in which the member most recently received treatment, at the following addresses:

a. Commander, U.S. Coast Guard, Maintenance and Logistics Command, Atlantic, New York, NY 10004–5098.

b. Commander, U.S. Coast Guard, Maintenance and Logistics Command, Pacific, Alameda, CA 94501–5100.

Record access procedures:

Access may be obtained by writing to, or visiting Commander, U.S. Coast Guard Maintenance and Logistics Command, Atlantic, or U.S. Coast Guard Maintenance and Logistics Command, Pacific, at the addresses in "System location." Written requests must be signed by the member. An individual visiting the Maintenance and Logistics Command must provide identification to obtain access to records. A military identification card, a driver's license, or similar document will be considered suitable identification.

a. For individuals undergoing treatment, the record is maintained at the Coast Guard Maintenance and Logistics Command responsible for the geographic region where the member is permanently assigned.

b. For individuals who have completed treatment, the record is maintained at the Coast Guard Maintenance and Logistics Command responsible for the geographic region where treatment was completed.

Contesting record procedures:

Same as "Record access procedure."

Record source categories:

a. Personnel records.

b. Medical records.

c. Security records.
d. Treatment facility reports.
e. Post treatment aftercare reports.

DOT/CG 639

System name:

System Name: Request for Remission of Indebtedness, DOT/CG.

System location:

System Location: Department of Transportation (DOT),
United States Coast Guard (CG),
Commandant (G-PS),
2100 2nd Street, SW,
Washington, DC 20593.
Decentralized segments are located at:
Each District and Headquarters Unit. See Appendix I for locations.

Categories of individuals covered by the system:

Categories of Individuals: Active Duty Enlisted Coast Guard Personnel.

Categories of records in the system:

Categories of Records: Files containing correspondence, requests with endorsements, research material, paneling action, Commandant's decisions.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: For use in making determinations based on the best interests of the individual and the Government.

Categories of users are Coast Guard Officials in performance of their official duties.

See Prefatory Statement of General Routine Uses; 3 through 5 do not apply.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: Locked filing cabinets.

Retrievability:

Retrievability: Alphabetical listing.

Safeguards:

Safeguards: Locked filing cabinets.

Retention and disposal:

Retention and Disposal: Retained for 5 years after decision is made, then destroyed.

System manager(s) and address:

System Manager: Chief, Office of Personnel,
Department of Transportation,
United States Coast Guard Headquarters,
2100 2nd Street, SW,
Washington, DC 20593.

Notification procedure:

Notification Procedure: Department of Transportation,
United States Coast Guard Headquarters,
Commandant (G-CMA),
2100 2nd Street, SW,
Washington, DC 20593.
Written requests must be signed by individual.

Record access procedures:

Record Access Procedure: Procedures may be obtained by writing to or visiting Commandant (G-CMA) at the address in 'Notification Procedure' or the local Coast Guard District or unit for the area in which an individual's duty station is located.

Proof of identity will be required prior to affording an individual access to records. A military identification card, a driver's license or similar document will be considered suitable identification.

Contesting record procedures:

Contesting Record Procedure: Same as 'Record Access Procedure.'

Record source categories:

Record Source Categories: Information is obtained from individual and Coast Guard Officials.

DOT/CG 640

System name:

System Name: Outside Employment of Active Duty Coast Guard Personnel, DOT/CG.

System location: Department of Transportation (DOT),
United States Coast Guard (CG),
Commandant (G-PS),
2100 2nd Street, SW,
Washington, DC 20593.
Decentralized segments are located at:
Each District Office and Headquarters Unit. See Appendix I for locations.

Categories of individuals covered by the system:

Categories of Individuals: Active Duty and Reserve Coast Guard Personnel.

Categories of records in the system:

Categories of Records: Correspondence relating to individual's request for part time employment.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: For use by Coast Guard officials in determining in questionable cases whether an individual should hold a particular job or position. Both the legality and the propriety of the request are considered.

See Prefatory Statement of General Routine Uses; 3 through 5 do not apply.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: Locked filing cabinet.

Retrievability:

Retrievability: Alphabetical listing.

Safeguards:

Safeguards: Kept in locked filing cabinet.
Access restricted to individuals who request outside employment, and authorized Coast Guard officials.
Proper identification is required.

Retention and disposal:

Retention and Disposal: Retained indefinitely.

System manager(s) and address:

System Manager: Chief, Office of Personnel,
Department of Transportation,
United States Coast Guard Headquarters,
2100 2nd Street SW,
Washington, DC 20593.

Notification procedure:

Notification Procedure: Department of Transportation,
United States Coast Guard Headquarters,
Commandant (G-CMA),
2100 2nd Street, SW,
Washington, DC 20593.
Written requests must be signed by the individual whose record(s) is being requested.

Record access procedures:

Record Access Procedure: Procedures may be obtained by writing to or visiting Commandant (G-CMA) at the address in 'Notification Procedure' above or the local Coast Guard District Office or unit for the area in which an individual's duty station is located. See addresses in Appendix I.

Proof of identity will be required, prior to affording an individual access to records. A military identification card, a driver's license or similar document will be considered suitable identification.

Contesting record procedures:

Contesting Record Procedure: Same as 'Record Access Procedure.'

Record source categories:

Record Source Categories: Information is obtained from the individual and Coast Guard officials.

DOT/CG 641

System name:

Coast Guard Family Special Needs Program

System location:

Commandant (G-PS), U.S. Coast Guard, Washington, DC 20593-0001.

Decentralized segments of this system of records may be maintained at the district, Maintenance and Logistics Command (MLC), or Headquarters Unit Social Worker's Office, at the duty station of the sponsor, and at selected medical facilities. Decentralized segments may also be maintained in the office of the district, MLC, or Headquarters Unit Family Advocacy Representative (FAR) which serves the unit of the sponsor.

Categories of individuals covered by the system:

Active duty and retired Coast Guard personnel and their dependents who have diagnosed medical, physical, psychological, or educational need which constitutes a developmental disability or handicapped condition. Active duty Coast Guard personnel and their dependents considered for overseas assignment.

Categories of records in the system:

Extracts or copies of medical, educational and psychological records of members and/or dependents with special needs, follow-up and evaluation reports, and any other data relevant to individual special needs program files or overseas screening.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

a. Provide to Federal Government agencies for coordination of special needs programs, medical care, mental health treatment, and monitoring and tracking special needs families.

b. Provide to individuals or organizations providing family support program care under contract to the Federal Government.

c. See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records may be stored in file folders, microfilm, magnetic tape, punched cards, machine lists, discs, and other computerized or machine readable media.

Retrievability:

Records are retrieved through indices and cross indices of all individuals and relevant incident data. Types of indices used include, but not limited to: Name, social security number, and the diagnosis or International Classification of Diseases (ICD) code of the special needs condition.

Safeguards:

Records are maintained in various kinds of locked filing equipment in specified monitored or controlled access rooms or areas. Records are accessible only to authorized personnel. Computer terminals are located in supervised areas, with access controlled by password or other user code system.

Retention and disposal:

a. Records will be maintained at a decentralized location until the sponsor is separated or the dependent is no longer diagnosed as having special needs.

b. Upon separation of the sponsor or when the dependent is no longer diagnosed as having special needs, the record will be transferred to Commandant (G-PS). After a 3 year retention, the record will be destroyed.

System manager(s) and address:

Chief, Office of Personnel and Training (G-P), Department of Transportation, United States Coast Guard, Washington, DC 20593-0001.

Notification procedure:

a. Central location: Notarized written requests should contain the full name and social security number of the member and be addressed to Commandant (G-TIS), U.S. Coast Guard, Washington, DC 20593-0001.

b. Decentralized locations: Notarized written request should contain the full name and social security number of the member and be addressed to the MLC, district, or unit where the individual is assigned.

Record access procedures:

Same as Notification Procedure.

Contesting record procedures:

Same as Notification Procedure.

Record source categories:

Reports from medical personnel, mental health and educational institutions, public and private health and welfare agencies, and Coast Guard personnel and private individuals.

DOT/CG 671

System name:

System Name: Biographical Statement, DOT/CG.

System location:

System Location: Department of Transportation (DOT),
United States Coast Guard (CG),
Commandant (G-B),
2100 2nd Street, SW,
Washington, DC 20593.

Categories of individuals covered by the system:

Categories of Individuals: Key DOT officials, USCG officers.

Categories of records in the system:

Categories of Records: Individual biographical data.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: Public Affairs Staff - uses records for publicity.
Personnel Office - uses records for promotion.
See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: Paper forms and correspondence are stored in filing cabinets.

Retrievability:

Retrievability: By name.

Safeguards:

Safeguards: Personnel are screened prior to granting access.
Stored in building having roving security guards during non-working hours.

Retention and disposal:

Retention and Disposal: Transferred to historical file upon termination of active duty.

System manager(s) and address:

System Manager:
Chief, Office of Boating, Public and Consumer Affairs.
Department of Transportation,
U. S. Coast Guard Headquarters
2100 2nd Street, SW,
Washington, DC 20593.

Notification procedure:

Notification Procedure: Department of Transportation,
United States Coast Guard Headquarters,
Commandant (G-CMA),
2100 2nd Street, SW,
Washington, DC 20593. Written request must be signed by individual.

Record access procedures:

Record Access Procedure: Procedures may be obtained by writing to or visiting Commandant (G-CMA) at the address in 'Notification Procedure.'

Proof of identity will be required prior to granting access. A military identification card, drivers license, or similar document will be considered suitable identification.

Contesting record procedures:

Contesting Record Procedure: Same as 'Record Access Procedure'.

Record source categories:

Record Source Categories: Individual named in file.

DOT/CG 676

System name:

System Name: Official Coast Guard Reserve Service Record, DOT/CG.

System location:

System Location: Department of Transportation (DOT),
United States Coast Guard (CG),
Commandant (G-RA),
2100 2nd Street, SW,
Washington, DC 20593. For official records on discharged, retired, and separated former members:
General Services Administration (GSA),
National Personnel Records Center (Military Personnel Records),
9700 Page Boulevard,
St. Louis, MO 63132.
Decentralized segments are located at:

Each Coast Guard District Reserve office (for District records).

Categories of individuals covered by the system:

Categories of Individuals: Reserve officer and enlisted personnel (not on extended active duty) in an active, inactive, retired, discharged, separated or former member status; including those Reservists released from extended active duty to fulfill a specified term of obligated inactive reserve service.

Enrolled and disenrolled members of the Temporary Coast Guard Reserve.

Categories of records in the system:

Categories of Records: Official career history of each Reservist including (as applicable):

Enlistment contract or Oath of Office.
Record of Emergency Data.
Training Courses/Educational achievements.
Rate/Grade/Rating qualifications.
Leave record.
Performance of duty marks/fitness reports.
Medals and commendations.
Record of sea duty/duty outside continental United States.
Statements of creditable and former service (including pay base date).
Statements and computations of retirement points.
Official orders.
Correspondence pertaining to any/all of the above.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses:

Fulfillment of normal administrative personnel procedures, including examining and screening for completeness and accuracy of records and correspondence pertaining thereto.

Screening of service records for advancement, promotion, or retention of individual Reservists by various Reserve Boards.

Answering of Congressional and personal inquiries initiated by the individual whose record is concerned.

Preparation of forms, statements, compilations and computations necessary in the daily personnel administration of each individual entering, reentering or leaving the Coast Guard Reserve. Routine personnel administration requires copies of this and other service record material to be included in administrative files physically separated from the record; however, the original copy of this material will be included in the official service record maintained at Coast Guard Headquarters.

Furnishing of information (authorized and specified by the individual concerned) to other agencies or individuals (specified by the individual concerned) normally concerned with employment, educational or Veterans benefits, claims, or applications.

Furnishing specified material in a Reservist's service record pursuant to the order of a court of competent jurisdiction.

Used by:

Individual upon whom records are kept (personal review).

File clerks and personnel from the Office of Reserve, Administration, Training, and Programs Divisions in the normal performance of their duties.

Other personnel within the Coast Guard in the normal performance of their duties, as authorized by the Chief, Reserve Administration Division or his designated representative.

See Prefatory Statement of General Routine Uses.

Disclosure to consumer reporting agencies:

Disclosures pursuant to 5 USC 552a(b)(12): Disclosures may be made from this systems to 'consumer reporting agencies' (collecting on behalf of the U.S. Govt.) as defined in the Fair Credit Reporting Act (15 USC 1681a(f)) or the Federal Claims Collection Act of 1982 (31 USC 3701(a)(3)).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: Records maintained on paper assembled and filed in one official service record per member.

Retrievability:

Retrievability: Individual Service Records are indexed and retrievable by name and/or triple terminal digit of member's service number.

Safeguards:

Safeguards: Service records are maintained in a central storage area locked behind two separate doors.

During non-working hours the building security consists of roving and static security patrols.

During working hours physical access to records is controlled by Records Control Branch personnel.

Retention and disposal:

Retention and Disposal: Individual records are maintained at CG Headquarters until six months after an enlisted member's separation from the service (three months for officers), after which it is transmitted for permanent storage to the:

Military Personnel Record Center (MPRC)
National Personnel Records Center (NPRC),
9700 Page Boulevard,
St. Louis, MO 63132.

In the case of retired members, the service record is shipped to NPRC upon retirement.

System manager(s) and address:

System Manager:

Chief, Office of Reserve (G-R),
Department of Transportation,
United States Coast Guard Headquarters,
2100 2nd Street SW,
Washington, DC 20593.

Notification procedure:

Notification Procedure: Inquiry requests for determination whether this system contains records on an individual should be made by that individual, in person or in writing to:

Department of Transportation,
United States Cost Guard Headquarters,
Commandant (G-CMA),
2100 2nd Street, SW,
Washington, DC 20593.

Written requests must be signed by the individual and must include the member's name, social security number and/or reserve number.

Record access procedures:

Record Access Procedure: Procedures for access may be obtained by writing to or visiting Commandant (G-CMA) at the address in 'Notification Procedure' or the District Office in which an individual's duty station is located.

Proof of identity will be required prior to affording an individual access (may consist of a military identification, driver's license, or other suitable identification.)

Contesting record procedures:

Contesting Record Procedure: Same as 'Record Access Procedure.'

Record source categories:

Record Source Categories: Information contained in a member's service record is obtained from the individual concerned, CG Headquarters, District offices and other CG units.

Systems exempted from certain provisions of the act:

Exemptions: Portions of this system of records may be exempt from disclosure under the provisions of 5 USC 552a(k)(5), which provide, in part, that investigatory material compiled solely for the purpose of determining suitability, eligibility, or qualifications for Federal civilian employment, military service, Federal contracts, or access to classified information may be withheld from disclosure but only to the extent that the disclosure of such material would reveal the identity of a source who furnished information to the Government under an express promise that the identity of the source would be held in confidence, or, prior to the effective date of this section, under an implied promise that the identity of the source would be held in confidence.

Portions of this system of records may be exempt from disclosure under the provisions of 5 USC 552a(k)(7), which provides, in part, that evaluation material used to determine potential for promotion in the armed services may be withheld from disclosure but only to the extent that the disclosure of such material would reveal the identity of a source who furnished information to the Government under an express promise that the identity of the source would be held in confidence, or, prior to the effective date of this section, under an implied promise that the identity of the source would be held in confidence.

Portions of this system of records may be exempt from disclosure under the provisions of 5 USC 552a(k)(6), which provides, in part, that testing or examination material used soley to determine individual qualifications for appointment or promotion in the Federal service may be withheld from disclosure to the extent that disclosure of these records would compromise the objectivity or fairness of the testing or examination process.

DOT/CG 677

System name:

System Name: Coast Guard Reserve Personnel Mobilization System, DOT/CG.

System location:

System Location: Department of Transportation, (DOT),
United States Coast Guard (CG),
Commandant (G-RP),
2100 2nd Street, SW,
Washington, DC 20593.
Commander Reserve in each Coast Guard District Office (except 17th).
Each District and Headquarters Unit.
See Appendix I for locations.

Categories of individuals covered by the system:

Categories of Individuals: Reserve officer and enlisted personnel (not on extended active duty) in an Active or Retired status; including those Reservists released from extended active duty to fulfill a specified term of obligated inactive Reserve service.

Categories of records in the system:

Categories of Records:
Mobilization and qualification cards and orders.
Initial, Annual, and Retired Screening and Qualification Questionaires.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: Fulfillment of normal administrative procedures including the examining and screening for completeness and accuracy of records, correspondence pertaining thereto as a basis for assignment to active duty for training; special active duty for training or extended active duty and mobilization billets.

Users of these Records are Coast Guard employees in performance of official duties.

See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Records maintained on paper, punched cards and magnetic tape

Retrievability:

Retrievability: Individual Reservists are indexed by name and/or social security account number.

Safeguards:

Safeguards: Safeguards and controls afforded this system of records are similar to those normally employed 'For Official Use Only' material, both at Headquarters and District Offices.

Records are maintained in locked secure areas when not in use and personnel screening is employed prior to granting access.

Retention and disposal:

Retention and Disposal: Individual records are maintained at CG Districts and at Headquarters throughout the members active Reserve status and during any period in a Retired Status thereafter (as applicable, and for as long as that member is considered a mobilizable resource).

A 'dead file' is often maintained for those Reservists transferred, discharged, or otherwise separated (this procedure varies from District to District.)

The majority of records in this system (in any form) are generally destroyed immediately after the expiration of their useful life, except those retained in the aforementioned 'dead files' (which are subsequently destroyed one year after placement in the file). The major exceptions to this policy are the Screening and Qualification Questionaires, which are filed in the Reservists District Service Record.

Records are destroyed by mutilating, shredding or burning.

System manager(s) and address:

System Manager:
Chief, Office of Reserve (G-R),
Department of Transportation,
United States Coast Guard Headquarters
2100 2nd Street, SW,
Washington, DC 20593.

Notification procedure:

Notification Procedures: Department of Transportation,
United States Coast Guard Headquarters,
Commandant (G-CMA),
2100 2nd Street, SW,
Washington, DC 20593.
Written request must be signed by the individual.

Record access procedures:

Records Access Procedures: Individual should contact Commandant (G-CMA) in person or in writing at the address in 'Notification Procedure'.

For records maintained at the District, individual should contact the Commander (r) at the District to which the individual is assigned. Refer to Appendix I for addresses.

Contesting record procedures:

Contesting Record Procedures: Same as 'Record Access Procedure.'

Record source categories:

Record Source Categories: Information contained in this system of records is obtained from the following sources: The individual himself, CG Headquarters, and CG District Offices,

DOT/CG 678

System name:

System Name: Reserve Personnel Management Information System (Automated).

System location:

System Location: Department of Transportation (DOT)
United States Coast Guard (CG)
Commandant (G-RA)
2100 2nd Street, SW,
Washington, DC 20593

Categories of individuals covered by the system:

Categories of Individuals: Reserve officers and enlisted personnel in an active or inactive status, including retired reservist, and those reservists released from extended active duty to fulfill a specific term of inactive obligated service.

Categories of records in the system:

Categories of Records: Included in RPMIS are the following data concerning each Coast Guard Reservist in this system which are necessary to administer the Coast Guard program: Name, social security number, present and last five grades or rates, educational background, civilian and military, foreign language and proficiency, history of unit assignments and dates assigned, duty status, date of birth, date of enlistment, appointment or extension, AFQT scores, source of entry, date of commission, prior service, date of expiration of obligation, anniversary data on pay base date, aviation pay and administrative pay, training rating, reserve category and class, training/pay category, data on ADT for last five years, number of dependents, Federal withholding exemptions, Selective Service induction certification, date of completion of Ready obligation, officer experience indicator, last screening date and result, civilian occupation, date of last National Agency Check, Background Investigation and security clearance, domestic emergency volunteer, date of last physical and immunization, data on special active duty for training and extended active duty, annual training date, total retirement points and satisfactory years of service for retirement purpose, current year retirement point accounting data, including inactive duty training participation, correspondence course activity, taxable wages paid and withholdings, uniform allowances, Servicemens Group Life Insurance (SGLI) information, mailing address, and work and home phone number.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: The RPMIS is used for the personnel administration of individual reservists and the overall management of the reserve program. See Prefatory Statement of General Routine Uses. The Master Personnel File provides status and qualification listings, expiration of enlistment and physical reports, strength management reports, unit and district roster, and advancement and promotion reports. The Pay and Point File provides point count statements, budgeting reports, inactive duty and active duty pay, and retirement eligibility listings. The addresses of individual reservists are used for mailing paychecks, earning statements, 'The Reservist', and Annual Screening Questionnaires. Records in this system are routinely disclosed to the Treasury Department to complete payroll checks. Used by: Authorized personnel from the Office of Reserve and the Office of the Comptroller, authorized personnel on the staff of the various district commanders in the normal performance of their official duties, the Deputy Assistant Secretary of Defense for Manpower, Logistics and Reserve Affairs and others as authorized by Chief, Office of Reserve or his representative.

Disclosure to consumer reporting agencies:

Disclosures pursuant to 5 USC 552a(b)(12): Disclosures may be made from this systems to 'consumer reporting agencies' (collecting on behalf of the U.S. Govt.) as defined in the Fair Credit Reporting Act (15 USC 1681a(f)) or the Federal Claims Collection Act of 1982 (31 USC 3701(a)(3)).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: The storage is on computer disks with magnetic tape backups. The file is updated weekly.

Retrievability:

Retrievability: Individual records in the system are retrieved by Social Security Number.

Safeguards:

Safeguards: Magnetic tapes are stored in locked storage areas when not in use and are accounted for at all times during actual use. Personnel screening is employed prior to granting access.

Retention and disposal:

Retention and Disposal: Magnetic tapes are used, corrected and updated until the tapes become physically deteriorated after which they are destroyed. A reservist's address is maintained on file for approximately one year after discharge, to allow for processing of annual point statements and W-2 forms. Audit trails are maintained indefinitely and the Master Personnel file and Pay and Points file are continually updated.

System manager(s) and address:

System Manager: Chief, Office of Reserve, Department of Transportation, United States Coast Guard Headquarters, Commandant (G-R), 2100 2nd Street, SW, Washington, DC 20593.

Notification procedure:

Notification Procedure: Requests to determine if this system contains information on any individual should be made in person or in writing to: Department of Transportation, United States Coast Guard Headquarters, Commandant (G-CMA), 2100 2nd Street, SW, Washington, DC 20593. Written request must be signed by the individual.

Record access procedures:

Record Access Procedures: Procedures for access to records may be obtained by writing to or visiting Commandant (G-CMA) at the address in 'Notification Procedures'. Prior written notification of personal visit will insure that the record will be available at the time of visit. Proof of identity will be required prior to release of records. A military identification or similar document will be considered suitable identification.

Contesting record procedures:

Contesting Record Procedure: Same as 'Record Access Procedures'.

Record source categories:

Record Source Categories: Information contained in the system is obtained from the individual, Coast Guard Headquarters and district offices, and the various operating units of the Coast Guard.

DOT/CG 691

System name:

System Name: Master Chief Petty Officer of the Coast Guard Individual Grievance and Correspondence File, DOT/CG.

System location:

System Location: Department of Transportation (DOT),
United States Coast Guard (CG),
Commandant (G-CMCPO),
2100 2nd Street, SW,
Washington, DC 20593.
System is also maintained at:
Each District and Headquarters Unit which has a Senior Enlisted Advisor assigned. See Appendix I for addresses.

Categories of individuals covered by the system:

Categories of Individuals: Enlisted Coast Guard Personnel who have filed a grievance or requested information through the Master Chief Petty Officer of the Coast Guard (at Headquarters) or the Senior Enlisted Advisors at field units.

Categories of records in the system:

Categories of Records: Correspondence and other related information compiled during the process of resolving alleged grievance.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: Used by Master Chief Petty Officer, Commandant/Vice Commandant, Special Assistant, Administrative Aide and other authorized officials, to resolve enlisted personnel problems and inquiries.

See Prefatory Statement of General Routine Uses; 2 through 5 do not apply.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: File folders in locked file cabinet.

Retrievability:

Retrievability: By name.

Safeguards:

Safeguards: Locked room and file cabinets.
Screening of personnel prior to granting access.

Retention and disposal:

Retention and Disposal: Kept until individual is discharged or retired at which time the records are destroyed by mutilating, shredding and burning.

System manager(s) and address:

System Manager: Master Chief Petty Officer of the Coast Guard,
Department of Transportation,
United States Coast Guard Headquarters,
2100 2nd Street, SW,
Washington, DC 20593.

Notification procedure:

Notification Procedure:
Department of Transportation,
United States Coast Guard Headquarters,
Commandant (G-CMA),
2100 2nd Street, SW,
Washington, DC 20593.
Written requests must be signed by the individual.

Record access procedures:

Record Access Procedure: Procedures may be obtained by writing to or visiting Commandant (G-CMA) at the address in 'Notification Procedure' above or the local activity where the complaint was filed. See Appendix I for addresses.

Prior written notification of personnel visits is required to insure that the records will be available at the time of visit.

Proof of identity will be required prior to release of records. A military identification card, driver's license or similiar document will be considered suitable identification.

Contesting record procedures:

Contesting Record Procedure: Same as 'Record Access Procedure.'

Record source categories:

Record Source Categories: Information received from individuals and Coast Guard Units.

DOT/FAA 801

System name:

System Name: Aircraft Registration System, DOT/FAA.

System location:

System Location: Aircraft Registration Branch,
Aeronautical Center,
Oklahoma City, OK 73125.
Portions of these records are located in:
General Aviation District Offices (GADO's).
Air Carrier District Offices (ACDO's).
Flight Standards District Offices (FSDO's).

Categories of individuals covered by the system:

Categories of Individuals: This system identifies aircraft owners, partners, corporations, lien holders, operators, and lessees.

Categories of records in the system:

Categories of Records: This system consists of a series of records that identify:

Aircraft types.
Current certification status and ownership of registered aircraft.
Aircraft to be registered, or aircraft that have been registered and are now temporarily deregistered.
These records contain information about:
N - Number assignment.
Airworthiness of aircraft.
Bills of sale.
Applications for certification of amateur aircraft.
Major repairs and alterations maintenance inspection forms.
Revalidation and use forms.
Lien and collateral documents.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: To determine that aircraft are registered in accordance with the provisions of the Federal Aviation Act of 1958.

To support investigative efforts of investigation and law enforcement agencies of Federal, State, and foreign governments.
To serve as a repository of legal documents used by individuals and title search companies to determine the legal ownership of an aircraft.
To provide aircraft owners and operators information about potential mechanical defects or unsafe conditions of their aircraft in the form of airworthiness directives.
To provide supporting information in court cases concerning liability of individual in law suits.
To serve as a data source for management information for production of summary descriptive statistics and analytical studies in support of agency functions for which the records are collected and maintained.
To respond to general requests from the aviation community or the public for statistical information under the Freedom of Information Act or to locate specific individuals or specific aircraft for accident investigation, violation, or other safety related requirements.
To provide data for the automated aircraft registration master file.
To provide data for development of the aircraft registration statistical system.
To prepare an Aircraft Registry in magnetic tape and microfiche form required by ICAO agreement containing information on aircraft owners by name, address, N-Number, type of aircraft, used for internal FAA safety program purposes and also available to the public (individuals, aviation organizations, direct mail advertisers, State and local governments, etc.) upon payment of user chargers reimbursing the Federal Government for its costs.
See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: Records are maintained in file folders, magnetic tape, punch cards, and on microfiche.

Retrievability:

Retrievability: Records are filed by registration number, but may be retrieved by name of the current individual aircraft owners.

Safeguards:

Safeguards: Records are stored in open shelves in a room that is open only to authorized employees and by special permission.

Magnetic tapes are maintained in secure data processing area accessed by pass only.
Backup records for microfiche are maintained in remote storage.

Retention and disposal:

Retention and Disposal: If records are microfiched: (1) Original Records. Destroy original records after microfiche is determined to be an adequate substitute for paper records; (2) Microfiche of Original Records. Destroy when it is determined that the aircraft is no longer in existence.

If records are not microfiched: Destroy when it is determined that the aircraft is no longer in existence.

System manager(s) and address:

System Manager(s) and Address: For official agency records, contact:

Manager, Aircraft Registration Branch,
Aeronautical Center,
Oklahoma City, OK 73125.
Chief of the nearest GADO, ACDO, or FSDO.

Notification procedure:

Notification Procedure: Individual owners of currently registered aircraft who wish to know if their records appear in this system of records may inquire in person or in writing to the System Manager.

Record access procedures:

Record Access Procedure: Individual owners of currently registered aircraft who desire access to the information about themselves in this system of records should contact or address their inquiries to the System Manager.

Contesting record procedures:

Contesting Record Procedure: Individuals who desire to contest information about themselves contained in this system of records should contact or address their inquiries to the Administrator or his delegate,

800 Independence Avenue, SW,
Washington, DC 20591.

Record source categories:

Record Source Categories: Information is collected from individuals, manufacturers of aircraft, maintenance inspectors, mechanics, and FAA officials.

DOT/FAA 806

System name:

System Name: Federal Aviation Administration Employee Payable System, DOT/FAA.

System location:

System Location: Financial Systems and Accounting Operations Divisions, Washington, D.C., Central Payroll Operations Facility, Mike Monroney Aeronautical Center, Oklahoma City, Oklahoma, and each region and center accounting division. Working copies of certain of these records are held by the organizations employing the personnel and at emergency operations facilities.

Categories of individuals covered by the system:

Categories of Individuals: All employees of the Federal Aviation Administration, all civilian employees of the Office of the Secretary, Department of Transportation, the Transportation System Center, the Federal Highway Administration, the National Highway Traffic Safety Administration, the Research and Special Programs Administration, the National Transportation Board, and Civilians who work for the United States Coast Guard, Federal Railroad Administration, Urban Mass Transportation, and the Office of the Inspector General.

Categories of records in the system:

Categories of Records: This system contains those records required to insure that an employee receives his or her pay and benefits required by law. It includes Employee Master Record, Annual Leave Payroll Register, FAA Bond Deductions and Bond Issuances, Union Dues, FICA Records, City Withholdings, State Withholdings, Federal Withholdings, Retirement, Leave Without Pay, Pay Scale, Contributions, Travel Orders, Travel Advances, Travel Vouchers, Time and Attendance, Overtime, claims relating thereto; home address, indebtedness amounts, payment history, and description.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: This System is used to:

Calculate pay and allowances due to employees.
Prepare annual report and reconcile with Gen. Ledger Accounts.
Record permanent pay changes.
Record temporary pay changes.
Notify employees of pay adjustments processed.
Record travel advances and allowances.
List leave earned, taken, and/or lost and new balances for employees.
Test run against Employee Master Record to reflect missing T&A cards of employees.
Summarize earnings, deductions, and leave by pay periods, and produce statement for employee information.
Provide management information on and as required, ad hoc basis.
Produce history of checks and bonds to be issued and magnetic tape sent to Treasury for their issuance.
Report dues deducted by individuals to Unions.
Report amounts withheld to credit financial institutions, charitable organizations and professional associations.
Quarterly summary of earnings and deductions.

Adjudicate claims for reimbursements which are sent to GAO.
Extract list of FICA employees for reporting earnings and deductions to IRS.
Report State and local tax withholding to various States and local taxing authorities and to IRS.
Provide home address information for employee communications to FAA officials.
Provide statistical data of U.S. Savings Bond and Combined Federal Campaign participation.
Provide to commercial credit bureaus data relating to delinquent debts such as, amount, name, social security number, last known address, reason for indebtedness.
See Prefatory Statement of General Routine Uses.

Disclosure to consumer reporting agencies:

Disclosures pursuant to 5 USC 552a(b)(12): Disclosures may be made from this systems to 'consumer reporting agencies' (collecting on behalf of the U.S. Govt.) as defined in the Fair Credit Reporting Act (15 USC 1681a(f)) or the Federal Claims Collection Act of 1982 (31 USC 3701(a)(3)) and to debt collection agencies as defined by inference in the Federal Collection Act of 1966 (31 USC 3711, section 3(f)(1) as amended.)

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: Records are stored on punch cards, magnetic tape, magnetic disk, microforms, and in file folders. Storage is at the geographic location of the servicing accounting office and the central payroll operations facility.

Retrievability:

Retrievability: Records are maintained by employee name. Social Security Account Numbers. Retrieval is often accomplished by use of telecommunications.

Safeguards:

Safeguards: Magnetic tape and disk files are kept with limited accessibility by agency personnel. Other files are retained mainly in unsecured work area but are locked during non-duty hours.

Retention and disposal:

Retention and Disposal: Employee Retirement records are retained until such time as the employee leaves the agency whereupon these records are transferred to the OPM. Original payment vouchers and supporting documentation are usually retained on site for a period of three years, and then are stored in GSA Records Centers before destruction when ten years and three months old. Certain payroll records are retained permanently at the GSA National Personnel Records Center and others are destroyed after GAO audit or when no longer useful. See FAA Order 1350.15A for records in the 2710 and the 2730 series for specific details on individual records covered by this system.

System manager(s) and address:

System Manager(s) and Address: Uniform Payroll System Operations Manager (UPSOM),
Mike Monroney Aeronautical Center,
Oklahoma City, Oklahoma. Uniform Accounting Systems Manager, AAA-410
Accounting Systems Branch
800 Independence Ave., SW
Washington, DC 20591

Notification procedure:

Notification Procedure: Individuals wishing to know if their records appear in this system may inquire in person or in writing to the System Manager.

Record access procedures:

Record Access Procedure: Individuals who desire access to the information about themselves in this system of records should contact or address their inquiries to the System Manager.

Contesting record procedures:

Contesting Record Procedure: Individuals who desire to contest information about themselves contained in this system of records should contact or address their inquiries to the Administrator or his delegate,
800 Independence Avenue, SW,
Washington, DC 20591.

Record source categories:

Record Source Categories: Data are collected from the individual employees, time and attendance clerks, and FAA offices.

DOT/FAA 807

System name:

System Name: Police Warrant File and Central Files DOT/FAA.

System location:

System Location:
Police Branches,
Washington National and Dulles International Airports.
Civil Aviation Security Division,
Aeronautical Center,
Oklahoma City, OK 73125.

Categories of individuals covered by the system:

Categories of Individuals: Individuals failing to pay Violation Notices and individuals involved in a situation requiring a police report.
Individuals cited for parking and a traffic violation.
Individuals having criminal records.

Categories of records in the system:

Categories of Records: Individual Case File, file cards with warrant numbers, arrest records, traffic accident records, injury reports, loss, theft and complaints reports, traffic violations notice files.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: These records are used to carry out such required functions as:
Check for wanted individuals and vehicles.
Vehicle registration information.
Prior offense status, to testify in court hearings, to assist in case preparation by U.S. Attorney's Office.
See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: Records are maintained in file folders. Stored in metal file cabinets.

Retrievability:

Retrievability: Data are retrievable by individual name and/or cross referenced to a warrant number as a case file number.

Safeguards:

Safeguards: Files are retained in a secured work area accessible only by consent of guard on duty.

Retention and disposal:

Retention and Disposal: Warrants are disposed of when warrant has been paid, case files are kept permanently. Records of citations destroyed after 1 year.

System manager(s) and address:

System Manager(s) and Address: Director, Metropolitan Washington Airports.
Washington National Airport,
Hangar 9,
Washington, DC 20001.
Manager, Civil Aviation Security Division,
Aeronautical Center,
Oklahoma City, OK 73125.

Notification procedure:

Notification Procedure: Individuals wishing to know if their records appear in this system of records may inquire in person or in writing to the System Manager.

Record access procedures:

Record Access Procedure: Individuals who desire access to the information about themselves in this system of records should contact or address their inquiries to the System Manager.

Contesting record procedures:

Contesting Record Procedure: Individuals who desire to contest information about themselves contained in this system of records should contact or address their inquiries to the Administrator or his delegate,
800 Independence Avenue, SW,
Washington, DC 20591.

Record source categories:

Record Source Categories: Agency employees, arresting officers, investigating officers, other agencies, witnesses.

Systems exempted from certain provisions of the act:

Exemptions: System is exempt from certain subsections of the Privacy Act. The purpose of the exemption is to prevent compromise or impairment of criminal investigations conducted by the Airport Police Branches. The exemption rule may be found on page 49887 of the Friday, October 24, 1975, issue of the Federal Register.

DOT/FAA 810

System name:

System Name: Discrimination Complaint Files, DOT/FAA.

System location:

System Location: These records are maintained at FAA regional and center Civil Rights Offices and at the FAA Office of Civil Rights in Washington, D.C.

Categories of individuals covered by the system:

Categories of Individuals: This system of records contains information regarding FAA employees, and applicants for FAA employment, who are directly or indirectly involved in a discrimination complaint filed with FAA.

Categories of records in the system:

Categories of Records: Case files developed in processing complaints of discrimination.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: Investigation of alleged discrimination.
Preparation of analytical and statistical studies and reports.
See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: These records are maintained in approved security files and containers.

Retrievability:

Retrievability: These records are retrieved by name.

Safeguards:

Safeguards: Access to and use of these records are limited to those persons whose official duties require such access.

Retention and disposal:

Retention and Disposal: These records are destroyed 5 years after the final decision is rendered.

System manager(s) and address:

System Manager(s) and Address: Director, Office of Civil Rights, ACR-1, FAA,
800 Independence Avenue, SW,
Washington, DC 20591.
and regional and center Civil Rights Offices.

Notification procedure:

Notification Procedure: Individuals wishing to know if their records appear in this system of records may inquire in person or in writing to the System Manager.

Record access procedures:

Record Access Procedure: Individuals who desire access to the information about themselves in this system of records should contact or address their inquiries to the System Manager.

Contesting record procedures:

Contesting Record Procedure: Individuals who desire to contest information about themselves contained in this system of records should contact or address their inquiries to the Administrator or his delegate,
800 Independence Avenue, SW,
Washington, DC 20591.

Record source categories:

Record Source Categories: Information contained in this system comes from complaints filed by complainants; EEO counselor reports; investigative reports; and departmental decisions.

DOT/FAA 811

System name:

System Name: Employee Health Record System, DOT/FAA.

System location:

System Location: These records are maintained at DOT regional, center and Washington medical facilities or other government health units servicing the employees' geographic locations.

Categories of individuals covered by the system:

Categories of Individuals: This system of records contains information regarding DOT employees.

Categories of records in the system:

Categories of Records: This system of records contains documents constituting the basic medical record of a DOT employee, including medical examination reports, laboratory findings, correspondence, retirement, fitness for duty examinations, health and physical training records, and related papers.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: To document employee health unit visits and nature of complaint or physical examination findings, treatment rendered and case disposition. To be used by agency officials and consultants to determine employee fitness for duty or employment.
To monitor the physical condition of employees enrolled in the DOT Employee Fitness Program.
To prepare analytical and statistical studies and reports.
See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: These records are maintained in approved security files and containers, on magnetic tape and magnetic disk.

Retrievability:

Retrievability: These records are indexed by name and social security number.

Safeguards:

Safeguards: Access to and use of these records in manual or automated form is limited to those persons whose official duties require such access. This record management principle is reinforced by appropriate physical, technical and administrative safeguards as prescribed by FAA Security directives applicable to both manual and automated record systems.

Retention and disposal:

Retention and Disposal: These records are destroyed 20 years after the date of last entry.

System manager(s) and address:

System Manager(s) and Address: Regional Flight Surgeon within region where examination was conducted.
Manager, Aeromedical Clinical Branch, AAC-160
Aeronautical Center, Oklahoma City, Oklahoma.
Manager, Clinical Specialties Division,
Washington, DC 20591
Manager, DOT Employee Fitness Center,
Washington, DC 20590
Manager, Occupational Health Division, AAM-400
Washington, DC 20591

Notification procedure:

Notification Procedure: Individuals wishing to know if their records appear in this system of records may inquire in person or in writing to the System Manager.

Record access procedures:

Record Access Procedure: Individuals who desire access to the information about themselves in this system of records should contact or address their inquiries to the System Manager.

Contesting record procedures:

Contesting Record Procedure: Individuals who desire to contest information about themselves contained in this system of records should contact or address their inquiries to the Administrator or his delegatee, 800 Independence Avenue, SW, Washington, DC 20591 or the Assistant Secretary for Administration or his delegatee, Department of Transportation, 400 Seventh Street, SW, Washington, DC 20590.

Record source categories:

Record Source Categories: Information contained in this system comes from the employee and from attending physicians and nurses and from associated medical reports.

DOT/FAA 813

System name:

System Name: Civil Aviation Security System, DOT/FAA.

System location:

System Location: These records are maintained at FAA Civil Aviation Security Field Offices, regional Civil Aviation Security Divisions, and at the Office of Civil Aviation Security in Washington, D.C.

Categories of individuals covered by the system:

Categories of Individuals: This system of records contains information regarding hijackers, potential hijackers, saboteurs, potential saboteurs, extortionists, terrorists, and other individuals who have been involved or might be involved in crimes against civil aviation.

Categories of records in the system:

Categories of Records: This system of records contains information regarding hijacking; civil aviation sabotage incidents; potential or suspected hijackers; civil aviation saboteurs; explosives or devices found on aircraft, at airports, or at civil aviation offices or facilities; attempts to board aircraft or enter airport sterile areas with concealed weapons; and other civil aviation criminal acts.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses:

Source of data regarding air piracy/civil aviation sabotage threats for dissemination to airport and air carrier security officers.

Preparation of alerts, bulletins, and summaries on incidents affecting civil aviation security and threats to civil aviation for distribution to interested government and aviation organizations.

Preparation of summaries for development/change of security procedures in civil aviation for distribution to interest government and aviation- oriented organizations.

Respond to authorized inquiries.

Preparation of analytical and statistical studies and reports for distribution to interested government and aviation-oriented organizations and the public upon request.

See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: These records are maintained in approved security files and containers.

Retrievability:

Retrievability: These records are indexed by name and/or incident.

Safeguards:

Safeguards: Access to and use of these records are limited to those persons whose official duties require such access.

Retention and disposal:

Retention and Disposal: These records are maintained indefinitely.

System manager(s) and address:

System Manager(s) and Address: Manager, Aviation Security Division, ACS-100
Office of Civil Aviation Security,
Federal Aviation Administration,
800 Independence Avenue, SW,
Washington, DC 20591, and regional Civil Aviation Security organizations.

Notification procedure:

Notification Procedure: Individuals wishing to see their records may appear in person or submit in writing a request identifying record desired.

For identification an individual must submit his or her name to the System Manager.

Record access procedures:

Record Access Procedure: Individuals who desire information about themselves in this system of records should contact or address their inquiries to the System Manager.

Contesting record procedures:

Contesting Record Procedure: Individuals who desire to contest information about themselves contained in this system of records should contact or address their inquiries to the Administrator or his delegate,
800 Independence Avenue, SW,
Washington, DC 20591.

Record source categories:

Record Source Categories: Information contained in this system comes from other FAA records; Federal, State, or local agencies; foreign sources; public record sources; and third parties.

Systems exempted from certain provisions of the act:

Exemptions: System is exempt from certain subsections of the Privacy Act. The purpose of these exemptions is to protect investigatory material compiled for law enforcement purposes and to prevent the disclosure of material authorized to be kept secret in the interest of the national defense or foreign policy in accordance with 5 U.S.C. 552 (b)(1) and 552a(k)(1). Disclosure of investigatory material would hamper law enforcement by prematurely disclosing the knowledge of illegal activity and the evidentiary basis for possible enforcement actions. The exemption rule may be found on page 22564 of the Friday, June 4, 1976, issue of the Federal Register.

DOT/FAA 814

System name:

System Name: Equal Employment Opportunity Minority/Female Statistical Reporting System, DOT/FAA.

System location:

System Location: These records are maintained at FAA regional and center Civil Rights Offices and at the FAA Office of Civil Rights in Washington, D.C.

Categories of individuals covered by the system:

Categories of Individuals: This system of records contains information on all FAA employees.

Categories of records in the system:

Categories of Records: This system of records contains information (187 data elements) such as name, organization, social security number, racial background, etc.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: Monitor and evaluate status and progress of minority/female employment.

Preparation of analytical and statistical studies and reports.

See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: These records are in the form of magnetic tape and computer listings and are stored in magnetic tape security areas and in file cabinets.

Retrievability:

Retrievability: These records are retrieved by name or Social Security Number.

Safeguards:

Safeguards: Access to data in this system is limited to the Director, Office of Civil Rights, or to those authorized by him.

Retention and disposal:

Retention and Disposal: This system is updated monthly and the replaced master tape is reused in the normal data processing manner.

System manager(s) and address:

System Manager(s) and Address: Director, Office of Civil Rights, FAA,
800 Independence Avenue, SW,
Washington, DC 20591 and regional and center Civil Rights Offices.

Notification procedure:

Notification Procedure: Individuals wishing to know if their records appear in this system of record may inquire in person or in writing to the System Manager.

Record access procedures:

Record Access Procedure: Individuals who desire access to the information about themselves in this system of records should contact or address their inquiries to the System Manager.

Contesting record procedures:

Contesting Record Procedure: Individuals who desire to contest information about themselves contained in this system of records should contact or address their inquiries to the Administrator or his delegate,
800 Independence Avenue, SW,
Washington, DC 20591.

Record source categories:

Record Source Categories: Personal observation.
Self identification.
Manpower records.
Organization records.

DOT/FAA 815

System name:

System Name: Investigative Record System, DOT/FAA.

System location:

System Location: These records are maintained at FAA regional Civil Aviation Security Divisions and Center Investigations and Security Divisions, and the Office of Civil Aviation Security in Washington, D.C., and Federal Records Centers.

Categories of individuals covered by the system:

Categories of Individuals: Current and former applicants for FAA employment.

Current and former FAA employees.
Individuals considered for access to classified information or restricted areas and/or security determinations as contractors, employees of contractors, experts, instructors, and consultants to Federal programs.
Aircraft owners.
Flight Instructors.
Pilots.
Mechanics.
Designated FAA representatives.
Other individuals certificated by FAA.
Individuals involved in tort claims against the FAA.
Employees, grantees, subgrantees, contractors, subcontractors, and applicants for FAA funded programs.
Other individuals who are of investigative interest to FAA, law enforcement, or investigative agencies.

Categories of records in the system:

Categories of Records: Results of investigations and inquiries conducted by the Office of Civil Aviation Security; FAA regional Civil Aviation Security Divisions and center Investigations and Security Divisions; information received in various formats from, and results of investigations conducted by Federal, State, and local investigative or law enforcement agencies which relate to the mission and function of the Office of Civil Aviation Security and field elements.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: In the event of an indication of any violation or potential violation of the law, whether civil, criminal, or regulatory in nature, and whether arising by statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency whether Federal, State, local, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing Such referral shall also include, and be deemed to authorize,

(1) Any and all appropriate and necessary uses of such records in a court of law and before an administrative board or hearing, including referrals related to probation and parole matters, and
(2) Such other inter-agency referrals as may be necessary to carry out the receiving agency's assigned law enforcement duties, or general crime prevention and detection efforts.

To authorized officers and employees of FAA and other agencies and departments of the Federal Government, and the District of Columbia Government, having an interest in the individual for employment purposes, including a security clearance or access determination, and a need to evaluate qualifications, suitability, and loyalty to the United States Government.

To officials from FAA and DOT administrative, operating and regulatory components who require access to the record to fulfill their responsibilities contained in Executive Orders, Civil Service Commission Regulations, Federal Aviation Regulations and Orders or Federal statutes.

To authorized representatives of Federal agencies and departments who require access to the file pursuant to an investigation or inquiry conducted under appropriate statutes, Executive Orders or administrative procedures of Federal Government. This can include investigations completed by FAA and referred to other Federal agencies for further investigation, prosecution or administrative action.

To authorized officers and employees of FAA having the responsibility to grant security clearance, make determinations regarding access to classified information or restricted areas, or to evaluate qualifications, suitability, or loyalty to the United States Government, in connection with performance of a service to the Federal Government under a contract or other agreement.

To authorized representatives of U.S. air carriers where air safety might be affected.

As a data source for management information for production of summary descriptive statistics and analytical studies in support of the function for which the records are collected and maintained, or for related personnel management functions or manpower studies; may also be utilized to respond to general requests for statistical information (without personal identification of individuals).

See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: These records are stored in approved security file cabinets and containers.

Retrievability:

Retrievability: These records are indexed alphabetically by name.

Safeguards:

Safeguards: Access to and use of these records are limited to those persons whose official duties require such access.

Retention and disposal:

Retention and Disposal: These records are destroyed or retired to the area Federal Records Center and then destroyed in accordance with FAA Order 1350.15, Records Organization Transfer and Destruction Standards.

The retention and destruction period for each record varies depending on the type of record, category of investigation, or significance of the information contained in the record.

All records are destroyed by approved methods.

System manager(s) and address:

System Manager(s) and Address: The FAA Investigative Record System is decentralized and requests for such records should be directed to the appropriate System Manager as follows:

For the Washington Metropolitan area, excluding Eastern Region jurisdiction:
Director of Civil Aviation Security
800 Independence Avenue, SW,
Washington, DC 20591.
For the geographical area under the jurisdiction of the various regions:
Manager, Civil Aviation Security Division, of the appropriate region. (See the FAA National Field Directory, 1000.23F, for addresses).
For the jurisdiction of the FAA Technical Center
Manager, Investigations and Security Division,
FAA Technical Center
Atlantic City, NJ 08405.
For the jurisdiction of the Mike Monroney Aeronautical Center:
Manager, Investigations and Security Division,
Aeronautical Center,
Oklahoma City, OK 73125.

Notification procedure:

Notification Procedures: An individual may inquire as to whether the system contains a record pertaining to him or to her by addressing a written request to any of the Systems Managers identified above. The request should include the full name and date and place of birth of the individual, and any available information regarding the type of record involved, and the category of individual under which the requester feels he or she fits.

Record access procedures:

Record Access Procedures: Individuals who wish to gain access to such records should contact the System Manager. However investigative data compiled for law enforcement purposes may be exempt from the access provision pursuant to 5 U.S.C. 552a(k)(2) and (k)(5).

Contesting record procedures:

Contesting Record Procedure: Individuals who desire to contest information about themselves contained in this system of records should contact or address their inquiries to the Administrator or his delegate,

800 Independence Avenue, SW,
Washington, DC 20591.

Record source categories:

Record Source Categories: These records contain information obtained from interviews, review of records, and other authorized, applicable investigative techniques.

Systems exempted from certain provisions of the act:

Exemptions: System is exempt from certain subsections of the Privacy Act. The purpose of the exemption is to protect materials classified in the national interest and to protect investigatory materials compiled for law enforcement purposes. Exemptions have been published in the FEDERAL REGISTER for this system. The exemptions may be applied pursuant to 5 U.S.C. 552 a(k)(1), (k)(2), and (k)(5).

DOT/FAA 816

System name:

System Name: Tort Claims and Personal Property Claims Record System, DOT/FAA.

System location:

System Location: These records are maintained at regional and center FAA Counsel Offices and Logistics Divisions.

Categories of individuals covered by the system:

Categories of Individuals: This system of records contains information regarding tort and property claimants who have filed claims against the Government/FAA.

Categories of records in the system:

Categories of Records: This system of records contains reports, vouchers, witness statements, legal decisions, and related material pertaining to claims by or against the Government resulting from FAA transactions, other than litigation cases.

Approved claims are sent to the Accounting Division for certification and payment by Treasury check.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: Investigation purposes.
Reference purposes.
Court action.
Doubtful claims are sent by Accounting Division to GAO for adjudication.
Some larger claims go to Department of Justice for approval or disapproval.
See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: These records are stored in approved file cabinets and containers.

Retrievability:

Retrievability: These records are indexed by name.

Safeguards:

Safeguards: Access to and use of these records are limited to those persons whose official duties require such access.

Retention and disposal:

Retention and Disposal: These records are destroyed 3 years after the final decision is rendered.

System manager(s) and address:

System Manager(s) and Address: Regional and center counsels and/or motor vehicle organization element.

Notification procedure:

Notification Procedure: Individuals who wish to know if they appear in this system should contact the system manager.

Record access procedures:

Record Access Procedure: Individuals who wish to gain access to their records should contact the System Manager.

Contesting record procedures:

Contesting Record Procedure: Individuals who desire to contest information about themselves contained in this system of records should contact or address their inquiries to the
Associate Administrator for Administration,
800 Independence Avenue, SW,
Washington, DC 20591.

Record source categories:

Record Source Categories: Claimant, investigation reports, and courts.

DOT/FAA 820

System name:

System Name: Pending legislation (Employee's) - Private Relief and Public/Private Laws (Employee's) Private Reliefs, DOT/FAA.

System location:

System Location: This system of records is located in the Office of Chief Counsel, Federal Aviation Administration, 800 Independence Avenue, SW, Washington, D. C. 20591.

Categories of individuals covered by the system:

Categories of Individuals: FAA employees for whom private relief legislation has been introduced in Congress.

Categories of records in the system:

Categories of Records: Travel information, litigation reports, collection vouchers, and real estate contracts.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: This system is for reference in order to formulate FAA's position on proposed private relief legislation for FAA employees. All information is released to the Office of Management and Budget.

See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: Information is stored in file cabinets.

Retrievability:

Retrievability: Data are indexed and retrieved by name of employee and employee number.

Safeguards:

Safeguards: No special safeguards required.

Retention and disposal:

Retention and Disposal: Records are transferred to Federal Records Center or destroyed when no longer needed.

System manager(s) and address:

System Manager(s) and Address: Legislative Assistant,
Legislative Staff,
Office of Chief Counsel,
FAA, 800 Independence Avenue, SW,
Washington, DC 20591.

Notification procedure:

Notification Procedure: Individuals wishing to know if their records appear in this system of records may inquire in person or in writing to the System Manager.

Record access procedures:

Record Access Procedure: Individuals who desire access to the information about themselves in this system of records should contact or address their inquiries to the System Manager.

Contesting record procedures:

Contesting Record Procedure: Individuals who desire to contest information about themselves contained in this system of records should contact or address their inquiries to the Administrator or his delegate,
800 Independence Avenue, SW,
Washington, DC 20591.

Record source categories:

Record Source Categories: Data are obtained from members of Congress and FAA records.

DOT/FAA 821

System name:

System Name: Litigation Information Management Systems, DOT/FAA.

System location:

System Location: This system of records is maintained within the Office of the Chief Counsel, FAA, 800 Independence Avenue, SW, Washington, D. C. 20591.

Categories of individuals covered by the system:

Categories of Individuals: This file contains information on Litigants, Claimants, Witnesses, Decedents, Plaintiff's Attorney, FAA Attorney and Department of Justice Attorney.

Categories of records in the system:

Categories of Records: Litigation and claim pleadings, discovery material, related documents (including background data on individual, or decedent involved), memoranda, correspondence, and other material necessary to respond to claims or prepare for litigation or hearings. Types of claims or litigation: Aircraft accidents, auto accidents, personnel and general litigation.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: The documents are produced or used in and for litigation and claims. These documents are disclosed to the Department of Justice. See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: Data are stored in lockable and unlockable file cabinets, individuals attorneys' offices, binders, index files and in computers.

Retrievability:

Retrievability: Access is by name, location of accident, and/or docket number.

Safeguards:

Safeguards: Data from these files are retrievable only by persons within the Office of the Chief Counsel or Regional Counsels.

Retention and disposal:

Retention and Disposal: Litigation files are kept for 2 years after case is closed, then sent to the Federal Records Center. All other records in this system are retained indefinitely.

System manager(s) and address:

System Manager(s) and Address: Chief,
Litigation Division,
Office of Chief Counsel,
Federal Aviation Administration,
800 Independence Avenue, SW,
Washington, DC 20591.

Notification procedure:

Notification Procedure: Individuals wishing to know if their records appear in this system of records may inquire in person or in writing to the System Manager.

Record access procedures:

Record Access Procedure: Individuals who desire access to the information about themselves in this system of records should contact or address their inquiries to the System Manager.

Contesting record procedures:

Contesting Record Procedure: Individuals who desire to contest information about themselves contained in this system of records should contact or address their inquiries to the Administrator or his delegate,
800 Independence Avenue, SW,
Washington, DC 20591.

Record source categories:

Record Source Categories: Employees of the Office of Chief Counsel, Federal courts, individuals and their attorney, FAA records, litigation files, etc.

DOT/FAA 822

System name:

System Name: Aviation Medical Examiner System, DOT/FAA.

System location:

System Location: Aeromedical Education Branch,
Civil Aeromedical Institute,
Aeronautical Center,
Oklahoma City, OK 73125.
Regional Flight Surgeons in all regional headquarters.

Categories of individuals covered by the system:

Categories of Individuals: Private physicians appointed as Aviation Medical Examiners and selected military units through agreement with the Surgeon Generals.

Categories of records in the system:

Categories of Records: The system includes records necessary to the operation of the system to establish qualifications of physicians, identification as to location within the system, actual performance in support of the system and records pertaining to training received from the system.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: By the Aeromedical Education Branch, AME Section, to determine training needs.

By Regional Flight Surgeons to evaluate the physician's performance in the AME System and determine reappointments.

By the Office of Aviation Medicine in Washington, D.C., in policy determination.

By General Aviation District Offices in locating and obtaining support of qualified AMEs.

By private organizations needing to contact and utilize the physician's services in his capacity of an AME.

See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: File folders, magnetic tapes, and hard copy.

Retrievability:

Retrievability: Information stored by Region, State, Name, and Control Number.

Safeguards:

Safeguards: File rooms with restricted access, three-combination safe with access by authorized personnel.

Retention and disposal:

Retention and Disposal: Paper designated examiner case files are retained until the physician is designated. Paper records of designations are transferred to the Federal Records Center after 10 years and destroyed after 25 years. Magnetic tapes of designations are updated continuously.

System manager(s) and address:

System Manager(s) and Address: Records from Master files:
Manager, Aeromedical Education Branch,
Aeronautical Center,
Oklahoma City, OK 73125.
Regional files from Regional Flight Surgeon within Region wherein the AME is appointed.

Notification procedure:

Notification Procedure: Individuals wishing to know if their records appear in this system of records may inquire in person or in writing to the System Manager.

Record access procedures:

Record Access Procedure: Individuals who desire access to the information about themselves in this system of records should contact or address their inquiries to the System Manager.

Contesting record procedures:

Contesting Record Procedure: Individuals who desire to contest information about themselves contained in this system of records should contact or address their inquiries to the Administrator or his delegate,
800 Independence Avenue, SW,
Washington, DC 20591.

Record source categories:

Record Source Categories: Information is obtained from the Aviation Medical Examiners themselves.

DOT/FAA 824

System name:

System Name: Medical Exemptions - Public Dockets, DOT/FAA.

System location:

System Location: Department of Transportation, The Office of the Chief Counsel,
FAA,
800 Independence Avenue, SW,
Washington, DC 20591.

Categories of individuals covered by the system:

Categories of Individuals: Persons petitioning for a medical exemption under Federal Aviation Regulations.

Categories of records in the system:

Categories of Records: Petitions for exemption, supporting and supplementary documentation submitted by petitioners, correspondence, and the grant or denial of the exemption.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: Compliance with statutory and regulatory provisions for public accessibility to rulemaking actions.

Disclosure to general public and other agencies.

See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: Original and copies of records in file folders.

Retrievability:

Retrievability Retrieved by exemption number, docket number, or alphabetical listing of petitioner names.

Safeguards:

Safeguards: Access through request to Docket Specialist.

Retention and disposal:

Retention and Disposal: Dockets are retained indefinitely; destruction not authorized.

System manager(s) and address:

System Manager(s) and Address: Docket and Regulations Specialist,
Office of the Chief Counsel,
FAA,
800 Independence Avenue, SW,
Washington, DC 20591.

Notification procedure:

Notification Procedure: Individuals wishing to know if their records appear in this system of records may inquire in person or in writing to the System Manager.

Record access procedures:

Record Access Procedure: Individuals who desire access to the information about themselves in this system of records should contact or address their inquiries to the System Manager.

Contesting record procedures:

Contesting Record Procedure: Individuals who desire to contest information about themselves contained in this system of records should contact or address their inquiries to the Administrator or his delegate,
800 Independence Avenue, SW,
Washington, DC 20591.

Record source categories:

Record Source Categories: Office of Aviation Medicine, FAA,
800 Independence Avenue, SW,
Washington, DC 20591.

DOT/FAA 825

System name:

System Name: Petitions for Rulemaking - Public Dockets, DOT/FAA.

System location:

System Location: Located in the Office of the Chief Counsel, Federal Aviation Administration, Washington, D.C. 20591.

Categories of individuals covered by the system:

Categories of Individuals: Persons petitioning for a change in the Federal Aviation Regulations.

Categories of records in the system:

Categories of Records: Petitions for rulemaking, correspondence, documents showing disposition of the petition and public comments on any resulting NPRM.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: Compliance with statutory and regulatory provisions for public accessibility to rulemaking actions.
Disclosure to general public and other government agencies.
See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: Original and copies of records are stored in unlocked file cabinets.

Retrievability:

Retrievability: Retrieved by exemption number, docket number, or alphabetical listing of petitioner names.

Safeguards:

Safeguards: Access through request to Dockets Specialist.

Retention and disposal:

Retention and Disposal: Transferred to Federal Records Center when inactive; destruction not authorized.

System manager(s) and address:

System Manager(s) and Address: Docket and Regulations Specialist,
Office of the Chief Counsel,
FAA,
800 Independence Avenue, SW,
Washington, DC 20591.

Notification procedure:

Notification Procedure: Individuals wishing to know if their records appear in this system of records may inquire in person or in writing to the System Manager.

Record access procedures:

Record Access Procedure: Individuals who desire access to the information about themselves in this system of records should contact or address their inquiries to the System Manager.

Contesting record procedures:

Contesting Record Procedure: Individuals who desire to contest information about themselves contained in this system of records should contact or address their inquiries to the Administrator or his delegate,
800 Independence Avenue, SW,
Washington, DC 20591.

Record source categories:

Record Source Categories: Petitions for rulemaking.

DOT/FAA 826

System name:

System Name: Petitions for Exemption (Other than Medical Exemption) - Public Dockets, DOT/FAA.

System location:

System Location: Located in the Office of the Chief Counsel, FAA, Washington, D.C.

Categories of individuals covered by the system:

Categories of Individuals: Persons petitioning for an exemption (other than medical) under the Federal Aviation Regulations.

Categories of records in the system:

Categories of Records: Petitions for exemptions, supplementary information, correspondence and the grant or denial of the exemption.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: Compliance with statutory and regulatory provisions for public accessibility to rulemaking actions.
Disclosure to general public and other government agencies.
See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: Original and copies of records stored in unlocked file cabinets.

Retrievability:

Retrievability: Retrieved by exemption number, docket number, or alphabetical listing of petitioner names.

Safeguards:

Safeguards: Access through request to Dockets Specialist.

Retention and disposal:

Retention and Disposal: Transferred to Federal Records Center when inactive; destruction not authorized.

System manager(s) and address:

System Manager(s) and Address: Rules Docket Section, AGC-204
Office of the Chief Counsel,
FAA,
800 Independence Avenue, SW,
Washington, DC 20591.

Notification procedure:

Notification Procedure: Individuals wishing to know if their records appear in this system of records may inquire in person or in writing to the System Manager.

Record access procedures:

Record Access Procedure Individuals who desire access to the information about themselves in this system of records should contact or address their inquiries to the System Manager.

Contesting record procedures:

Contesting Record Procedure: Individuals who desire to contest information about themselves contained in this system of records should contact or address their inquiries to the Administrator or his delegate,

800 Independence Avenue, SW,
Washington, DC 20591.

Record source categories:

Record Source Categories: Petitions for exemptions.

DOT/FAA 827

System name:

System Name: Environmental Litigation Files, DOT/FAA.

System location:

System Location: Located in the Office of the Chief Counsel, FAA, Washington, D.C.

Categories of individuals covered by the system:

Categories of Individuals: Litigants, witnesses, plaintiff's attorney, FAA attorney, Department of Justice Attorney, etc.

Categories of records in the system:

Categories of Records: Information on litigation, pleadings, discovery material, related documents, (including background data on individual involved), memoranda, correspondence, and other material necessary to respond to claim or prepare for litigation or hearings.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: Litigation; documents are produced or used in and for litigation and are disclosed to the Department of Justice.

See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: File folders stored in locked and unlocked file cabinets and individual attorney's offices.

Retrievability:

Retrievability: Retrieved by caption of the particular litigation.

Safeguards:

Safeguards: Access by Office of Chief Counsel personnel only.

Retention and disposal:

Retention and Disposal: Files are kept for 2 years after case has been closed and then sent to Records Center.

System manager(s) and address:

System Manager(s) and Address: Manager, Airports/Environmental Law Branch, AGC-130

Office of the Chief Counsel,
FAA,
800 Independence Avenue, SW,
Washington, DC 20591.

Notification procedure:

Notification Procedure: Individuals wishing to know if their records appear in this system of records may inquire in person or in writing to the System Manager.

Record access procedures:

Record Access Procedure: Individuals who desire access to the information about themselves in this system of records should contact or address their inquiries to the System Manager.

Contesting record procedures:

Contesting Record Procedure: Individuals who desire to contest information about themselves contained in this system of records should contact or address their inquiries to the Administrator or his delegate,

800 Independence Avenue, SW,
Washington, DC 20591.

Record source categories:

Record Source Categories: Federal courts, individuals and their attorneys, FAA records, litigation files, etc.

DOT/FAA 828

System name:

System Name: Physiological Training System, DOT/FAA.

System location:

System Location: Aeromedical Education Branch,
Civil Aeromedical Institute,
Aeronautical Center,
Oklahoma City, OK 73125.

Categories of individuals covered by the system:

Categories of Individuals: The training is primarily of benefit to pilots. It is also recommended for other air crew personnel, Air Traffic Controllers, Aviation Medical Examiners, and other personnel from the national aviation system.

Categories of records in the system:

Categories of Records: The system includes records necessary to establish qualifications of eligibility to receive physiological training, maintain accountability of funds required for training and transfer of funds to involved agencies, and to provide proper evidence of training.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: By the Aeromedical Education Branch, Airman Education Section to determine training qualifications.

By the Accounting Division, General Accounting Branch, for receipt and transfer of training funds.

By the Aeromedical Education Branch, Airman Education Section, to provide proper evidence of training.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: Card file, and file folders.

Retrievability:

Retrievability: Information files by name and location of training.

Safeguards:

Safeguards: Files access restricted to Aeromedical Education Branch personnel.

Retention and disposal:

Retention and Disposal: Files are retained for 5 years after completion of training and then destroyed.

System manager(s) and address:

System Manager(s) and Address: Chief, Aeromedical Education Branch,

Aeronautical Center,
Oklahoma City, OK 73125.

Notification procedure:

Notification Procedure: Individuals wishing to know if their records appear in this system of records may inquire in person or in writing to the System Manager.

Record access procedures:

Record Access Procedure: Individuals who desire access to the information about themselves in this system of records should contact or address their inquiries to the System Manager.

Contesting record procedures:

Contesting Record Procedure: Individuals who desire to contest information about themselves contained in this system of records should contact or address their inquiries to the Administrator or his delegate,

800 Independence Avenue, SW,
Washington, DC 20591.

Record source categories:

Record Source Categories: Information is obtained from the individuals themselves.

DOT/FAA 830

System name:

System Name: Representatives of the Administrator, DOT/FAA.

System location:

System Location: This system is located and maintained as a decentralized system with all designations being maintained at General Aviation District Offices, Air Carrier District Offices, Flight Standards District Offices, Manufacturing Inspection District Offices and Satellite offices, Aircraft Certification Divisions, Flight Standards Divisions, Aircraft Certification offices, Air Traffic and Aviation Medicine Headquarters, regional or field offices that designate Air Traffic Control Tower Operator Examiners, Aviation Medical Examiners, Forensic Pathologists, and the International field offices where designations were made with lists of certain categories of representatives maintained by individual FAA Regional Offices to whom the designating field offices report, and with master lists of certain categories of representatives maintained at the Aeronautical Center and FAA Headquarters, Washington, D.C.

Categories of individuals covered by the system:

Categories of Individuals: Aviation Medical Examiners, Pilot Examiners, Technical Personnel Examiners, designated Engineering Representatives, designated Manufacturing Inspection Representatives, Designated Mechanic Examiners, Designated Parachute Riggers, Examiners, Designated Airworthiness Representatives.

Categories of records in the system:

Categories of Records: Records on qualification, certification, and appointment authorization.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: To provide a data base for management use of the numbers and qualifications of individuals designated as representatives.

To facilitate written and oral communication between the FAA and its representatives.

To provide the public with the names and addresses of certain categories of representatives who may provide service to them.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: Records are maintained in file folders and card files.

Retrievability:

Retrievability: Records are filed by designee name and retrieved by same.

Safeguards:

Safeguards: Records are stored in lockable file cabinets.

Retention and disposal:

Retention and Disposal: Records are retained during the life of the designated, then destroyed 2 years after expiration of the designation.

System manager(s) and address:

System Manager(s) and Address: Manager of the office where the designation was made.

Notification procedure:

Notification Procedure: Individuals wishing to know if their records appear in this system of records may inquire in person or in writing to the System Manager.

Record access procedures:

Record Access Procedure: Individuals who desire access to the information about themselves in this system of records should contact or address their inquiries to the System Manager.

Contesting record procedures:

Contesting Record Procedure: Individuals who desire to contest information about themselves contained in this system of records should contact or address their inquiries to the Administrator or his delegate,

800 Independence Avenue, SW,
Washington, DC 20591.

Record source categories:

Record Source Categories: Information in this system of records either comes from the individual to whom it applies or is derived from information he supplied.

DOT/FAA 831

System name:

System Name: Standard Procedure Uniform Reporting System (SPUR), DOT/FAA.

System location:

System Location: This system is located at all General Aviation District Offices (GADO), Air Carrier District Offices (ACDO), Flight Standards District Offices (FSDO) in all regions.

Categories of individuals covered by the system:

Categories of Individuals: Pilots, mechanics, parachute rigger examiners, flight instructors, authorized inspectors, air taxi operators, and avionics repairmen.

Categories of records in the system:

Categories of Records: Accident reports, supplement reports, remedial checks, violations, records of inspections, surveillance and certification.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: Aids supervisors in developing work plans and work measurements to accomplish agency mission.

Release to state aviation authorities for seminars and workshops.

See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: Posted on big board in office and in file cabinets in office.

Retrievability:

Retrievability: Data are retrieved by name of individual to be examined.

Safeguards:

Safeguards: Data are available only in the conduct of official business.

Retention and disposal:

Retention and Disposal: When the individual is no longer affiliated with the agency, or no further action is required.

System manager(s) and address:

System Manager(s) and Address: Manager of the GADO, ACDO, FSDO in region where individual is operating or assigned.

Notification procedure:

Notification Procedure: Individuals wishing to know if their records appear in this system of records may inquire in person or in writing to the System Manager.

Record access procedures:

Record Access Procedure: Individuals who desire access to the information about themselves in this system of records should contact or address their inquiries to the System Manager.

Contesting record procedures:

Contesting Record Procedure: Individuals who desire to contest information about themselves contained in this system of records should contact or address their inquiries to the Administrator or his delegate,

800 Independence Avenue, SW,
Washington, DC 20591.

Record source categories:

Record Source Categories: By the applicant, by inspector surveillance, or by being reported by an FAA official.

DOT/FAA 832

System name:

System Name: Pilot/Flight Engineer/Navigator Flight Record System, DOT/FAA.

System location:

System Location: Headquarters Aircraft Management Staff
Washington National Airport
Aviation Standards National Field Office
Washington, D.C.
Aeronautical Center,
Oklahoma City, Oklahoma;
FAA Technical Center
Atlantic City, New Jersey;
and all regional offices.

Categories of individuals covered by the system:

Categories of Individuals: All FAA pilots, flight engineers and navigators assigned to FAA Flight Programs.

Categories of records in the system:

Categories of Records: Flight check records, list showing flight time, certifications and flight logs.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: These records are used by flight program management personnel to determine qualifications of crewmembers to:

Fly agency aircraft.
Utilize rental aircraft.

See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: Records are stored on magnetic tape, cardex files, and in file folders.

Retrievability:

Retrievability: Records are retrieved by employee name and crewmember number.

Safeguards:

Safeguards: Records are stored in a restricted, controlled-access area and are used only in the conduct of official business.

Retention and disposal:

Retention and Disposal: Cardex and folder files are destroyed one year after pilot's separation and transfer from agency. Magnetic tape is updated periodically.

System manager(s) and address:

System Manager(s) and Address: Manager, Planning and Scheduling Branch, AAC-850.
Aeronautical Center,
Oklahoma City, OK 73125.
Manager, Flight Programs Division
Aviation Standards National Field Office Oklahoma City, OK 73125
or Aircraft Management Branch in region where employed.

Notification procedure:

Notification Procedure: Individuals wishing to know if their records appear in this system of records may inquire in person or in writing to the System Manager.

Record access procedures:

Record Access Procedure: Individuals who desire access to the information about themselves in this system of records should contact or address their inquiries to the System Manager.

Contesting record procedures:

Contesting Record Procedure: Individuals who desire to contest information about themselves contained in this system of records should contact or address their inquiries to the Administrator or his delegate,
800 Independence Avenue, SW,
Washington, DC 20591.

Record source categories:

Record Source Categories: Flight check records submitted by the individual to whom the record pertains; reports submitted by the pilot in command of each flight.

DOT/FAA 833

System name:

System Name: Housing Management Monthly Report, RIS: AL-4930-3, DOT/FAA.

System location:

System Location: Alaskan Regional Office,
701 C Street, Box 14
Anchorage, AK 99513.

Categories of individuals covered by the system:

Categories of Individuals: Names of employees occupying FAA owned or leased housing.
Names of employees and agencies who lease FAA housing in Alaska.

Categories of records in the system:

Categories of Records: Housing records, leases, maintenance bills, damage reports.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: Maintain percentage of occupancy.
Maintain up-to-date record of maintenance cost.
Maintain up-to-date list of persons occupying FAA units.
Provide above information to Sector Managers.
Provide above information to local station.
See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: Filing cabinet, Real Estate and Utilities Branch AAL-58B.

Retrievability:

Retrievability: Station location.
Unit numbers.
Name of employee.
Number of dependents.
Pay period rental rate.

Safeguards:

Safeguards: Retrieved only by agency personnel and used only in the conduct of official business.

Retention and disposal:

Retention and Disposal: Monthly records are destroyed upon receipt of next month's ADP run.
End of year reports are retained.

System manager(s) and address:

System Manager(s) and Address: Housing Management Officer, AAL-58B
701 C Street, Box 14
Anchorage, AK 99513.

Notification procedure:

Notification Procedure: Individuals wishing to know if their records appear in this system of records may inquire in person or in writing to the System Manager.

Record access procedures:

Record Access Procedure: Individuals who desire access to the information about themselves in this system of records should contact or address their inquiries to the System Manager.

Contesting record procedures:

Contesting Record Procedure: Individuals who desire to contest information about themselves contained in this system of records should contact or address their inquiries to the Administrator or his delegate,
800 Independence Avenue, SW,
Washington, DC 20591.

Record source categories:

Record Source Categories: Employees.
Employees of other agencies that lease housing from FAA.

DOT/FAA 834

System name:

System Name: Commissary Billing , DOT/FAA.

System location:

System Location: FAA,
Alaskan Region,
Anchorage, Alaska.

Categories of individuals covered by the system:

Categories of Individuals: FAA Employees.

Categories of records in the system:

Categories of Records: Commissary Billing Invoices.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: Bill FAA employees for goods received from the FAA Commissary.
Commissary sales analysis.
See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: File folders.
Data processing tapes.

Retrievability:

Retrievability: Organization, Voucher Number, Name.

Safeguards:

Safeguards: Restricted computer room access and used only in the conduct of official business.

Retention and disposal:

Retention and Disposal: Billing statement tape held for 30 days after last use, then erased.
Matching listing held 2 years, then sent to storage.

System manager(s) and address:

System Manager(s) and Address: Chief, Accounting Division, AAL-20,
FAA,
701 C Street, Box 14, Anchorage, AK 99513.

Notification procedure:

Notification Procedure: Individuals wishing to know if their records appear in this system of records may inquire in person or in writing to the System Manager.

Record access procedures:

Record Access Procedure: Individuals who desire access to the information about themselves in this system of records should contact or address their inquiries to the System Manager.

Contesting record procedures:

Contesting Record Procedure: Individuals who desire to contest information about themselves contained in this system of records should contact or address their inquiries to the Administrator or his delegate,
800 Independence Avenue, SW,
Washington, DC 20591.

Record source categories:

Record Source Categories: Individuals requesting goods from the FAA Commissary.

DOT/FAA 837

System name:

System Name: Photographs and Biographical Information, DOT/FAA.

System location:

System Location: Office of Public Affairs,
FAA,
800 Independence Avenue, SW,
Washington, DC 20591.
And
Public Affairs Offices at the following FAA Regions and Centers:
Aeronautical Center,
P.O. Box 25082,
Oklahoma City, OK 73125.
Alaskan Region,
701 C Street, Box 14,
Anchorage, AK 99513
Central Region,
601 East 12th Street,
Kansas City, MO 64106.
Eastern Region,
Federal Bldg., JFK International Airport,
Jamaica, NY 11430.
Great Lakes Region,
2300 E. Devon Avenue,
Des Plaines, IL 60018.
FAA Technical Center
Atlantic City, NJ 08405.
New England Region,
12 New England Executive Park,
Burlington, MA 01803.
Northwest Region,
FAA Building, Boeing Field,
Seattle, WA 98108.
Pacific-Asia Region,
P.O. Box 4009,
Honolulu, HA 96813.
Rocky Mountain Region,
10455 E. 25th Ave.
Aurora, CO 80010.
Southern Region,
P.O. Box 20636,
Atlanta, GA 30320.
Southwest Region,
P.O. Box 1689,
Fort Worth, TX 76101.
Western Region,
P.O. Box 92007,
World Way Postal Center,
Los Angeles, CA 90009.

Categories of individuals covered by the system:

Categories of Individuals: FAA employees and other individuals who may appear with them in candid photographs.

Categories of records in the system:

Categories of Records: Biographical data; portrait and candid photographs.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: The system is maintained to provide information to the public--particularly the news media--and for use in employee publications. See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: Records are stored in file cabinets.

Retrievability:

Retrievability: Records indexed alphabetically by name or subject.

Safeguards:

Safeguards: Access through request to the System Manager. These records are used only in the conduct of official business.

Retention and disposal:

Retention and Disposal: Materials retained as long as individual or event is newsworthy, following which they are destroyed. In certain cases, material is retained for historical purposes.

System manager(s) and address:

System Manager(s) and Address: Assistant Administrator for Public Affairs and Public Affairs Officers at above addresses.

Notification procedure:

Notification Procedure: Individuals wishing to know if their records appear in this system of records may inquire in person or in writing to the System Manager.

Record access procedures:

Record Access Procedures: Individuals who desire access to the information about themselves in this system of records should contact or address their inquiries to the System Manager.

Contesting record procedures:

Contesting Record Procedures: Individuals who desire to contest information about themselves contained in this system of records should contact or address their inquiries to the Administrator or his delegate,
800 Independence Avenue, SW,
Washington, DC 20591.

Record source categories:

Record Source Categories: FAA employees and other individuals who may appear with them in candid photographs.

DOT/FAA 839

System name:

System Name: Printing Branch Distribution System, DOT/FAA

System location:

System Location: FAA Office of Management Systems,
Data Processing Center, AMS-350
400 7th St., SW
Washington, DC 20591.

Categories of individuals covered by the system:

Categories of Individuals: Individuals or governmental agencies interested in receiving Federal Aviation Documents.

Categories of records in the system:

Categories of Records: Names and addresses of those individuals and/or governmental organizations wishing to be placed on the mailing lists for FAR's, AC's, NPRM's, the AIM, and various miscellaneous publications.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: To serve as a comprehensive mailing list of individuals and/or governmental agencies for dissemination of all and/or specific parts of FAR's, AC's, NPRM's, the AIM, and various miscellaneous publications.

Subject system of records correlates or matches specific consumer information requirement to subject category information contained in the FAR's, AC's, NPRM's, the AIM, and miscellaneous publications, thereby reducing printing costs and, at the same time, satisfying the particular needs and interests of the recipients of desired information.

See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: Records are stored on magnetic tape.

Retrievability:

Retrievability: Records are retrieved by record identification numbers (state code, city code, first five characters of last name of customer, and first initial of customer).

Safeguards:

Safeguards: Magnetic Tape - Data can only be retrieved by computer operators as authorized by the System Manager or delegate.
Requests for disclosure of and access to records are screened carefully and must satisfy the 'need-to-know' policy.
The file room is open to agency personnel only.

Retention and disposal:

Retention and Disposal: Magnetic tapes are updated annually as a result of canvassing, and retention and disposal of records are governed by consumer requests, in writing.

System manager(s) and address:

System Manager(s) and Address: Manager, Systems Support Division, AMS-100,
Office of Management Systems,
FAA,
800 Independence Avenue, SW,
Washington, DC 20591.

Notification procedure:

Notification Procedure: Individuals wishing to know if their records appear in this system of records may inquire in person or in writing to the System Manager.

Record access procedures:

Record Access Procedure: Individuals who desire access to the information about themselves in this system of records should contact or address their inquiries to the System Manager.

Contesting record procedures:

Contesting Records Procedure: Individuals who desire to contest information about themselves contained in this system of records should contact or address their inquiries to the Administrator or his delegate,
800 Independence Avenue. SW,
Washington, DC 20591.

Record source categories:

Record Source Categories: Information is obtained from:
Aviation Medical Examiners.
General aviation public.
Consumers and consumer organizations.
Other government agencies.
Libraries.
Army, Navy, Air Force, etc.

DOT/FAA 843

System name:

System Name: FAA World Magazine Address System.

System location:

System Location: DOT/M-482.2, Washington, D. C.

Categories of individuals covered by the system:

Categories of Individuals: Non-FAA employees.

Categories of records in the system:

Categories of Records: Address labels, master list (names, addresses).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: Mailing of FAA World to retirees, governmental and union offices, libraries, industry PR offices, publication exchanges and DOT internal distribution.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices: This is a limited list supplementing FAA Employee home address distribution.

Storage:

Storage: Standard card and Xerox list.

Retrievability:

Retrievability: By name or routing symbol.

Safeguards:

Safeguards: Card and Xerox list available only to authorized DOT personnel.

Retention and disposal:

Retention and Disposal: Periodic canvassing and culling.

System manager(s) and address:

System Manager(s) and Address: Assistant Administrator,
Office of Public Affairs,
Federal Aviation Administration,
800 Independence Avenue, SW,
Washington, DC 20591.

Notification procedure:

Notification Procedure: Individuals wishing to know if their records appear in this system of records may inquire in person or in writing to the System Manager.

Record access procedures:

Record Access Procedure: Individuals who desire access to the information about themselves in this system of records should contact or address their inquiries to the System Manager.

Contesting record procedures:

Contesting Record Procedure: Individuals who desire to contest information about themselves contained in this system of records should contact or address their inquiries to the Administrator or his delegate,
800 Independence Avenue, SW,
Washington, DC 20591.

Record source categories:

Record Source Categories: All sources, on a voluntary basis.

DOT/FAA 844

System name:

System Name: FAA Airplane Noise Complaint System, DOT/FAA.

System location:

System Location: Federal Aviation Administration, Office of Environmental Quality, 800 Independence Avenue, SW, Washington, DC 20591

Categories of individuals covered by the system:

Categories of Individuals: Individuals who complain to the FAA about airplane noise at Dulles and National Airports in the Washington, DC area and in the vicinity of JFK Airport in New York.

Categories of records in the system:

Categories of Records: Name, address, date, time of day of complaint, and category of complaint which may include one or more of the following: (a) Excessive noise (b) Structure disturbance; e.g., vibrating windows (c) Activity interruption; e.g., sleep disturbance (d) Perceived danger (e) Animal disturbance (f) Flying too low (g) Other; e.g., caused earache

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: Magnetic Tape. Original record of complaint will be destroyed following transfer of information to tape

Retrievability:

Retrievability: By last name, address, complaint category, time of complaint.

Safeguards:

Safeguards: Directly concerned employees will be briefed in the provisions and requirements of the Privacy Act of 1974. These employees will be counseled as to the absolute requirements for confidentiality of the records under their control. They will be informed that appropriate disciplinary action will be taken for failure to comply with this requirement. Access to the system of records will be possible only to those agency employees with knowledge of a regularly changed password. The password will be conceived by the System Manager and divulged only to directly concerned employees. The original record will be destroyed following transfer of information to magnetic tape.

Retention and disposal:

Retention and Disposal: Records are kept indefinitely.

System manager(s) and address:

System Manager: Director, Office of Environmental Quality, AEQ-1, Federal Aviation Administration, 800 Independence Avenue, SW, Washington, DC 20591. In order to increase the level of safety of the proposed system of records, no other individuals will be designated for the position of System Manager.

Notification procedure:

Notification Procedure: Individuals wishing to know if information pertaining to them appears in this system of records may inquire in person or in writing to the System Manager. The inquirer's name and address will be required in order to ascertain whether the system contains a record about that individual.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: All anticipated disclosures of records in the FAA Airplane Noise Complaint System will be to those officers and employees of the DOT and FAA who have a need for the record in the performance of their duties, thus bringing the system within the scope of 5 U.S.C. 552a(b)(1). No routine uses under 552a(b)(3) are anticipated other than those set forth in the Prefatory Statement of Routine Uses applicable to all DOT/FAA Systems of Records, which appeared in the FEDERAL REGISTER on September 19, 1977, (42 FR 47038).

Record access procedures:

Record Access Procedures: Individuals who desire access to information about themselves in this system of records should either contact in person or address their written inquiries to the System Manager.

Contesting record procedures:

Contesting Record Procedures: Individuals who desire to contest information about themselves in this system of records should contact or address their inquiries to the Administrator or his delegate at the following address: Department of Transportation Federal Aviation Administration, Office of the Administrator, 800 Independence Avenue, SW, Washington, DC 20591

Record source categories:

Record Source Categories: Information is obtained from individual noise complaints, on a voluntary basis. No specific forms will be used to obtain this information.

DOT/FAA 845

System name:

Correspondence Control and Information System, DOT/FAA.

System location:

Federal Aviation Administration.

Office of the Administrator, 800 Independence Ave., SW, Washington, D.C. 20591.

Security classification:

None.

Categories of individuals covered by the system:

Individuals who write, call (including HOTLINE calls), or are referred in writing by a second party, to the Administrator, to the Deputy Administrator, and their immediate offices; individuals who write, call, or are referred in writing by a second party to the Secretary, to the Deputy Secretary, and their immediate offices and the correspondence which has been referred to the Federal Aviation Administration; individuals who are the subject of an action requiring approval or action by one of the forenamed, such as appeals, actions, training, awards, foreign travel, promotions, selections, grievances, delegations, application of waivers from the Federal Aviation Administration, etc.

Categories of records in the system:

Correspondence and/or records of calls submitted by, or on behalf of, an individual including resumes, letters of reference, etc; responses to such correspondence and calls, staff recommendations on actions requiring approval or action by the Administrator, the Deputy Administrator, the Secretary, and the Deputy Secretary.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Referral to the appropriate action office within or outside the Department or agency for preparation of a response. Referral, to the appropriate agency for actions involving matters or law, of regulations beyond the responsibility of the agency or Department, such as the Department of Justice in matters of law enforcement. As a data source for management information, such as briefing material on hearings, trend analysis, responsiveness, etc.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Computer magnetic disk, microfilm, and hardcopy. Access to the records will be by means of identification numbers and passwords known only to the user and the System Manager.

Retrievability:

Records will be retrieved by control number, suspense date, correspondence date, subject matter, last name and location of originator and addressee, constituent's name, action office, and type.

Safeguards:

Terminal access through the system's software is limited to the Office of the Administrator.

Retention and disposal:

Hard copies are destroyed after material is microfilmed.

System manager(s) and address:

Manager, Administrative Staff, Office of the Administrator, Fed al Aviation Administration, 800 Independence Avenue, SW, Was ington, D.C. 20591.

Notification procedure:

Notification Procedure: Individuals wishing to know if th records appear in this system of records may inquire in person or writing to the System Manager.

Record access procedures:

Individuals who desire access to the information about themselv in this system of records should contact or address their inquiries the System Manager.

Contesting record procedures:

Individuals who desire to contest information about themselv contained in this system of records should contact or address the inquiries to the Administrator, or his delegate, at the following a dress:

Federal Aviation Administration, Office of the Administrator, 80 Independence Avenue, SW, Washington, D.C. 20591.

Record source categories:

Correspondence, records of calls from individuals, their represent tives, or sponsors. Response to incoming correspondence and record of calls. Related material for background as appropriate.

DOT/FAA 846

System name:

System Name: Airport Solicitation Permit Application File, DOT FAA.

System location:

System Location: Federal Aviation Administration
Operations Office
Washington National Airport
Washington, D.C. 20001
Federal Aviation Administration
Operations Office
Dulles International Airport
Washington, D.C. 20041

Categories of records in the system:

Categories of Records: Completed applications for Airport Solicitation Permits; documentation of each solicitor's authority to represent the organization for which he or she claims to be soliciting

Authority for maintenance of the system:

Authority of Maintenance of the System: Authority for the operation of this system is Pub. L. 96-193, enacted February 18, 1980

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: Preparation and issuance of Airport Solicitation Permits, which indicate the solicitor's name and the organization for which he is soliciting. Permits will be issued by airport operations personnel.

Disclosure to members of the public upon request, to permit the public to be informed as to who is soliciting at the airport and for what cause.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: Application forms and any attached documentation are retained at the Operations Offices of National and Dulles Airports.

Retrievability:

Retrievability: Applications are maintained in chronological order, not by name. There is no means for retrieval of records pertaining to a particular individual other than manual search of the entire file.

Safeguards:

Safeguards: The file is in the custody of the Duty Operations Officer.

Retention and disposal:

Retention and Disposal: Applications will normally be destroyed within 60 days of the date submitted.

System manager(s) and address:

System Manager(s) and Address: Chief, Operations Division
Washington National Airport
Federal Aviation Administration
Washington National Airport
Washington, D.C. 20001
Chief, Operations Division

Dulles International Airport
Federal Aviation Administration
Dulles International Airport
Washington, D.C. 20041

Notification procedure:

Notification Procedure: Individuals wishing to know if their records appear in this system of records may inquire in person or in writing to the System Manager.

Record access procedures:

Record Access Procedure: Individuals who desire access to the information about themselves in this system of records should contact or address their inquiries to the System Manager.

Contesting record procedures:

Contesting Record Procedure: Same as 'Record access procedures'.

Record source categories:

Record Source Categories: Application forms and related documentation furnished by airport solicitors.

DOT/FAA 847

System name:

General Air Transportation Records on Individuals, DOT/FAA.

System location:

Records are maintained primarily at:

Department of Transportation (DOT)
Federal Aviation Administration (FAA), Mike Monroney
Aeronautical Center, Oklahoma City, Oklahoma 73125

Portions of these records are located in:

U.S. Department of Transportation
Federal Aviation Administration, 800 Independence Avenue
SW, Washington, DC 20591
General Aviation District Offices (GADO's)
Flight Standards District Offices (FSDO's)
Air Carrier District Offices (ACDO's)
International Field Offices
Civil Aviation Security Field Offices (CASFO's)
FAA regional offices

(Contact your nearest FAA office for location)

Categories of individuals covered by the system:

Current certificated airmen, airmen whose certificates have expired, airmen who are deceased, airmen rejected for medical certification, airmen with special certification, and others requiring medical certification.

Air traffic controllers in air route traffic control centers, terminals, and flight service stations and applicants for these positions.

Holders of and applicants for airmen certificates, airmen seeking additional certifications or additional ratings, individuals denied certification, airmen holding inactive certificates, airmen who have had certificates revoked, and airmen and flight attendants engaged in international air transportation.

Persons who are involved in aircraft accidents or incidents; pilots, crew members, passengers, persons on the ground, and witnesses.

Individuals against whom the Federal Aviation Administration has initiated administrative action or legal enforcement action for violation of certain Federal Aviation Regulations (FAR) or Department of Transportation Hazardous Materials Regulations (HMR).

Categories of records in the system:

All categories of records include identifying information such as name(s), date of birth, place of residence, mailing address, social security number, airman certificate number, and home telephone number. Records in this system are:

Records that are required to determine the physical condition of an individual with respect to the medical standards established by FAA.

Records concerning applications for certification, applications for written examinations, results of written tests, applications for inspection authority, certificates held, ratings, stop orders, and requests for duplicate certificates.

Reports of fatal accidents, autopsies, toxicological studies, aviation medical examiner reports, medical record printouts, nonfatal reports, injury reports, accident name cards, magnetic tape records of fatal accidents, physiological autopsy, and consulting pathologist's summary of findings.

Records of accident investigations, preliminary notices of accident injury reports, engineering analyses, witness statements, investigators' analyses, pictures of accident scenes.

Records concerning safety compliance notices, letters of warning, letters of correction, letters of investigation, letters of proposed legal enforcement action, final action legal documents in enforcement actions, correspondence of Regional Counsels, Office of Chief Counsel, and others in enforcement cases.

Purpose(s):

General Air Transportation Records on Individuals are the official repository of records, documents, and papers required in connection with the issuance of airmen certificates by the Federal Aviation Administration. Basic information in this file concerning the qualifications of airmen has traditionally been regarded as available to the public upon request. Examples of basic information about these individuals include the type of certificates and ratings held, the date and class of latest physical, pilot's license number, and information relating to the status of the airmen's certificate; that is, whether it is current or has been suspended or revoked for any reason.

The file also serves as a repository for legal documents that relate to an individual's physical status or condition used to determine statistically the validity of FAA medical standards. These files are used to provide information for determining eligibility for airmen medical certification, for review of requests for exemption from medical requirements, and for review of certificate denials. Also, the information in the system is used to inform airmen of meetings and seminars conducted by the FAA regarding aviation safety.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in these records may be used:

a. To provide basic airmen certification and qualification information to the public upon request.

b. To disclose information to the National Transportation Safety Board (NTSB) in connection with its investigation responsibilities.

c. To provide information about airmen to Federal, state, and local law enforcement agencies when engaged in the investigation and apprehension of drug law violators.

d. To provide information about enforcement actions arising out of violations of the Federal Aviation Regulations to government agencies, the aviation industry, and the public upon request.

e. To disclose information to another Federal agency, or to a court or an administrative tribunal, when the Government or one of its agencies is a party to a judicial proceeding before the court or involved in administrative proceedings before the tribunal.

f. See Prefatory Statement of General Routine Uses.

Disclosure to consumer reporting agencies:

Disclosures pursuant to 5 U.S.C. 552a(b)(12):

Disclosures may be made from these systems to 'consumer reporting agencies' (collecting on behalf of the U.S. Government) as defined in the Fair Credit Reporting Act (15 U.S.C. 1681a(f)) or the Federal Claims Collection Act of 1982 (31 U.S.C. 3701(a)(3)) and to debt collection agencies as defined by inference in the Federal Collection Act of 1966 (31 U.S.C. 3711(f)(1)) as amended.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

These records are maintained in file folders, on lists and forms, and in computer processable storage media. Records are also stored on microfiche and roll microfilm.

Retrievability:

These records are retrieved by various combinations of name, birth date, social security account number, airman certificate number, or other identification number of the individual on whom the records are maintained. Records are also indexed by sex. Records are also filed by accident number and/or incident number, and administrative action or legal enforcement numbers.

Safeguards:

Personal information in this system of records is processed in both hard copy and digital environments. Applicable safeguards for each are described in the following subparagraphs:

Manual records: Strict information handling procedures have been developed to cover the use, transmission, storage, and destination of personal data in hard copy form. These are periodically reviewed for compliance.

Automated Processing (FAA Systems): Computer processing of personal information is conducted within established FAA computer security regulations. A risk assessment of the FAA computer facility used to process this system of records has been accomplished.

Automated Processing (Commercial Time Sharing Contractor): A limited amount of personal information covered by this system of records will be processed at a commercial facility. This data is of low sensitivity to disclosure. A comprehensive security review of the contractor installation was accomplished by the FAA security organization. Computer programs operated on commercial time share systems that contain data on individuals have multiple security levels and record element restrictions to prevent release data to unauthorized parties.

Retention and disposal:

All records and files are retained and/or disposed of in accordance with the provisions of Order 1350.15B, Records Organization, Transfer, and Destruction Standards.

System manager(s) and address:

Records Concerning Aviation Medical Certification: Manager, Aeromedical Certification Branch, Mike Monroney Aeronautical Center, 6500 South MacArthur, Oklahoma City, Oklahoma 73125

Records From Regional Files: Regional Flight Surgeon within the region where examination was conducted.

FAA Certification Records and General Airmen Records: Manager, Airmen Certification Branch, Mike Monroney Aeronautical Center, 6500 South MacArthur, Oklahoma City, Oklahoma 73125. Requests for assistance may be made to the originating district office.

Records Concerning General Aviation Accidents and Incidents and Air Carrier Incidents: Aviation Standards National Field Office, Attn: Manager, National Safety Data Branch, Mike Monroney Aeronautical Center, 6500 South MacArthur, Oklahoma City, Oklahoma 73125.

Records Concerning Administrative and Legal Enforcement Action:

FAA Enforcement Information System Data Bases for Administrative and Legal Enforcement Actions: Aviation Standards National Field Office, Attn: Manager, National Safety Data Branch, AVN-120, Mike Monroney Aeronautical Center, 6500 South MacArthur, Oklahoma City, Oklahoma 73125.

Official FAA Enforcement Files: The Office of the Chief Counsel, the Office of the Regional Counsel, or the investigating FAA field office, as appropriate. (The address of the appropriate FAA legal or field office maintaining the official agency enforcement file may be obtained from AVN-120.)

(Visit or call the local FAA office in the area in which you reside for any proper address not specifically listed above).

Notification procedure:

Individuals wishing to know if their records appear on this system of records may inquire in person, or in writing, to the system manager.

Record access procedures:

Individuals who desire access to information about themselves in this system of records should contact or address their inquiries to the system manager.

Contesting record procedures:

Individuals who desire to contest information about themselves contained in this system of records should contact or address their inquiries to the Associate Administrator for Administration or his delegate at the following address: Department of Transportation, Federal Aviation Administration, Associate Administrator for Administration, AAD-1, 800 Independence Avenue SW., Washington, DC 20591.

Record source categories:

Medical Information: Information is obtained from Aviation Medical Examiners, individuals themselves, consultants, hospitals, treating or examining physicians, and other Government agencies.

Airmen Certification Records: Information is obtained from the individual to whom the records pertain, FAA aviation safety inspectors, and FAA designated representatives. Written test scores are derived from answers given by individuals. Actions filed by FAA personnel.

General Aviation Accident/Incident Records and Air Carrier Incident Records: Information is obtained from Aviation Medical Examiners, pathologists, accident investigations, medical laboratories, law enforcement officials, and FAA employees. Data is also collected from manufacturers of aircraft, and involved passengers.

Administrative Action and Legal Enforcement Records: Information is obtained from witnesses, Regional Counsels, the National Transportation Safety Board, Civil Aviation Security personnel, Flight Standards personnel, Aeronautical Center personnel, and the Office of Chief Counsel.

Systems exempted from certain provisions of the act:

Consistent with the provisions of Section (j)(2) and (k)(2) of the Privacy Act, records in this system which relate to administrative actions and legal enforcement may be exempted from certain access and disclosure requirements of the Act.

DOT/FAA 849

System name:

Back to Basics Seminar Attendance System.

Security classification:

Unclassified.

System location:

Department of Transportation (DOT), Transportation System Center (TSC), DTS-45, Kendall Square, Cambridge, MA 02142.

Categories of individuals covered by the system:

All attendees at FAA Back to Basics safety seminars who voluntarily respond to the questionnaire.

Categories of records in the system:

The types of information to be retained in the system include the following:

(a) A compilation of the attendees at the Back to Basics seminars.

(b) A characterization of the type and experience level of the pilots who attend the seminars with information such as:

(1) Name, address and date of birth.

(2) Pilot certificate number/certificates held.

(3) Pilot/aircraft currency/flight time.

(4) Educational level.

(5) Safety seminar attendance.

(6) Specific Back to Basics seminars attended.

(c) A comparison of the list of attendees with actual aircraft accidents/incidents to determine the level of involvement or noninvolvement of the seminar attendees will be made.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

The information will be entered into a computer data base at TSC for automatic data processing application.

Retrievability:

The data processing clerks and the analyst will be able to retrieve individual information as indicated in Categories of Information in the System by name or pilot certificate number.

Safeguards:

Only the data processing clerks and the analyst will have access to the computer program that contains these records. This program will be provided the normal safeguards to prevent unauthorized access. A restricted password for access to the program will be used in the computer program and any magnetic tapes or floppy disks will be stored and locked when not in use. All individual paper inputs will be destroyed after the information is entered into the computer.

Retention and disposal:

Computer records will be maintained until the analysis is completed. The Back to Basics Program for general aviation is planned to end in December 1988. The analysis period is expected to be from the present until late 1990 to allow sufficient time for changes to occur. When the analysis is completed, the records will be destroyed.

System manager(s) and address:

Dr. Stephen Huntley, Transportation System Center (TSC), DTS-45, Kendall Square, Cambridge, MA 02142.

Notification procedure:

Individuals desiring to know if they are included in the system should contact the system manager.

Record access procedures:

Individuals desiring access to information about themselves in this system should contact the system manager.

Contesting record procedures:

Individuals who wish to contest the information about themselves in this system should contact the system manager.

Record source categories:

Information provided only by the individual respondent is included as a source of records.

DOT/FHWA 202

System name:

System Name: University and Industry Programs Coding and Filing System, DOT/FHWA.

System location:

System Location: Department of Transportation (DOT),
Federal Highway Administration (FHWA),
National Highway Institute,
400 7th Street, SW,
Room 4136,
Washington, DC 20590.

Categories of individuals covered by the system:

Categories of Individuals: Current and prior year candidates for FHWA fellowships/scholarships employees of FHWA and State and local transportation agencies.

Categories of records in the system:

Categories of Records: Applications for fellowships.
Transcripts of grades.
Follow-up evaluation reports.
Study progress reports.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: Applications and transcripts used by fellowship selection panel.
Study progress reports and follow-up evaluation reports used by the National Highway Institute in program evaluation.
See Prefatory Statement of General Routine Uses.

Disclosure to consumer reporting agencies:

Disclosures pursuant to 5 USC 552a(b)(12): Disclosures may be made from this systems to 'consumer reporting agencies' (collecting on behalf of the U.S. Govt.) as defined in the Fair Credit Reporting Act (15 USC 1681a(f)) or the Federal Claims Collection Act of 1982 (31 USC 3701(a)(3)).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: File folders.

Retrievability:

Retrievability: Name.

Safeguards:

Safeguards: Stored in file cabinets.

Retention and disposal:

Retention and Disposal: 5 years - discarded in trash.

System manager(s) and address:

System Manager: Administrative Assistant, Department of Transportation,
Federal Highway Administration,
National Highway Institute,
400 7th Street, SW, Room 4206,
Washington, DC 20590.

Notification procedure:

Notification Procedure: Any individual that has applied for a fellowship/scholarship may obtain such information by written request to the Institute. The requestor should know the year of his application.

Record access procedures:

Record Access Procedure: May be obtained from the 'System Manager' at the address given above.

Contesting record procedures:

Contesting Record Procedure: May be obtained from the 'System Manager' at the address given above.

Record source categories:

Record Source Categories: The information comes from individual applications, reports prepared by the individuals and their faculty advisors, and college transcripts.

DOT/FHWA 204

System name:

System Name: FHWA Motor Carrier Safety Proposed Civil and Criminal Enforcement Cases, DOT/FHWA.

System location:

System Location: Department of Transportation (DOT),
Federal Highway Administration (FHWA),
All FHWA Regional Offices. (See 49 CFR Part 7 Appendix D for addresses).

Categories of individuals covered by the system:

Categories of Individuals: Officers, agents or employees of motor carriers, including drivers who have been the subject of investigation for Motor Carrier Safety regulation violations.

Categories of records in the system:

Categories of Records: This system of records contains information pertaining to Motor Carrier safety regulation violations and identifying features.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: These records and information in the records are used for referral to U.S. Attorney civil proceedings or referred to other agencies for criminal or civil investigation of other Federal violations.

Prefatory Statement of General Routine Uses, 5 does not apply.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: File folders in the Regional Counsel's Office.

Retrievability:

Retrievability: These records are indexed by names of motor carriers or individuals.

Safeguards:

Safeguards: The records are marked 'Confidential.' Only Office of Chief Counselor Regional Counsel Office employees or Bureau of Motor Carrier Safety (BMCS) employees have access to the files.

Retention and disposal:

Retention and Disposal: The records are retained for one year and then are sent to the Central Files for an additional three year period.

System manager(s) and address:

System Manager: FHWA
Office of the Chief Counsel
400 7th Street, SW, Room 4224
Washington, D.C. 20590
FHWA, Regional Counsel,
FHWA, Regional Offices (See 49 CFR Part 7 Appendix D for addresses).

Notification procedure:

Notification Procedure: Same as 'System Manager'.

Record access procedures:

Record Access Procedure: Same as 'System Manager'.

Contesting record procedures:

Contesting Record Procedure: Same as 'System Manager'.

Record source categories:

Record Source Categories: Individuals, motor carrier files, and BMCS files, etc., as gathered by BMCS investigators.

Systems exempted from certain provisions of the act:

Exemptions: Pursuant to (k) (2) of 5 U.S.C. 552a this system of records is exempt from subsections (c)(3), (d), (e)(1), (e)(4)(G), (H), and (I) and (f).

DOT/FHWA 209

System name:

System Name: Driver Accident Record Cross-Reference File, DOT/FHWA.

System location:

System Location: Department of Transportation (DOT),
Federal Highway Administration (FHWA),
FHWA Regional Office,
Associate Regional Administrator for Motor Carrier Safety
Room 210, Mohawk Building,
222 SW Morrison Street,
Portland, OR 97204.

Categories of individuals covered by the system:

Categories of Individuals: All Motor Carrier drivers who have had commercial accidents in the Region 10 geographic area and drivers from motor carriers based in Region 10 who have had commercial accidents anywhere in the United States.

Categories of records in the system:

Categories of Records: Data tapes cross-referenced to motor carrier files.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: To identify commercial drivers who have been involved in one or more commercial accidents.

See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: Data tapes.

Retrievability:

Retrievability: Filed alphabetically by driver's name.

Safeguards:

Safeguards: Personnel screening of those individuals requesting driver accident information.

Retention and disposal:

Retention and Disposal: Data maintained continuously on tape.

System manager(s) and address:

System Manager:
Associate Regional Administrator for Motor Carrier Safety
FHWA Regional Office,
Room 210, Mohawk Building,
222 SW Morrison Street,
Portland, OR 97204.

Notification procedure:

Notification Procedure: May be obtained upon request by supplying name to the address in 'System Manager' above.

Record access procedures:

Record Access Procedure: Same as in 'System Manager' above.

Contesting record procedures:

Contesting Record Procedure: Same as in 'System Manager'.

Record source categories:

Record Source Categories: Accident information on the cards and data tapes is transposed from the Motor Carrier Safety Accident Forms (MCS 50-T) and State Police Accident Reports.

DOT/FHWA 210

System name:

System Name: Occupational Safety and Health Accident Reporting System, DOT/FHWA.

System location:

System Location: Department of Transportation (DOT),
Federal Highway Administration (FHWA),
Office of Management Systems, HMS-4,
400 7th Street, SW, Room 4317,
Washington, DC 20590. Duplicate copies may be retained in Regional and Division offices (See 49 CFR Part 7 Appendix D for addresses).

Categories of individuals covered by the system:

Categories of Individuals: Any FHWA employee involved in an occupational accident.

Categories of records in the system:

Categories of Records: The system contains all type of occupational accidents such as, employees' injuries, occupational illnesses, motor vehicle, property damage, fire and explosion, vessel, train, and incidents not resulting in injuries or property damage.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: The use and purpose of the information is to obtain information for accident prevention.

See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices.

Storage:

Storage: The records are maintained in a file cabinet in folders.

Retrievability:

Retrievability: The system is indexed by organizational element and name.

Safeguards:

Safeguards: Personnel screening.

Retention and disposal:

Retention and Disposal: Records are retained for five years as required by Occupational Safety and Health Act of 1970, as amended, Title 29, U.S.C., Part 1960, Safety and Health Provisions for Federal Employees. The records are then forwarded to the Records Center of National Archives and Records Administration, GSA.

System manager(s) and address:

System Manager: Occupational Safety Engineer,
Department of Transportation,
Federal Highway Administration,
Office of Management Systems,
400 7th Street, SW, Room 4317,
Washington, DC 20590.

Notification procedure:

Notification Procedure: The requester must provide his name, organizational element, and/or date of the accident, and proper identification to address in 'System Manager' above.

Record access procedures:

Record Access Procedure: Same as in 'System Manager' above.

Contesting record procedures:

Contesting Record Procedure: Same as in 'System Manager' above.

Record source categories:

Record Source Categories The information is obtained from individuals involved in the accident, and by investigation by the individual's supervisors. Management obtains the information through investigation.

DOT/FHWA 211

System name:

System Name: Motor Carrier Accident File - Property and Passenger, DOT/FHWA.

System location:

System Location: Department of Transportation (DOT),
Federal Highway Administration (FHWA),
400 7th Street, SW,
Washington, DC 20590.
(Hard copy is located in Room 4432-Magnetic tape storage is located in Room 2401.)
Hard copy is also stored in the Federal Records Center.

Categories of individuals covered by the system:

Categories of Individuals: Accidents reported by motor carriers of passengers and property.

Categories of records in the system:

Categories of Records: Motor Carrier Accident Report Form.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: Compilation of data concerning accident frequency and causation.

See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: Hard copy and magnetic tape.

Retrievability:

Retrievability: Indexed by carrier name.

Safeguards:

Safeguards: Personnel screening.

Retention and disposal:

Retention and Disposal: Retained indefinitely - continuing data reference for comparison purposes.

System manager(s) and address:

System Manager:
Department of Transportation,
Federal Highway Administration,
Bureau of Motor Carrier Safety
Compliance Analysis Branch
400 7th Street, SW, Room 3408

Washington, DC 20590.

Notification procedure:

Notification Procedure: Same as in 'System Manager' above.

Record access procedures:

Record Access Procedure: Same as in 'System Manager' above.

Contesting record procedures:

Contesting Record Procedure: Same as in 'System Manager' above.

Record source categories:

Record Source Categories: Information supplied by motor carrier.

DOT/FHWA 212

System name:

System Name: Medals of Honor File, DOT/FHWA.

System location:

System Location: Department of Transportation (DOT),
Federal Highway Administration (FHWA),
Bureau of Motor Carrier Safety,
Operations Division,
400 7th Street, SW, Room 3408,
Washington, DC 20590.

Categories of individuals covered by the system:

Categories of Individuals: Nominees and recipients of Presidential Medals of Honor for Lifesaving on Highways.

Categories of records in the system:

Categories of Records: Description of incidents, Investigator's report, and related correspondence.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: Determination of applicability of Medals of Honor criteria, background information for preparation of Medal presentation.

See Prefatory Statement of General Routine Uses, 1, 2, 4, 9 do not apply.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: File folder, one file drawer.

Retrievability:

Retrievability: Indexed by name of nominee/recipient.

Safeguards:

Safeguards: Personnel screening.

Retention and disposal:

Retention and Disposal: Approximately two years retention after presentation or denial.

System manager(s) and address:

System Manager: Chief, Operations Division,
Department of Transportation,
Federal Highway Administration,
Bureau of Motor Carrier Safety,
400 7th Street, SW, Room 3408,
Washington, DC 20590.

Notification procedure:

Notification Procedure: Same as in 'System Manager' above.

Record access procedures:

Record Access Procedure: Same as in 'System Manager' above.

Contesting record procedures:

Contesting Record Procedure: Same as in 'System Manager' above.

Record source categories:

Record Source Categories: Medal of Honor Nomination.

DOT/FHWA 213

System name:

System Name: Driver Waiver File, DOT/FHWA.

System location:

System Location: Department of Transportation (DOT),
Regional Driver Waiver Specialist,
Associate Regional Administrator for Motor Carrier Safety,
(See 49 CFR Part 7, Appendix D for Addresses).

Categories of individuals covered by the system:

Categories of Individuals: Operators of interstate commercial vehicles transporting certain commodities.

Categories of records in the system:

Categories of Records: Application for waiver (usually involving physical disability).
Final disposition of request for waiver.
Waiver renewal.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: Control of physically impaired operators of commercial motor vehicles.

See Prefatory Statement of General Routine Uses, 5 does not apply.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: File folder, entire file cabinet.

Retrievability:

Retrievability: Information retained by name.

Safeguards:

Safeguards: File is classified as non-confidential. Accessible to certain employees of Regulations Division, Bureau of Motor Carrier Safety.

Retention and disposal:

Retention and Disposal: Files are retained while waiver is active. Inactive waiver files are purged each year.

System manager(s) and address:

System Manager: Chief, Driver Requirements Branch,
Department of Transportation,
Federal Highway Administration,
Bureau of Motor Carrier Safety,
400 7th Street, SW,
Washington, DC 20590.

Notification procedure:

Notification Procedure: Same as in 'System Manager' above.

Record access procedures:

Record Access Procedure: Same as in 'System Manager' above.

Contesting record procedures:

Contesting Record Procedure: Same as in 'System Manager' above.

Record source categories:

Record Source Categories: Information obtained from Application for Waiver or Waiver Renewal.

DOT/FHWA 215

System name:

System Name: Travel Advance File, DOT/FHWA.

System location:

System Location: Department of Transportation (DOT),
Federal Highway Administration (FHWA),
Office of Fiscal Services,
400 7th Street, SW,
Washington, DC 20590.
All FHWA Regional Offices (See 49 CFR Part 7 Appendix D for addresses).

Categories of individuals covered by the system:

Categories of Individuals: Recipients of travel advances.

Categories of records in the system:

Categories of Records: Record of travel advances and repayments.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: To control repayment of travel advances.

See Prefatory Statement of General Routine Uses.

Disclosure to consumer reporting agencies:

Disclosures pursuant to 5 USC 552a(b)(12): Disclosures may be made from this system to 'consumer reporting agencies' (collecting on behalf of the U.S. Govt.) as defined in the Fair Credit Reporting Act (15 USC 1681a(f)) or the Federal Claims Collection Act of 1982 (31 USC 3701(a)(3)).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: Maintained on a 5 x 8 inch form.

Retrievability:

Retrievability: Indexed by name.

Safeguards:

Safeguards: Records are maintained in a locked file.

Retention and disposal:

Retention and Disposal: Schedule 9, Travel and Transportation Records, of the General Records Schedules (FPMR 101-11.4).

System manager(s) and address:

System Manager: Chief, Voucher Review & Disbursement Section,
Department of Transportation,
Federal Highway Administration,
Office of Fiscal Services,

400 7th Street, SW,
Washington, DC 20590.

Notification procedure:

Notification Procedure: Same as System Manager.

Record access procedures:

Record Access Procedure: Same as System Manager.

Contesting record procedures:

Contesting Record Procedure: Same as System Manager.

Record source categories:

Record Source Categories: Individual on whom the record is maintained.

DOT/FHWA 216

System name:

System Name: Travel Voucher - Change of Duty Station, DOT/FHWA.

System location:

System Location: Department of Transportation (DOT),
Federal Highway Administration (FHWA),
Office of Fiscal Services,
400 7th Street, SW,
Washington, DC 20590.

Categories of individuals covered by the system:

Categories of Individuals: Employees reimbursed for change of duty station travel.

Categories of records in the system:

Categories of Records: Record of travel expenses claimed for change of duty station.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: Record of travel expenses for change of duty station.

See Prefatory Statement of General Routine Uses.

Disclosure to consumer reporting agencies:

Disclosures pursuant to 5 USC 552a(b)(12): Disclosures may be made from this systems to 'consumer reporting agencies' (collecting on behalf of the U.S. Govt.) as defined in the Fair Credit Reporting Act (15 USC 1681a(f)) or the Federal Claims Collection Act of 1982 (31 USC 3701(a)(3)).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: Maintained on a 8 x 10 inch form.

Retrievability:

Retrievability: Indexed by name.

Safeguards:

Safeguards: Supervised by the Chief, Voucher Review & Disbursements Section.

Retention and disposal:

Retention and Disposal: Schedule 9, Travel and Transportation Records, of the General Records Schedules (FPMR 101-11.4).

System manager(s) and address:

System Manager: Chief, Voucher Review & Disbursements Section,
Department of Transportation,
Federal Highway Administration,
Office of Fiscal Services,
400 7th Street, SW,
Washington, DC 20590.

Notification procedure:

Notification Procedure: Same as in 'System Manager' above.

Record access procedures:

Record Access Procedure: Same as in 'System Manager' above.

Contesting record procedures:

Contesting Record Procedure: Same as in 'System Manager' above.

Record source categories:

Record Source Categories: Individual on whom the record is maintained.

DOT/FHWA 217

System name:

System Name: Accounts Receivable, DOT/FHWA.

System location:

System Location: Department of Transportation (DOT),
Federal Highway Administration (FHWA),
Office of Fiscal Services,
400 7th Street, SW,
Washington, DC 20590.

Categories of individuals covered by the system:

Categories of Individuals: Individuals indebted to the Federal Highway Administration.

Categories of records in the system:

Categories of Records: Amount of indebtedness.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: To control accounts receivable.

See Prefatory Statement of General Routine Uses.

Disclosure to consumer reporting agencies:

Disclosures pursuant to 5 USC 552a(b)(12): Disclosures may be made from this systems to 'consumer reporting agencies' (collecting on behalf of the U.S. Govt.) as defined in the Fair Credit Reporting Act (15 USC 1681a(f)) or the Federal Claims Collection Act of 1982 (31 USC 3701(a)(3)).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: Maintained in indexed loose-leaf book.

Retrievability:

Retrievability: By name.

Safeguards:

Safeguards: Supervised by Chief, General Ledger and Funds Control Section.

Retention and disposal:

Retention and Disposal: Schedule 7, Expenditure Accounting Records, of General Records Schedules (FPMR-101-11.4).

System manager(s) and address:

System Manager: Chief, General Ledger & Funds Control Section,
Department of Transportation,
Federal Highway Administration,
Office of Fiscal Services,
400 7th Street, SW,
Washington, DC 20590.

Notification procedure:

Notification Procedure: Same as in 'System Manager' above.

Record access procedures:

Record Access Procedure: Same as in 'System Manager' above.

Contesting record procedures:

Contesting Record Procedure: Same as in 'System Manager' above.

Record source categories:

Record Source Categories: Employer.

DOT/FHWA 219

System name:

System Name: Employee Utilization (monthly report), DOT/FHWA.

System location:

System Location: Department of Transportation,
Federal Highway Administration,
Data Systems Division,
400 7th Street, SW, Room 2410,
Washington, DC 20590.

Categories of individuals covered by the system:

Categories of Individuals: All computer programmers and systems analysts in the Data Systems Division (DSD), FHWA.

Categories of records in the system:

Categories of Records: Working file (internal).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: Basis for reimbursable charges for services to other organizational elements (computer program maintenance and/or development).

Basis for Planning Staff projections of current and future workloads; estimates, etc.

Can be used to evaluate employee proficiency and productivity.

See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: Computer printouts and magnetic tape.

Retrievability:

Retrievability: Organization, two digit employee numbers, Project No., operation code, date.

Safeguards:

Safeguards: Secure building.

Retention and disposal:

Retention & Disposal: Magnetically recorded data is erased on a quarterly basis.

Printouts are usually destroyed on a monthly or quarterly basis. One complete historical printout is retained by the planning staff for long range reference.

System manager(s) and address:

System Manager: Chief, Data System Division,
Department of Transportation,
Federal Highway Administration,
400 7th Street, SW, Room 2418,
Washington, DC 20590.

Notification procedure:

Notification Procedure: Same as in 'System Manager' above.

Record access procedures:

Record Access Procedure: Same as in 'System Manager' above.

Contesting record procedures:

Contesting Record Procedure: Same as in 'System Manager' above.

Record source categories:

Record Source Categories: Data Systems Division computer programmers and system analysts provide this information on a weekly basis - accounting for their various work activities plus leave, training, etc.

DOT/FHWA 220

System name:

System Name: Payroll Administration, DOT/FHWA.

System location:

System Location: Department of Transportation (DOT),
Federal Highway Administration (FHWA),
Office of Fiscal Services,
400 7th Street, SW,
Washington, DC 20590.

Categories of individuals covered by the system:

Categories of Individuals: Employees of the following Headquarters Elements:

Federal Highway Administration.

Categories of records in the system:

Categories of Records: Contains all data relative to payrolling employees. Includes time, attendance, leave, gross pay and payroll deduction records.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: Payrolling and Leave Administration.

The purpose of each use of categories of records within the DOT/FHWA Payroll Administration is to enable the administration of the payroll function and related financial matters in accordance with applicable laws and regulations and to comply with the requirements of the Comptroller General.

System Uses:

1. For providing a permanent record of actions taken pertinent to the administration of pay, leave and allowances.
2. For any of the routine uses specified in the Prefatory Statement.

See Prefatory Statement of General Routine Uses.

Disclosure to consumer reporting agencies:

Disclosures pursuant to 5 USC 552a(b)(12): Disclosures may be made from this system to 'consumer reporting agencies' (collecting on behalf of the U.S. Govt.) as defined in the Fair Credit Reporting Act (15 USC 1681a(f)) or the Federal Claims Collection Act of 1982 (31 USC 3701(a)(3)).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: File folders.

Retrievability:

Retrievability: By name.

Safeguards:

Safeguards: Supervised by Chief, Payroll & Employee Records Section.

Retention and disposal:

Retention and Disposal: Schedule 2 of General Records Schedules Payrolling and Pay Administration Records (FPMR 101-11.4)

System manager(s) and address:

System Manager: Chief, Payroll & Employee Records Section,
Department of Transportation,
Federal Highway Administration,
Office of Fiscal Services,
400 7th Street, SW,
Washington, DC 20590.
Appropriate Finance Officer in FHWA Region 8 or 10.

Notification procedure:

Notification Procedure: Same as in 'System Manager' above.

Record access procedures:

Record Access Procedure: Same as in 'System Manager' above.

Contesting record procedures:

Contesting Record Procedure: Same as in 'System Manager' above.

Record source categories:

Record Source Categories: Individual on whom the record is maintained, Office of Personnel and Training, Federal, State and City Tax Regulations.

DOT/FRA 100

System name:

System Name: Alaska Railroad Examination of Operating Personnel, DOT/FRA.

System location:

System Location: Department of Transportation (DOT),
Federal Railroad Administration (FRA),
The Alaska Railroad,
Pouch 7-2111,
Anchorage, Alaska 99510.

Categories of individuals covered by the system:

Categories of Individuals: Alaska Railroad operating employees.

Categories of records in the system:

Categories of Records: Examination papers on rules and safety practices.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: Determination of employees understanding of safety practices and rules of the Alaska Railroad.

Qualification for employment.

Review for promotion.

See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: Kept under lock and key.
Only authorized Alaska Railroad officials can handle the examinations.

Retrievability:

Retrievability: By name.

Safeguards:

Safeguards: Access to examinations limited to Alaska Railroad officials only.

Retention and disposal:

Retention and Disposal: Examinations kept during employment of individual with Alaska Railroad; upon termination, disposed of by destruction by either burning or shredding.

System manager(s) and address:

System Manager: Operations Officer,
Department of Transportation,
Federal Railroad Administration,
The Alaska Railroad,
Pouch 7-2111,
Anchorage, Alaska 99510.

Notification procedure:

Notification Procedure: Individuals may request from the System Manager whether or not this system of records pertains to him.

Record access procedures:

Record Access Procedure: The System Manager may allow an individual to review his score on the examination.

Contesting record procedures:

Contesting Record Procedure: Contest of these records, if appropriate, is through the System Manager.

Record source categories:

Record Source Categories: Official examination papers.

Systems exempted from certain provisions of the act:

Exemptions: This system is exempted under Section 552a(K)6, 'testing or examination material used solely to determine individual qualifications for appointment or promotion in the Federal Service the disclosure of which would compromise the objectivity or fairness of the testing or examination process.'

DOT/FRA 101

System name:

System Name: Alaska Railroad Personnel and Pay Management Information System, DOT/FRA.

System location:

System Location: Department of Transportation (DOT),
Federal Railroad Administration (FRA),
The Alaska Railroad,
Pouch 7-2111,
Anchorage, Alaska 99510.

Categories of individuals covered by the system:

Categories of Individuals: Alaska Railroad officials and employees.

Categories of records in the system:

Categories of Records: Time, attendance and leave.
Payroll data.
Payroll computation and history.
Personnel records.
Personnel Management Records.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: Personnel Status Reports.
Personnel Strength Reports.
Payroll computation and related reports.
Record of leave accrued and used.
Labor distribution and accounting reports.
Personnel management and budget reports.
Reports to Internal Revenue Service (IRS), U.S. Treasury, Civil Service Commission (CSC), etc.
See Prefatory Statement of General Routine Uses.

Disclosure to consumer reporting agencies:

Disclosures pursuant to 5 USC 552a(b)(12): Disclosures may be made from this systems to 'consumer reporting agencies' (collecting on behalf of the U.S. Govt.) as defined in the Fair Credit Reporting Act (15 USC 1681a(f)) or the Federal Claims Collection Act of 1982 (31 USC 3701(a)(3)).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: Integrated data based on mag-tape.

Retrievability:

Retrievability: By name or I.D. Number.

Safeguards:

Safeguards: Access to the data base is limited to computer programs. Outputs from computer programs are disclosed only to employees or officials in discharge of their official duties. Primary control is achieved through a separation of functions wherein no one person is responsible for the input processing and auditing of any given transaction.

Retention and disposal:

Retention and disposal: Individual records are deleted from the automated data base at the end of the calendar year in which Alaska Railroad employment is terminated. Input document and printed outputs are disposed of by burning or shredding or transfer to a records center in accordance with established records disposition schedules.

System manager(s) and address:

System Manager: General Manager,
Department of Transportation,
Federal Railroad Administration,
The Alaska Railroad,
Pouch 7-2111,
Anchorage, Alaska 99510.

Notification procedure:

Notification Procedure: The individual who feels that this system of records pertains to him may present himself to the General Manager, The Alaska Railroad requesting confirmation.

Record access procedures:

Record Access Procedure: Contact the system manager for access.

Contesting record procedures:

Contesting Record Procedure: In case of contest employee is instructed to first contact the immediate supervisor. Procedures are established which permit an employee to pursue an appeal to the General Manager, The Alaska Railroad, then to the U.S. Civil Service Commission.

Record source categories:

Record Source Categories: Official Personnel Folders.
Time, attendance and leave records.
Organizational code structure.
Computations and historical record of pay.

DOT/FRA 102

System name:

System Name: Alaska Railroad Security and Freight Claims Investigatory Files, DOT/FRA.

System location:

System Location: Department of Transportation (DOT),
Federal Railroad Administration (FRA),
The Alaska Railroad,
Pouch 7-2111,
Anchorage, Alaska 99510.

Categories of individuals covered by the system:

Categories of Individuals: Employees of the Alaska Railroad.

Categories of records in the system:

Categories of Records: Investigatory files.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: Used in routine investigatory work for the DOT/Alaska Railroad Security and Freight Claims division.
Review by General Manager or his designee.
Review by General Counsel, Alaska Railroad.
May be forwarded to U.S. Attorney to assist in prosecution where warranted.
See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: Locked in fire class C safe with combination lock.

Retrievability:

Retrievability: By name.

Safeguards:

Safeguards: In addition to the combination safe only two officials of the railroad maintain the combination.

Retention and disposal:

Retention and Disposal: Records are maintained in the official safe for two years, then transferred to secured holding area for two years and then destroyed by burning or shredding.

System manager(s) and address:

System Manager: Chief, Security and Claims,
Department of Transportation,
Federal Railroad Administration,
The Alaska Railroad,
Pouch 7-2111,
Anchorage, Alaska 99510.

Notification procedure:

Notification Procedure: Individual may confirm through the System Manager whether or not the System contains records on him or her.

Record access procedures:

Record Access Procedure: Access of records requires the individual to contact in person or in writing the System Manager. The records in this system are exempted by Section 552(k)(2) if investigatory matter is being pursued in a court case.

Contesting record procedures:

Contesting Record Procedure: However, contest procedures through the System Manager and the General Manager are available if the investigatory files are maintained for general purposes. Confidentiality of sources will be maintained.

Record source categories:

Record Source Categories: Personal information provided by individual.
Confidential Statements.
Photographs.

Systems exempted from certain provisions of the act:

Exemptions: This system of records is exempted under Section 552a(1) (2); 'investigatory material compiled for law enforcement purposes other than material within the scope of subsection (j)(2) of this section: Provided, however, that if any individual is denied any right, privilege, or benefit that he would otherwise be entitled by Federal Law, or for which he would otherwise be eligible, as a result of the maintenance of such material, such material shall be provided to such individual, except to the extent that the disclosure of such material would reveal the identity of a source who furnished information to the Government under an express promise that the identity of the source would be held in confidence, or prior to the effective date of this section, under an implied promise that the identity of the source would be held in confidence.'

DOT/FRA 104

System name:

System Name: Statement of Employment and Financial Interest, DOT/FRA.

System location:

System Location: Department of Transportation,
Federal Railroad Administration,
Office of the Chief Counsel,
400 7th Street, SW, Room 5101,
Washington, D.C. 20590

Categories of individuals covered by the system:

Categories of Individuals: FRA Permanent Employees GS-13 and above, supervisors, procurement personnel, and safety inspectors.

Categories of records in the system:

Categories of Records: Standard Forms on Employment and Financial Interest.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: Review of Financial Interest to Employment.
Administrative References.
See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Storage: All records are maintained on standard form in a locked file cabinet located in the Chief Counsel's Office.

Retrievability.

Records are indexed by name.

Safeguards:

Physical security consists of locked file cabinet; records provided to individuals only after physical screening.

Records are maintained until new or amended forms are received. Upon receipt of new statements old records are removed and destroyed.

System manager(s) and address:

System Manager: Chief Counsel,
Department of Transportation,
Federal Railroad Administration,
Office of Chief Counsel,
400 7th Street, SW, Room 5101,
Washington, D.C. 20590.

Notification procedure:

Notification Procedure: Requests for information about this system should be addressed to the System Manager either in person or in writing. Prior employees must provide notarized signature or provide valid security number.

Record access procedures:

Record Access Procedures: Access to records require the individual to contact in person or write the System Manager.

Contesting record procedures:

Contesting Record Procedures: Contest of a record is first through the System Manager. FRA procedures are in Appendix F to 49 CFR Part 10.

Record source categories:

Record Source Categories: Information is provided by the individual on Standard Form DOT F 3700.1, Confidential Statement of Employment and Financial Interest, and Form 278, Financial Disclosure Report.

DOT/FRA 105

System name:

System Name: Employee Travel Records, DOT/FRA.

System location:

System Location: Department of Transportation (DOT),
Federal Railroad Administration (FRA),
Office of Financial and Administrative Services, RAD-40,
400 7th Street, SW,
Washington, DC 20590.

Categories of individuals covered by the system:

Categories of Individuals: All FRA employees.
Private persons issued invitational travel orders to confer on government problems.

Categories of records in the system:

Categories of Records: Travel logs.
Individual travel folders.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: Provide back-up to support FRA General Accounting Ledger.
Analysis of travel trends.
See Prefatory Statement of General Routine Uses.

Disclosure to consumer reporting agencies:

Disclosures pursuant to 5 USC 552a(b)(12): Disclosures may be made from this systems to 'consumer reporting agencies' (collecting on behalf of the U.S. Govt.) as defined in the Fair Credit Reporting Act (15 USC 1681a(f)) or the Federal Claims Collection Act of 1982 (31 USC 3701(a)(3)).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: Records are maintained in a file drawer secured with lock and key.

Retrievability:

Retrievability: System is indexed by name.

Safeguards:

Safeguards: Physical security maintained by secured file system.

Individuals requesting individual travel folders are screened by accounting personnel.

Retention and disposal:

Retention and Disposal: Records are maintained three years then forwarded to the Federal Records Center.

System manager(s) and address:

System Manager: Accounting Officer,
Department of Transportation,
Federal Railroad Administration,
Accounting Division,
400 7th Street, SW,
Washington, DC 20590.

Notification procedure:

Notification Procedure: Requests for information about this system should be addressed to the System Manager either in person or in writing.

Record access procedures:

Record Access Procedure: Access of records requires the individual to contact in person or in writing the System Manager.

Contesting record procedures:

Contesting Record Procedure: Initial contest of any record will be with the System Manager; if resolvement at this level is not satisfactory the individual may file an appeal in writing with the Secretary of Transportation addressed as follows:
Department of Transportation,
Federal Railroad Administration,
Office of the Chief Counsel,
400 7th Street, SW,
Washington, DC 20590.

Record source categories:

Record Source Categories: Individual Travel Vouchers.

DOT/FRA 106

System name:

System Name: Occupational Safety and Health Reporting System, DOT/FRA.

System location:

System Location: Department of Transportation (DOT),
Federal Railroad Administration (FRA),
Office of Administration,
Office of Management Systems, RAD-20,
400 7th Street, SW,
Washington, DC 20590.

Categories of individuals covered by the system:

Categories of Individuals: FRA employees (injury-illnesses).
FRA employees involved in government property accidents.

Categories of records in the system:

Categories of Records: Federal Occupational Injuries and Illnesses Survey (Standard Form OSHA-102).
Departmental Accident/Injury Reports DOT Forms 3902.1-8.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: Maintain accident records per departmental orders.
Provide data to Office of the Secretary.
Develop causative trends.
Use for corrective accident prevention.
See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: Maintained on copies of basic documents.

Retrievability:

Retrievability: By name.

Safeguards:

Safeguards: Physical security consists of file drawer with data; records provided to authorized individuals by FRA Safety Manager after physical screening.

Retention and disposal:

Retention and Disposal: Records are retained for five years. Documents are then destroyed by shredding or burning.

System manager(s) and address:

System Manager: FRA Safety Manager,
Department of Transportation,
Federal Railroad Administration,
Office of Administration,
Office of Management Systems, RAD-20,
400 7th Street, SW,
Washington, DC 20590.

Notification procedure:

Notification Procedure: Inquiries may be addressed to the Systems Manager either in person or in writing. If written the individual must provide a notarized signature, or provide a valid social security number.

Record access procedures:

Record Access Procedure: Access to records requires the individual to contact in person or write the System Manager.

Contesting record procedures:

Contesting Record Procedure: Contest of a record is also through the System Manager. If a change is valid after System Manager review it will be made as requested. If resolvement is not possible at this level an appeal may be filed in writing with the Secretary of Transportation addressed as follows:
Department of Transportation,
Federal Railroad Administration,
Office of the Chief Counsel,
400 7th Street, SW,
Washington, DC 20590.

Record source categories:

Record Source Categories: Documents provided by the individual.

DOT/FRA 112

System name:

System Name: Personnel and Pay Management Information System, DOT/FRA.

System location:

System Location: Department of Transportation (DOT),
Federal Railroad Administration (FRA),
Office of Personnel and Training, RAD-10,
400 7th Street, SW, Room 8125,
Washington, DC 20590.

Categories of individuals covered by the system:

Categories of Individuals: Employees of the Federal Railroad Administration.

Categories of records in the system:

Categories of Records: Payroll data.
Personnel records.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: Personnel Status Reports.
Personnel Strength Reports.
Payroll computations and related reports.
Personnel Management and Budget Reports.
See Prefatory Statement of General Routine Uses.

Disclosure to consumer reporting agencies:

Disclosures pursuant to 5 USC 552a(b)(12): Disclosures may be made from this systems to 'consumer reporting agencies' (collecting on behalf of the U.S. Govt.) as defined in the Fair Credit Reporting Act (15 USC 1681a(f)) or the Federal Claims Collection Act of 1982 (31 USC 3701(a)(3)).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: Integrated data based on magnetic tape, reports are prepared on computer readable form.

Retrievability:

Retrievability: By name or I.D. number.

Safeguards:

Safeguards: Access to programs limited to employees or officials of the Transportation Computer Center (TCC).

Retention and disposal:

Retention and Disposal: Individual records are deleted from automated data base at end of calendar year in which separation occurs.
Computer readable programs are destroyed in accordance with established internal procedures.

System manager(s) and address:

System Manager: Director, Office of Personnel and Training, RAD-10.

Department of Transportation,
Federal Railroad Administration,
400 7th Street, SW,
Washington, DC 20590.

Notification procedure:

Notification Procedure: Any individual who feels that this system of records pertains to him may visit or write the System Manager at the address in 'System Manager: requesting confirmation.

Record access procedures:

Record Access Procedure: Contact the System Mananger for access.

Contesting record procedures:

Contesting Record Procedure: Employee should, in case of contest, contact the System Manager. Procedures are established which permit an employee to pursue appeal through agency levels to U.S. Civil Service Commission.

Record source categories:

Record Source Categories: Official personnel folders.
Time, attendance and leave records.
Organizational code structure.
Computations and historical records.

DOT/FRA 113

System name:

System Name: Regional Personnel Convenience Files, DOT/FRA.

System location:

System Location: Department of Transportation (DOT),
Region 1, Federal Railroad Administration.
150 Causeway Street,
Boston, Mass. 02114
Region 2, Federal Railroad Administration (FRA),
Independence Building, Room 1020,
434 Walnut Street,
Philadelphia, PA 19106.
Region 3, Federal Railroad Administration,
Suite 440, North Tower,
1720 Peachtree Rd., NW,
Atlanta, GA 30309.
Region 4, Federal Railroad Administration,
536 South Clark Street,
Chicago, IL 60605.
Region 5, Federal Railroad Administration,
819 Taylor Street, Room 11A23,
Fort Worth, TX 76102.
Region 7, Federal Railroad Administration,
911 Walnut Street,
Rm. 1807, Federal Building.
Kansas City, MO 64106
Region 6, Federal Railroad Administration,
2 Embarcadero, Suite 630,
San Francisco, CA 94111.
Region 8. Federal Railroad Administration,
421 Southwest Fifth Avenue
Portland, Oregon 97204

Categories of individuals covered by the system:

Categories of Individuals: Federal Supervisory Inspectors.
Federal Safety Inspectors.
Federal clerical personnel.
Regional Directors.

Categories of records in the system:

Categories of Records: Standard Form 52.
Standard Form 171.
Performance evaluations.
Within grade increases.
Travel authority and vouchers.
Use of Government-owned vehicles and authority.
Training records.
Payroll and leave records.
Copies of commendations and awards.
Work measurement records.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses:
For the individual's use.
Schedule training.
Statistics to recommend personnel actions.
Administrative reference material.
Budgetary information material.
Technical information material.
Work territory assignments.
See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: Records are maintained from copies of original documents.

Retrievability:

Retrievability: The system is indexed by name.

Safeguards:

Safeguards: Physical security is maintained by locked file cabinets.
Any individual requesting data is screened by the Regional Director's secretary.

Retention and disposal:

Retention and Disposal: Personnel records are retained until employee is terminated, retired, or transferred.
Records are then disposed of as trash.
Records used for budgetary purposes are retained for 1 year then disposed of.

System manager(s) and address:

System Manager: The responsible System Manager for each regional system is the Regional Director. The location is identical to those previously listed.

Notification procedure:

Notification Procedure: The individual may present himself to the Regional Office (Regional Director) to inquire about whether this system of records applies to him either in person or in writing.

Record access procedures:

Record Access Procedure: An individual may gain access to his records by request to the System Manager.

Contesting record procedures:

Contesting Record Procedure: Contest of these records will be at the Regional level, if resolvement is not satisfactory to the individual at that level an appeal may be field in writing with the Secretary of Transportation addressed as follows:
Department of Transportation,
Federal Railroad Administration,
Office of the Chief Counsel,
400 7th Street, SW,
Washington, DC 20590.

Record source categories:

Record Source Categories:
Informational copies provided by the individual.
Informational copies provided by Office of Personnel.
Informational copies generated by on-going work programs.

DOT/FRA 114

System name:

System Name: Transportation Test Center Employee Service Record File, DOT/FRA.

System location:

System Location: Department of Transportation (DOT),
Federal Railroad Administration (FRA),
Transportation Test Center,
Pueblo, CO 81001.

Categories of individuals covered by the system:

Categories of Individuals: Federal employees of the Transportation Test Center.

Categories of records in the system:

Categories of Records: Personal data submitted by individuals.
Personnel actions.
Training data.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: Record of personal data on SF 7.
Computer service computations dates.
Review performance ratings.
Follow-up dates for within-grade pay increases.
Training data used to determine training needs.
Awards information.
Used to prepare manpower and budget reports and requests.
Used in preparing requests for personnel actions.
See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: Service records are maintained by a clerk during working hours. File cabinet is secured by lock during non-duty hours.

Retrievability:

Retrievability: By name.

Safeguards:

Safeguards: Physical security is maintained by locked file cabinet.
Physical screening is insured by clerk who cannot release records without approval.

Retention and disposal:

Retention and Disposal: Each individual's service record is maintained until termination of employment. After termination record is maintained for one year and then destroyed.

System manager(s) and address:

System Manager:
Director, Transportation Test Center,
Department of Transportation,
Federal Railroad Administration,
Transportation Test Center,
Pueblo, CO 81001.

Notification procedure:

Notification Procedure: The individual who feels that this system of records pertains to him may write or present himself to the Director, Transportation Test Center (System Manager) requesting confirmation.

Record access procedures:

Record Access Procedure: An individual may gain access to his records by request to the System Manager.

Contesting record procedures:

Contesting Record Procedure: Contest of these records, if appropriate, may be settled by informal communication. If this is unsatisfactory to the individual, the person may file an appeal in writing with the Secretary of Transportation addressed as follows:
Department of Transportation,
Federal Railroad Administration,
Office of the Chief Counsel,
400 7th Street, SW,
Washington, DC 20590.

Record source categories:

Record Source Categories: Information supplied by employee.
Personnel actions, SF 50.
Evaluation and training forms.
Information supplied by supervisors.

DOT/FRA 115

System name:

System Name: Travel Advance Records, DOT/FRA.

System location:

System Location: Department of Transportation (DOT),
Federal Railroad Administration (FRA),
Office of Financial and Administrative Service, RAD-40,
400 7th Street, SW,
Washington, DC 20590.

Categories of individuals covered by the system:

Categories of Individuals: All FRA employees.
Private persons traveling on government request.

Categories of records in the system:

Categories or Records: Travel Advance Card.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: Maintain accounting records.
Ensure collection of amounts due to the U.S.
See Prefatory Statement of General Routine Uses.

Disclosure to consumer reporting agencies:

Disclosures pursuant to 5 USC 552a(b)(12): Disclosures may be made from this systems to 'consumer reporting agencies' (collecting on behalf of the U.S. Govt.) as defined in the Fair Credit Reporting Act (15 USC 1681a(f)) or the Federal Claims Collection Act of 1982 (31 USC 3701(a)(3)).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Storage: Maintained in file drawer.

Retrievability:

Retrievability: By name.

Safeguards:

Safeguards: Records controlled by Accounting Division personnel.

Retention and disposal:

Retention and Disposal: Retained three years then forwarded to Federal Record Center with other accounting records.

System manager(s) and address:

System Manager: Accounting Officer,
Department of Transportation,
Federal Railroad Administration,
Accounting Division,
400 7th Street, SW,
Washington, DC 20590.

Notification procedure:

Notification Procedure: Individuals may contact the System Manager to confirm whether or not the system contains a record on them.

Record access procedures:

Record Access Procedure: An individual may gain access to his records by request to the System Manager.

Contesting record procedures:

Contesting Record Procedure: Content of these records may be settled with the System Manager. If this is unsatisfactory to the individual, the person may file an appeal in writing with the Secretary of Transportation addressed as follows:
Department of Transportation,
Federal Railroad Administration,
Office of the Chief Counsel,
400 7th Street, SW,
Washington, DC 20590.

Record source categories:

Record Source Categories: Travel advance card signed by individual, forwarded to Accounting Division.

DOT/FRA 118

System name:

System Name: Transportation Test Center Cost Tracking System, DOT/FRA.

System location:

System Location: Department of Transportation (DOT),
Federal Railroad Administration (FRA),
Transportation Test Center,
Pueblo, CO 81001.

Categories of individuals covered by the system:

Categories of Individuals: Operations and Maintenance (O&M) contractor employees.

Categories of records in the system:

Categories of Records: Employee weekly time cards.
Employee work order charges.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: For the individual's use.
Administrative reference material.
Budgetary information material.
Technical information material.
DOT/FRA and other Government agencies that need Project/Work Order Cost Accounting Data.
Statistical purposes such as labor utilization assessment.
See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: O&M contractor employee labor distribution records are stored on magnetic tape files.

Retrievability:

Retrievability: The system is indexed by name and employee clock number.

Safeguards:

Safeguards: Primary system record input and output control is assigned to the Operations and Maintenance Contractor Accounting

Office which functions as a single point interface with data processing operations.

Retention and disposal:

Retention and Disposal: Employee labor distribution records are retained in fiscal year transaction history files on magnetic tapes. Input document (employee time cards) and printed output are disposed of after three years from termination of the O&M contract.

System manager(s) and address:

System Manager: Director, Transportation Test Center,
Department of Transportation,
Federal Railroad Administration,
Pueblo, CO 81001.

Notification procedure:

Notification Procedure: Any individual who wishes to inquire about whether this system of records applies to him may request confirmation from the System Manager.

Record access procedures:

Record Access Procedure: An individual may gain access to his records by request to the System Manager who will notify the appropriate O&M Project Manager.

Contesting record procedures:

Contesting Record Procedure: Contest of record content will be with the System Manager. If resolvement at this level is not satisfactory the individual may file an appeal in writing with the Secretary of Transportation addressed as follows:

Department of Transportation,
Federal Railroad Administration,
Office of the Chief Counsel,
400 7th Street, SW, Room 5101,
Washington, DC 20590.

Record source categories:

Record Source Categories: Employee time cards.

DOT/FRA 130

System name:

System Name: Railroad Safety-Noncompliance by Individuals.

System location:

System Location: Federal Railroad Administration,
Office of Chief Counsel,
Enforcement Division (RCC-40),
400 Seventh Street, SW,
Washington, D.C. 20590.

Security classification:

Security Classification: None.

Categories of individuals covered by the system:

Categories of Individuals: Individuals that fail to comply with certain railroad safety statutes and regulations.

Categories of records in the system:

Categories of Records: Facts and circumstances surrounding rail safety violations by individuals.

Authority for maintenance of the system:

Authority for Maintenance of the System: Hazardous Materials Transportation Act (49 U.S.C. 1801 et seq.), Federal Railroad Safety Act of 1970 (45 U.S.C. 421 et seq.), 18 U.S.C. 1001.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: Records will be reviewed by the Enforcement Division and may form the basis of, or support for, civil and/or criminal enforcement action against the individual(s) involved.

Records may be released to the Department of Justice where criminal sanctions are sought against the individual(s) involved, or where litigation becomes necessary for the collection of a civil penalty.

Prefatory General Routine Uses 3 and 5 do not apply.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: File folders, locked file cabinet.

Retrievability:

Retrievability: The names of the individual and his or her employer are the identifiers used to retrieve a record from this system.

Safeguards:

Safeguards: Disclosure of records is limited to FRA employees involved in collection and legal review of compliance information. Safeguards include locked building, guard service and locked file cabinet.

Retention and disposal:

Retention and Disposal: Each record will be retained at the offices of the Enforcement Division for a period of three years following final disposition.

System manager(s) and address:

System Manager(s) and Address: Legal Technician,
Enforcement Division,
Office of Chief Counsel,
FRA,
400 Seventh Street, SW,
Washington, D.C. 20590.

Notification procedure:

Notification Procedure: Inquiries should be directed to:
Assistant Chief Counsel,
Enforcement Division,
Office of Chief Counsel,
FRA,
400 Seventh Street, SW,
Washington, D.C. 20590.

Record access procedures:

Record Access Procedure: Contact (202-426-8285) or write to System Manager for information on procedures for gaining access to records.

Contesting record procedures:

Contesting Record Procedure: Write the Privacy Act Officer, Office of Management Systems, FRA, 400 Seventh Street, SW, Washington, D.C. 20590. Reasonably identify the record and specify the information to be contested.

Record source categories:

Record Source Categories: Information is obtained directly from the individual and from other persons with personal knowledge of the facts and circumstances involved.

DOT/FRA 131

System name:

System Name: Office of Safety Investigation Case File System.

System location:

System Location: Department of Transportation,
Federal Railroad Administration,
Office of Safety,
RRS-11,
400 7th Street, SW,
Washington, D.C. 20590.

Security classification:

Security Classification: None.

Categories of individuals covered by the system:

Categories of Individuals: Individuals who are employed by railroads, Officers of Unions representing Railroad Employees, Individual Citizens, Officials of State, County and City Governments, Lawyers representing Individuals and Civic Groups, Officers of Railroads and other parties interested in Railroad Safety.

Categories of records in the system:

Categories of Records: Hazardous Materials Transportation Act (49 U.S.C. 1801 et seq), Federal Railroad Safety Act of 1970 (45 U.S.C. et seq), Hours of Service Act (45 U.S.C. 61 et seq), Safety Appliance Act (45 U.S.C. 1 et seq).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: Prefatory General Routine Uses 3, 5, and 6 do not apply. Records will be reviewed by the Associate Administrator for Safety and his staff to form this basis for accomplishment of the mission of the FRA's Office of Safety.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: File folders, locked and secured in office, automated tracking system, entry by Identification Password only.

Safeguards:

Safeguards: Disclosures of records is limited to FRA employees involved directly with investigations, their review, or in prosecution of violators, except where disclosures are provided for by the General Routine Uses. Physical safeguards include locked building, office and guard service.

Retention and disposal:

Retention and Disposal: Each record file will be retained at the Office of Safety Programs. File records will be retained for a period of three years and automated tracking system will be retained for a period of five years.

System manager(s) and address:

System Manager(s) and Address: Chief,
Program Guidance and Enforcement Division,
Federal Railroad Administration,
Office of Safety,
400 Seventh Street, SW
Washington, D.C. 20590.

Notification procedure:

Notification Procedure: Inquiries should be made direct to:
Associate Administrator for Safety,
Federal Railroad Administration,
400 Seventh Street, SW,
Washington, D.C. 20590.

Record access procedures:

Record Access Procedure: Contact the System Manager for Access.

Contesting record procedures:

Contesting Record Procedure: Write The Privacy Act Officer, Office of Management Systems, Federal Railroad Administration, 400 Seventh Street, SW, Washington, D.C. 20590. Reasonably identify the record and specify the information to be contested.

Record source categories:

Record Source Categories: Information is obtained directly from the individual and from other persons with personal knowledge of the facts and circumstances involved.

DOT/MARAD-1

System name:

System Name: Attendance, Leave and Payroll Records of Employees and Certain Other Persons.

System location:

System Location: Department of Transportation (DOT)
Maritime Administration (MarAd)
Division of Accounting Operations
400 7th Street, SW
Room 4429
Washington, D.C. 20590

Categories of individuals covered by the system:

Categories of Individuals: All Maritime Administration employees and certain other employees.

Categories of records in the system:

Categories of Records: Name, date of birth, social security number and employee number, service computation date, grade, step, and salary; organization (code), retirement or FICA data, as applicable; federal, state, and local tax deductions, as appropriate; optional Government life insurance deduction(s), health insurance deduction and plan or code; cash award data; jury duty data; military leave data; pay differentials; union dues deductions; allotments, by type and amount; financial institution code and employee account number; leave status and leave data of all types (including annual, compensatory, jury duty, maternity, military retirement advisability, sick, transferred, absence without leave, and without pay); time and attendance records including number of regular, overtime, holiday, Sunday, and other hours worked; pay period number and ending date; cost of living allowances; mailing address; co-owner and/or beneficiary of bonds, marital status and number of dependants; and 'Notification of Personnel Action.' The individual records listed herein are included only as pertinent or applicable to the individual employee.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: Transmittal of data to U.S. Treasury and employee-designated financial institutions to effect issuance of paycheck to employees and distribution of pay according to employee directions for saving bonds, allotments, and other authorized purposes.

Reporting: Tax withholding to Internal Revenue Service and appropriate state and local taxing authorities; FICA deductions to the Social Security Administration; dues deduction to labor unions; withholding for health and life insurance to the insurance carriers and the U.S. Office of Personnel Management; charity contribution deductions to agents of charitable institutions; annual W-2 statements to taxing authorities and the individual; wage, employment, and separation information to state unemployment compensation agencies, to the Department of Labor to determine eligibility for unemployment compensation, and to housing authorities for low-cost housing applications; injury compensation claims to Office of Workers Compensation Program at the Department of Labor. Also see Prefatory Statement of General Routine Uses.

Disclosure to consumer reporting agencies:

Disclosures pursuant to 5 USC 552a(b)(12): Disclosures may be made from this systems to 'consumer reporting agencies' (collecting on behalf of the U.S. Govt.) as defined in the Fair Credit Reporting Act (15 USC 1681a(f)) or the Federal Claims Collection Act of 1982 (31 USC 3701(a)(3)).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: Manual and automated.

Retrievability:

Retrievability: By name or social security number.

Safeguards:

Safeguards: Physical, technical, and administrative security is maintained, with all storage equipment and/or rooms locked when not in use. Admittance, when open, is restricted to authorized personnel only. All payroll personnel and computer operators and programmers are instructed and cautioned on the confidentiality of the records.

Retention and disposal:

Retention and Disposal: Retained on site until after GAO audit, then disposed of, or transferred to Federal Records Storage Center in accordance with the fiscal record programs approved by GAO, as appropriate, or General Record Schedules of GSA.

System manager(s) and address:

System Manager(s) and Address: Chief, Division of Accounting Operations
Department of Transportation
Maritime Administration
400 7th Street, SW,
Washington, D.C. 20590

Notification procedure:

Notification Procedure: Secretary, Maritime Administration
Department of Transportation
400 7th Street, SW
Washington, D.C. 20590
Written request, signed by individual, should provide name, social security number, and time and organization unit of employment.

Record access procedures:

Record Access Procedures: Requests from individuals should be addressed to the same address as stated in Notification section above.

Contesting record procedures:

Contesting Record Procedures: The Department's rules for access, for contesting, and appealing initial determinations by the individual concerned appear in 49 CFR Part 10. Use above address for desired location.

Record source categories:

Record Source Categories: The individual.
Those authorized by individual to furnish information.
Supervisors.
Timekeepers.
Personnel Offices.
IRS.

DOT/MARAD-2

System name:

System Name: Accounts Receivable.

System location:

System Location: Department of Transportation
Maritime Administration
Division of Accounting Operations

400 7th Street, SW
Washington, D.C. 20590

Categories of individuals covered by the system:

Categories of Individuals: Debtors owing money to MarAd, including employees, former employees, business firms, general public and institutions.

Categories of records in the system:

Categories of Records: Name and address; amount owed, and service, overpayment or other accounting therefor; invoice number, if any.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: Billing debtors, reporting delinquent debts to credit bureaus, referrals to the General Accounting Office and the Department of Justice, reporting to Office of Personnel Management for liquidating debts from retirement and other benefits. Also see Prefatory Statement of General Routine Uses.

Disclosure to consumer reporting agencies:

Disclosures pursuant to 5 USC 552a(b)(12): Disclosures may be made from this systems to 'consumer reporting agencies' (collecting on behalf of the U.S. Govt.) as defined in the Fair Credit Reporting Act (15 USC 1681a(f)) or the Federal Claims Collection Act of 1982 (31 USC 3701(a)(3)).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: Manual.

Retrievability:

Retrievability: By name, and invoice number as appropriate.

Safeguards:

Safeguards: Physical security; handling by authorized personnel only.

Retention and disposal:

Retention and Disposal: Retained until payment is received and account is audited, then disposed of in accordance with Records Control Schedule.

System manager(s) and address:

System Manager(s) and Address: Chief, Division of Accounting Operations
Maritime Administration
Department of Transportation
400 7th Street, SW
Washington, D.C. 20590

Notification procedure:

Notification Procedure: Secretary, Maritime Administration
Department of Transportation
400 7th Street, SW
Washington, D.C. 20590
Written request, signed by individual should provide name and address, and invoice number as appropriate.

Record access procedures:

Record Access Procedures: Requests from individuals should be addressed to the same address as stated in the Notification section above.

Contesting record procedures:

Contesting Record Procedures: The Department's rules for access, for contesting contents, and appealing initial determinations by the individual concerned appear in 49 CFR Part 10. Use above address.

Record source categories:

Record Source Categories: The individual.
Those authorized by the individual to furnish information.
Contracting officer as appropriate.
Accounting records.

DOT/MARAD-3

System name:

System Name: Freedom of Information and Privacy Request Records.

System location:

System Location: Office of the Secretary, Maritime Administration, Department of Transportation, 400 7th Street, SW
Washington, D.C. 20590

Categories of individuals covered by the system:

Categories of Individuals: Individuals who have requested records under the Freedom of Information and/or Privacy Acts contained in files maintained by the organizational units shown in the System Location paragraph above.

Categories of records in the system:

Categories of Records: Incoming requests; correspondence developed during processing of requests; initial and final determination letters; records summarizing pertinent facts about requests and action taken; copy or description of records released; description of records denied (copies of records denied are often kept with these files).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: Used by DOT and MarAd management and legal personnel to assure that each request receives an appropriate reply and to compile data for the required annual reports on activities under the Acts. Also see Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: Paper records in file folders.

Retrievability:

Retrievability: Chronologically by date of initial determination.

Safeguards:

Safeguards: Privacy Act request records are stored in file cabinets in secured premises with access limited to those whose official duties require access. Freedom of Information Act request records are generally available to the public with the exception of records denied.

Retention and disposal:

Retention and Disposal: Records are disposed of in accordance with the appropriate records disposition authorization approved by the Archivist of the United States.

System manager(s) and address:

System Manager(s) and Address: Secretary, Maritime Administration
U.S. Department of Transportation
400 7th Street, SW
Washington, D.C. 20590

Notification procedure:

Notification Procedure: Same individual and address for each as shown in System Manager section above.
Written request, signed by individual, should provide name and address.

Record access procedures:

Record Access Procedure: Requests from individuals should be addressed to same address as stated above.

Contesting record procedures:

Contesting Record Procedures: The Department's rules for access, for contesting contents, and appealing initial determinations by the individual concerned appear in 49 CFR Part 10. Use above address.

Record source categories:

Record Source Categories: The individual. Records derived from processing Freedom of Information and Privacy Act requests.

DOT/MARAD-4

System name:

System Name: Visitor Logs and Permits for Facilities Under Department Control.

System location:

System Location: Beaumont Reserve Fleet, Beaumont, Texas; James River Reserve Fleet, Fort Eustis, Virginia; Suisun Bay Reserve Fleet, Benicia, California; and U.S. Merchant Marine Academy, Kings Point, New York.

Categories of individuals covered by the system:

Categories of Individuals: Non-Federal visitors, Federal personnel entering facilities after duty hours, and employees seeking parking and firearm permits.

Categories of records in the system:

Categories of Records: Name, address, place of birth, citizenship, physical characteristics, type and number of firearms and amount of ammunition, purpose of visit, affiliation, time in and time out, license numbers, and records of violations.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: Paper records in file folders.

Retrievability:

Retrievability: Filed alphabetically by name, or date and time.

Safeguards:

Safeguards: Records are located in lockable metal file cabinets or in metal file cabinets in secured rooms or secured premises with access limited to those whose official duties require access.

Retention and disposal:

Retention and Disposal: Retained on site for five years, then disposed of in accordance with unit's Record Control Schedule.

System manager(s) and address:

System Manager(s) and Address: Superintendent of respective Reserve Fleets and Chief, Fire and Security, U.S. Merchant Marine Academy, Kings Point, New York.

Notification procedure:

Notification Procedure: Secretary, Maritime Administration
Department of Transportation
400 7th Street, SW
Washington, D.C. 20590
Written request, signed by individual, should provide name and address, date of visit or type of permit, as appropriate.

Record access procedures:

Record Access Procedures: Requests from individuals should be addressed to the same address as stated in the Notification section above.

Contesting record procedures:

Contesting Record Procedures: The Department's rules for access, for contesting contents, and appealing initial determinations by the individual concerned appear in 49 CFR Part 10. Use above address.

Record source categories:

Record Source Categories: The individual.
Those authorized by the individual to furnish information.
Employees.

DOT/MARAD-5

System name:

System Name: Travel Records (Domestic and Foreign) of Employees and Certain Other Persons.

System location:

System Location: Division of Accounting Operations
Maritime Administration
Department of Transportation
400 7th Street, SW
Washington, D.C. 20590
U.S. Merchant Marine Academy Travel Clerk
U.S. Merchant Marine Academy
Kings Point, New York 11024

Categories of individuals covered by the system:

Categories of Individuals: Employees, Consultants, Advisory Committee Members, and official guests of the Department.

Categories of records in the system:

Categories of Records: Name, address, social security number; destination, itinerary, mode and purpose of travel; dates; expenses including amounts advanced (if any), amounts claimed, and amounts reimbursed; travel orders, travel vouchers, receipts, and passport record card.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: Transmittal to U.S. Treasury for payment, to State Department for passports. Also see Prefatory Statement of General Routine Uses.

Disclosure to consumer reporting agencies:

Disclosures pursuant to 5 USC 552a(b)(12): Disclosures may be made from this systems to 'consumer reporting agencies' (collecting on behalf of the U.S. Govt.) as defined in the Fair Credit Reporting Act (15 USC 1681a(f)) or the Federal Claims Collection Act of 1982 (31 USC 3701(a)(3)).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: Manual.

Retrievability:

Retrievability: Filed by name, social security number, or travel order number.

Safeguards:

Safeguards: Records are located in lockable metal file cabinets or in secured rooms or secured premises with access limited to those whose official duties require access.

Retention and disposal:

Retention and Disposal: Retained according to GSA Federal Travel Regulations, and then disposed of according to unit's Records Control Schedule.

System manager(s) and address:

System Manager(s) and Address: Chief, Division of Accounting Operations,
MarAd
Department of Transportation
400 7th Street, SW
Washington, D.C. 20590
U.S. Merchant Marine Academy Travel Clerk
U.S. Merchant Marine Academy
Kings Point, NY 11024

Notification procedure:

Notification Procedure: Secretary, Maritime Administration
Department of Transportation
400 7th Street, SW
Washington, D.C. 20590
Written request, signed by individual, should provide name, travel order number, if known, and date of travel.

Record access procedures:

Record Access Procedures: Requests from individuals should be addressed to the same address as stated in the Notification section above.

Contesting record procedures:

Contesting Record Procedures: The Department's rules for access, for contesting contents, and appealing initial determinations by the individual concerned appear in 49 CFR Part 10. Use above address.

Record source categories:

Record Source Categories: The individual.
Those authorized by the individual to furnish information.
Supervisors.
Finance (or accounting) office standard references.

DOT/MARAD-6

System name:

System Name: Executive Correspondence Files.

System location:

System Location: Office of Maritime Administrator
Department of Transportation
Maritime Administration
400 7th Street, SW
Washington, D.C. 20590

Categories of individuals covered by the system:

Categories of Individuals: Individuals who correspond with top-level officials in MarAd and express views or seek information or assistance. Freedom of Information Act or Privacy Act requests are not indexed in this system.

Categories of records in the system:

Categories of Records: The system may include the name and address of correspondent, summary of subject matter, original correspondence, official response, referral letters, memoranda or notes concerning subject of the correspondence, or copies of any enclosures. The records in the system are arranged chronologically by date of official Agency action, numerically by control number assigned to each items of correspondence and by name of correspondent.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: Used by personnel in the Office of the Maritime Administrator and administrative offices to assure that each request receives an appropriate and timely reply and to prepare statistical reports for management on correspondence volume or topics of public interest.

Information from or copies of the records may be provided to the original addresses of the original correspondence. Also see Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: Maintained in paper form.

Retrievability:

Retrievability: By control number, by correspondent's name, by subject, and by date.

Safeguards:

Safeguards: Paper records are stored in file cabinets on secured premises with access limited to personnel whose official duties require access.

Retention and disposal:

Retention and Disposal: Records are disposed in accordance with the appropriate records disposition schedule approved by the Archivist of the United States.

System manager(s) and address:

System Manager(s) and Address: Maritime Administrator
Department of Transportation
400 7th Street, SW
Washington, D.C. 20590

Notification procedure:

Notification Procedure: Secretary, Maritime Administration
Department of Transportation
400 7th Street, SW
Washington, D.C. 20590
Written requests, signed by individual, should provide the correspondent's name as included in original correspondence, or provide any items listed under the retrievability section above.

Record access procedures:

Record Access Procedures: Request for access and disclosures should be addressed to the same address as stated in the Notification section above.

Contesting record procedures:

Contesting Record Procedures: The Department's rules for access, for contesting contents, and for appealing initial determination by the individual concerned appear in 49 CFR Part 10. Use above address.

Record source categories:

Record Source Categories: The correspondent, referral source, Department employees involved in processing the correspondence, and other individuals, as required to prepare an appropriate response.

DOT/MARAD-7

System name:

System Name: Litigation, Claims and Administrative Proceeding Records.

System location:

System Location: Office of Chief Counsel
Maritime Administration
Department of Transportation
400 7th Street, SW
Washington, D.C. 20590

Categories of individuals covered by the system:

Categories of Individuals: Individuals the subject of any litigation which MarAd is involved; individuals who make administrative claims or appeals against MarAd; individuals the subject of claims and administrative actions brought by MarAd. Individuals who may have provided statements or other evidence with respect to any of the above.

Categories of records in the system:

Categories of Records: Names, addresses, social security account numbers, statements of claims and analyses thereof, investigatory reports, opinions of law, and pleadings, motions, depositions, rulings, opinions citation particulars (description of vehicle, date of birth, physical characteristics, driving permit or license data, vehicle license data, etc.) and other litigation and claims documentation.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: Paper records in file folders.

Retrievability:

Retrievability: Filed alphabetically by name.

Safeguards:

Safeguards: Records are located in lockable metal file cabinets or in metal file cabinets in secured rooms or secured premises with access limited to those whose official duties require access.

Retention and disposal:

Retention and Disposal: Records are disposed of according to unit's Record Control Schedule.

System manager(s) and address:

System Manager(s) and Address: Chief Counsel, Maritime Administration
Department of Transportation
400 7th Street, SW
Washington, D.C. 20590

Notification procedure:

Notification Procedure: Secretary, Maritime Administration
Department of Transportation
400 7th Street, SW
Washington, D.C. 20590
Written request, signed by individual, should provide name, address, social security number, case number; date of claim, organization unit in which employed, as appropriate.

Record access procedures:

Record Access Procedures: Requests from individuals should be addressed to the same address as stated in the Notification section above.

Contesting record procedures:

Contesting Record Procedures: The Department's rules for access, for contesting contents and appealing initial determinations by the individual concerned appear in 49 CFR Part 10. Use above address.

Record source categories:

Record Source Categories: Subject claimant or plaintiff.
Those authorized by the foregoing to furnish information.
Whatever sources pertinent to the nature of the case.

Systems exempted from certain provisions of the act:

Systems Exempted: Pursuant to 5 USC 552a (k)(1), (k)(2) and (k)(5), all investigatory material and material subject to the provisions of 5 USC 552(b)(1) in the record which meets the criteria of these subsections is exempted from the notice, access, and contest requirements (under 5 USC 552a (c)(3), (d), (e)(1), (e)(4)(G), (H), and (I), and (f)) of the agency regulations because of the necessity to exempt this information and material in order to prevent disclosure of classified information as required by Executive Order 12065 in the interest of the national defense and foreign policy and in order for the Department's legal staff to properly perform its functions.

DOT/MARAD-8

System name:

System Name: Property Accountability Files.

System location:

System Location: Office of Management Services and Procurement
Maritime Administration
Department of Transportation
400 7th Street, SW
Washington, D.C. 20590
Department of Administrative Service and Procurement
U.S. Merchant Marine Academy
Kings Point, NY 11024
Office of Ship Operations
Division of Reserve Fleet
Maritime Administration
Department of Transportation
400 7th Street, SW
Washington, DC 20590
James River Reserve Fleet, Fort Eustis
Virginia; Beaumont Researve Fleet,
Beaumont, Texas; Suisun Bay Reserve
Fleet, Benicia, California
National Maritime Research Center

U.S. Merchang Marine Academy
Kings Point, NY 11024

Categories of individuals covered by the system:

Categories of Individuals: Employees, general public, institutions, and anyone who charges out or signs for property or other materials.

Categories of records in the system:

Categories of Records: Name; telephone number; identification of property or equipment; home and business address; employee I.D. number; position; job title; grade; organization; explanation for items not accounted for, correspondence; clearances; and, key number.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: See Prefatory Statement of General Routine Uses.

Disclosure to consumer reporting agencies:

Disclosures pursuant to 5 USC 552a(b)(12): Disclosures may be made from this systems to 'consumer reporting agencies' (collecting on behalf of the U.S. Govt.) as defined in the Fair Credit Reporting Act (15 USC 1681a(f)) or the Federal Claims Collection Act of 1982 (31 USC 3701(a)(3)).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: Paper copy of file folders and trays.

Retrievability:

Retrievability: Filed alphabetically by name.

Safeguards:

Safeguards: Records are located in lockable metal file cabinets, or lockable desks, or in metal file cabinets in secured rooms or secured premises with access limited to those whose official duties require access.

Retention and disposal:

Retention and Disposal: Retained until property is accounted for, then disposed of in accordance with Record Control Schedule.

System manager(s) and address:

System Manager(s) and Address: Chief, Supply Operations Division
Department of Transportation
Maritime Administration
400 7th Street, SW
Washington, D.C. 20590
Administrative Services Office
U.S. Merchant Marine Academy
Kings Point, NY 11024
Director, National Maritme Research Center
U.S. Merchant Marine Academy
Kings Point, NY 11024
Chief, Division of Reserve Fleet
Maritime Administration
Department of Transportation
400 7th St, SW
Washington, DC 20590
Superintendent, James River Reserve
Fleet, Fort Eustis, Virginia; Superintendent,
Beaumont Reserve Fleet, Beaumont, Texas;
Superintendent, Suisun Bay Reserve
Fleet, Benicia, California

Notification procedure:

Notification Procedure: Secretary
Maritime Administration
U.S. Department of Transportation
400 7th Street, SW
Washington, D.C. 20590
Written request, signed by individual, should provide name and address.

Record access procedures:

Record Access Procedures: Requests from individuals should be addressed to the same address as stated in the Notification section above.

Contesting record procedures:

Contesting Record Procedures: The Department's rules for access, for contesting contents, and appealing initial determinations by the individual concerned appear in 49 CFR Part 10. Use above address.

Record source categories:

Record Source Categories: Subject individual.
Those authorized by the individual to furnish information.
Book cards.
Supply person providing the equipment.

DOT/MARAD-9

System name:

System Name: Records of Cash Receipts.

System location:

System Location: Director, Office of Financial Management
Maritime Administration
Department of Transportation
400 7th Street, SW
Washington, D.C. 20590

Categories of individuals covered by the system:

Categories of Individuals: Individuals paying for goods or services, reimbursing overpayments, or otherwise delivering cash to the Department.

Categories of records in the system:

Categories of Records: Individual's name, the goods or services purchased, amount, date, check number, division or office, bank deposit, treasury deposit number.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: Manual and machine readable.

Retrievability:

Retrievability: Name and/or account or case number.

Safeguards:

Safeguards: Records are located in lockable metal file cabinets or in secured premises with access limited to those whose official duties require access.

Retention and disposal:

Retention and Disposal: Permanently maintained.

System manager(s) and address:

System Manager(s) and Address: Director, Office of Financial Management
MarAd
Department of Transportation
400 7th St., SW,
Washington, D.C. 20590

Notification procedure:

Notification Procedure: Secretary, Maritime Administration
Department of Transportation
400 7th Street, SW
Washington, D.C. 20590
Written request, signed by individual, should provide name, address, date of receipt, and check number or case number.

Record access procedures:

Record Access Procedures: Requests from individuals should be addressed to the same address as stated in the Notification section above.

Contesting record procedures:

Contesting Record Procedures: The Department's rules for access, for contesting contents, and appealing initial determinations by the individual concerned appear in 49 CFR Part 10.

Record source categories:

Record Source Categories: Subject individual. Those authorized by the individual to furnish information.

DOT/MARAD-10

System name:

System Name: Employees Personnel Files Not Covered by Notices of Other Agencies.

System location:

System Location: Director, Office of Personnel
Maritime Administration
Department of Transportation
400 7th Street, SW
Washington, D.C. 20590

Categories of individuals covered by the system:

Categories of Individuals: Current and former employees.

Categories of records in the system:

Categories of Records: All personnel records in MarAd which are subject to the Privacy Act but are not covered in the notices of systems of records published by the Office of Personnel Management, Merit Systems Protection Board, or Equal Employment Opportunity Commission. The records of this system may include, but are not limited to: Employee Development; Incentive Awards; Employee Relations; Grievance Records; Medical; Career Management Program; Ship Personnel; Employee Overseas Assignments; Minority Group Statistics Program; Work Performance and Appraisal Records; including supervisory records which have been disclosed; Re-Employment and Priority Placement Programs; Within-Grade Denials (Reconsideration File); and, Automated Employee Information System.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: To provide information to officials or labor organizations reorganized under the Civil Service Reform Act when relevant and necessary to their duties of exclusive representation concerning personnel policies, practices, and matters affecting work conditions. Also see Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: Manual and machine-readable.

Retrievability:

Retrievability: Filed by name and/or social security number.

Safeguards:

Safeguards: Records are located in lockable metal file cabinets or in secured rooms or secured premises with access limited to those whose official duties require access.

Retention and disposal:

Retention and Disposal: Retained according to Unit's Records Control Schedule.

System manager(s) and address:

System Manager(s) and Address: Director, Office of Personnel
Maritime Administration
U.S. Department of Transportation
400 7th Street, SW
Washington, D.C. 20590

Notification procedure:

Notification Procedure: Secretary, Maritime Administration
Department of Transportation
400 7th Street, SW
Washington, D.C. 20590
Written request, signed by individual, should provide name, social security number, and time and organization unit of employment.

Record access procedures:

Record Access Procedures: Requests from individuals should be addressed to the same address as stated in the Notification section above.

Contesting record procedures:

Contesting Record Procedures The Department's rules for access, for contesting contents, and appealing initial determinations by the individual concerned appear in 49 CFR Part 10. Use above address.

Record source categories:

Record Source Categories: Subject individual and those authorized by the individual to furnish information.
Others involved in references of the individual.
Physicians.
Employee's supervisor.

DOT/MARAD-11

System name:

System Name: Biographical Files.

System location:

System Location: Office of Public Affairs, Maritime Administration
Department of Transportation
400 7th Street, SW
Washington, D.C. 20590

Categories of individuals covered by the system:

Categories of Individuals: Key present and former Maritime Administration personnel, and members of Advisory Board to the U.S. Merchant Marine Academy.

Categories of records in the system:

Categories of Records: Biographical information which may include date and place of birth; education; military service; present position; employment history; field of research; publications; inventions and patents; awards and honors; memberships and affiliations; present and past residences; telephone numbers; names, ages, and addresses of family members; hobbies and outside interests; and photograph of individual.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: Distributed to the press, other government agencies, and the general public for use in connection with written articles, oral interviews, speaking engagements, retirement and obituary notices, and other purposes of public information. Also see Prefatory Statement of General Routine Uses.

Disclosure to consumer reporting agencies:

Disclosures pursuant to 5 USC 552a(b)(12): Disclosures may be made from this systems to 'consumer reporting agencies' (collecting on behalf of the U.S. Govt.) as defined in the Fair Credit Reporting Act (15 USC 1681a(f)) or the Federal Claims Collection Act of 1982 (31 USC 3701(a)(3)).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: Paper records in file folders or notebooks.

Retrievability:

Retrievability: By name alphabetically or by position or work unit.

Safeguards:

Safeguards: Records are located in locked metal file cabinets or locked rooms during non-business hours.

Retention and disposal:

Retention and Disposal: Records retention and disposal is in accord with operating unit's Records Control Schedule.

System manager(s) and address:

System Manager(s) and Address: Public Affairs Officer, Maritime Administration
Department of Transportation
400 7th Street, SW
Washington, D.C. 20590

Notification procedure:

Notification Procedure: Secretary, Maritime Administration
Department of Transportation
400 7th Street, SW
Washington, D.C. 20590

Record access procedures:

Record Access Procedures: Written requests, signed by individual, should be addressed to the same address of the desired location as stated in the Notification section above.

Contesting record procedures:

Contesting Record Procedures: The Department's rules for access, for contesting contents, and appealing initial determinations by the individual concerned appear in 49 CFR Part 10. Use above address for desired location.

Record source categories:

Record Source Categories: The individuals.
Other sources such as news releases, articles and publications relating to the subject individuals.

DOT/MARAD-12

System name:

System Name: Applications to U.S. Merchant Marine Academy (USMMA).

System location:

System Location: Office of Admissions
U.S. Merchant Marine Academy
Kings Point, Long Island, NY 11204

Categories of individuals covered by the system:

Categories of Individuals: Applicants for admission to the Academy.

Categories of records in the system:

Categories of Records: Contains name; address; name of nominating Congressman and his congressional district; social security number; citizenship; sex; marital status; scholastic background; names of relatives who attended the Academy; high school record; personality record (compiled by high school authorities); seaman's experience; military service data; and biographical sketch. (Form: KP 2-65).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: See Prefatory Statement of General Routine Uses. Also, the Member of Congress or other nominating authority is advised of the outcome of an individual's candidacy.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: Manual and automated.

Retrievability:

Retrievability: Filed alphabetically by last name.

Safeguards:

Safeguards: Access to and use of these records is limited to those persons whose official duties require such access. Personnel screening is employed to prevent unauthorized disclosure.

Retention and disposal:

Retention and Disposal: If admitted, the application becomes part of the Midshipman's Personnel Record for permanent retention. The file is transferred to the Federal Records Center after 5 years. If not admitted, it is retained for one year and destroyed.

System manager(s) and address:

System Manager(s) and Address: Director, Office of Admissions, see address above.

Notification procedure:

Notification Procedure: Secretary, Maritime Administration
Department of Transportation
400 7th Street, SW
Washington, D.C. 20590
Written request, signed by individual, should provide name of applicant.

Record access procedures:

Record Access Procedures: Subject individual, the individual's high school officials, references, and those authorized by the individual to furnish information.

Contesting record procedures:

Contesting Record Procedures: The Department's rules of access, for contesting contents, and appealing initial determinations by the individual concerned appear in 49 CFR Part 10. Use above address.

Record source categories:

Record Source Categories: Subject individual.
The individual's high schools officials.
References.
Those authorized by the individual to furnish information.

Systems exempted from certain provisions of the act:

Systems Exempted: Pursuant to 5 USC 552a(k)(5), all investigatory material in the record which meets the criteria of 5 USC 552a(k)(5) is exempted from the notice, access, and contest requirements (under 5 USC 552a(c)(3), (d), (e)(1), (e)(4)(G), (H), and (I), and (f)) of the agency regulations in order to fulfill commitments made to protect the confidentiality of sources, and to maintain access to sources of information which are necessary to determine applicant's suitability for civilian employment and military service.

DOT/MARAD-13

System name:

System Name: Cadet Files, State Maritime Academies.

System location:

System Location: Office of Maritime Labor and Training
Maritime Administration
Department of Transportation
400 7th Street, SW
Washington, D.C. 20590

Categories of individuals covered by the system:

Categories of Individuals: Current and former cadets enrolled in the State Maritime Academies.

Categories of records in the system:

Categories of Records: Name; service number; date of change in pay; reenrollment or reinstatement; disenrollment; date of graduation; and service obligation. (Forms: MA-1005, MA-850 and MA-890).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: Paper records in file folders.

Retrievability:

Retrievability: Filed alphabetically by last name.

Safeguards:

Safeguards: Records are located in lockable file cabinets or in metal file cabinets in secured rooms or secured premises with access limited to those whose official duties require access.

Retention and disposal:

Retention and Disposal: The records are retained until six years after graduation and then destroyed.

System manager(s) and address:

System Manager(s) and Address: Director, Office of Labor and Training
Maritime Administration
Department of Transportation
400 7th Street, SW
Washington, D.C. 20590

Notification procedure:

Notification Procedure: Secretary, Maritime Administration
Department of Transportation
400 7th Street, SW
Washington, D.C. 20590
Written request, signed by individual, should provide cadet's name and State school attended.

Record access procedures:

Record Access Procedures: Requests from individuals should be addressed to the same address as stated in the Notification section above.

Contesting record procedures:

Contesting Record Procedures: The Department's rules for access, for contesting contents, and appealing initial determinations by the individual concerned appear in 49 CFR Part 10. Use above address.

Record source categories:

Record Source Categories: The subject student.
State Merchant Marine Academies.
Those authorized by the student to furnish information.

DOT/MARAD-14

System name:

System Name: Citizenship Statements and Affidavits.

System location:

System Location: Division of Ship Disposals and Foreign Transfers (bidders on surplus vessels)
Department of Transportation
400 7th Street, SW
Washington, D.C. 20590
Office of Chief Counsel, Maritime Administration (for all other purposes)
Department of Transportation
400 7th Street, SW
Washington, D.C. 20590

Categories of individuals covered by the system:

Categories of Individuals: Officers and shareholders of non-personal applicants and individual applicants.

Categories of records in the system:

Categories of Records: Name; date and place of birth; nationality; and naturalization data.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: See Prefatory Statement of General Routine Uses.

Disclosure to consumer reporting agencies:

Disclosures pursuant to 5 USC 552a(b)(12): Disclosures may be made from this systems to 'consumer reporting agencies' (collecting on behalf of the U.S. Govt.) as defined in the Fair Credit Reporting

Act (15 USC 1681a(f)) or the Federal Claims Collection Act of 1982 (31 USC 3701(a)(3)).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices·

Storage:

Storage: Paper records in file folders.

Retrievability:

Retrievability: Filed alphabetically by applicant's name, name of individual or vessel name.

Safeguards:

Safeguards: Records are located in lockable metal file cabinets or in metal file cabinets in secured rooms or secured premises with access limited to those whose official duties require access.

Retention and disposal:

Retention and Disposal: The records are transferred to the Federal Records Center after five years where they are retained for twenty years or the time period of the ship mortgage, whichever is longer.

System manager(s) and address:

System Manager(s) and Address: Chief, Division of Ship Disposals and Foreign Transfers and Office of the Chief Counsel, addresses are same as above.

Notification procedure:

Notification Procedure: Secretary, Maritime Administration
Department of Transportation
400 7th Street, SW
Washington, D.C. 20590
Written request, signed by individual, should provide name of applicant, or name of individual, or name of vessel, the program under which filed and the date.

Record access procedures:

Record Access Procedures: Requests from individuals should be addressed to the same address as stated in the Notification section above.

Contesting record procedures:

Contesting Record Procedures: The Department's rules for access, for contesting contents, and appealing initial determinations by the individual concerned appear in 49 CFR Part 10. Use above address.

Record source categories:

Record Source Categories: Subject applicant and individual. Those authorized by the foregoing to furnish information.

DOT/MARAD-15

System name:

System Name: General Agent's Protection and Indemnity and Second Seaman's Insurance: WSA and NSA.

System location:

System Location: Office of Marine Insurance
Maritime Administration
Department of Transportation
400 7th Street, SW
Washington, D.C. 20590

Categories of individuals covered by the system:

Categories of Individuals: Individuals (e.g., seamen, passengers, stevedores) filing claims against general agents for death, disability, loss of personal effects, detention and repatriation and property damage.

Categories of records in the system:

Categories of Records: Claimant's name; address; mariner's document number; sea service record; disciplinary records; selective service classification; names of parents; marriage and divorce data; social security number; alien registration and citizenship data; medical information; next-of-kin; wages per month; birth date; witness statements; investigator's report; names of counsel; and executors and administrators of estates (Forms: MA-574, MA-570, MA-269, MA-26 and 270).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: To evaluate filed claims, negotiate settlements, award money, contest or to initiate lawsuits; and to arrange for proper medical treatment by establishing seaman's eligibility for acceptance under regulations of Public Health Service, U.S. Department of Health and Human Services, or other appropriate medical facilities. Users are the Office of Marine Insurance; adjustors and attorneys acting for the Government; Office of Worker's Compensation Programs, U.S. Department of Labor; the Marine Index Bureau, 17 Battery Place, New York, N.Y. (a contract service centralizing data on seamen claims); and hospitals of the Public Health Service, U.S. Department of Health and Human Services, or, when appropriate, other medical facilities providing treatment to the individual. Also see Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: Paper records in file folders.

Retrievability:

Retrievability: Filed alphabetically by seaman's name and vessel's name.

Safeguards:

Safeguards: Records are located in lockable metal file cabinets or in metal file cabinets in secured rooms or secured premises with access limited to those whose official duties require access.

Retention and disposal:

Retention and Disposal: The records are transferred to the Federal Records Center after one year where they are retained indefinitely.

System manager(s) and address:

System Manager(s) and Address: Director, Office of Marine Insurance, see above address.

Notification procedure:

Notification Procedure: Secretary, Maritime Administration
Department of Transportation
400 7th Street, SW
Washington, D.C. 20590
Written request, signed by individual, should provide seaman's name, vessel name, and date of incident.

Record access procedures:

Record Access Procedures: Requests from individuals should be addressed to the same address as stated in the Notification section above.

Contesting record procedures:

Contesting Record Procedures: The Department's rules for access, for contesting contents, and appealing initial determinations by the individual concerned appear in 49 CFR Part 10. Use above address.

Record source categories:

Record Source Categories: Subject individual.
The individual's attorney.
Adjustors, investigators.
Attorneys.
Office of Marine Insurance.
Witness.
The Marine Index Bureau.
Those authorized by the individual to furnish information.

DOT/MARAD-16

System name:

System Name: Marine Training School Registrants.

System location:

System Location: MA regional offices: Eastern-26 Federal Plaza, New York, N.Y. 10007; Central-No. 2 Canal Street, New Orleans, LA 70130; Western- 211 Main Street, RM 1112, San Francisco, CA 94105; and, Great Lakes, 2300 E. Devon Avenue Des Plaines, IL 60018.

Categories of individuals covered by the system:

Categories of Individuals: Each seafarer enrolling in an agency training course.

Categories of records in the system:

Categories of Records: Name; address; position title; owner's document number; social security number; certificate number; sponsoring organization; course completed; date of course completion; course grade; date of birth; and telephone number. (Forms: MA-1005 and 1006).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: See Prefatory Statement of General Routine Uses. In addition, the information is used by the U.S. Coast Guard for verification of attendance and performance.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: Paper records in file folders.

Retrievability:

Retrievability: Filed alphabetically by student's name.

Safeguards:

Safeguards: Records are located in lockable metal file cabinets or in metal file cabinets in secured rooms or secured premises with access limited to those whose duties require access.

Retention and disposal:

Retention and Disposal: The records are transferred to the Federal Records Center one year after graduation or termination and disposed of 60 years after date of enrollment.

System manager(s) and address:

System Manager(s) and Address: Training Facility Registrar where the training was taken, see address above.

Notification procedure:

Notification Procedure: Secretary, Maritime Administration
Department of Transportation
400 7th Street, SW
Washington, D.C. 20590
Written request, signed by individual, should provide name, date and facility attended, course description.

Record access procedures:

Record Access Procedures: Requests from individuals should be addressed to the same address as stated in the Notification section above.

Contesting record procedures:

Contesting Record Procedures: The Department's rules for access, for contesting contents, and appealing initial determinations by the individual concerned appear in 49 CFR Part 10. Use address above.

Record source categories:

Record Source Categories: The student.
The training instructors.
Those authorized by the individual to furnish information.

DOT/MARAD-17

System name:

System Name: Waivers of Liability to Board Reserve Fleet Vessels and Other Craft Located at U.S. Merchant Marine Academy.

System location:

System Location: Beaumount Reserve Fleet, Beaumount, Texas; James River Reserve Fleet, Fort Eustis, Virginia; and Suisun Bay Reserve Fleet, Benicia, California; U.S. Merchant Marine Academy, Kings Point, Long Island, New York 11024.

Categories of individuals covered by the system:

Categories of Individuals: All individuals boarding Reserve Fleet vessels.

Categories of records in the system:

Categories of Records: Name, affiliation, date, and signature (Form: MA-118).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: Paper records in file folders.

Retrievability:

Retrievability: Filed alphabetically by name.

Safeguards:

Safeguards: Records are located in lockable metal file cabinets or metal file cabinets in secured rooms or in secured premises with access limited to those whose official duties require access.

Retention and disposal:

Retention and Disposal: Records are maintained for three years and then destroyed.

System manager(s) and address:

System Manager(s) and Address: Superintendent of Respective Reserve Fleets; and U.S. Merchant Marine Academy, Kings Point, New York 11024.

Notification procedure:

Notification Procedure: Secretary, Maritime Administration
Department of Transportation
400 7th Street, SW
Washington, D.C. 20590
Written request, signed by individual, should provide the name of the visitor.

Record access procedures:

Record Access Procedures: Requests from individuals should be addressed to the same address as stated in the Notification section above.

Contesting record procedures:

Contesting Record Procedures: The Department's rules for access, for contesting contents, and appealing initial determinations by the individual concerned appear in 49 CFR Part 10. Use above address.

Record source categories:

Record Source Categories: Subject individual. Those authorized by the individual to furnish information.

DOT/MARAD-18

System name:

System Name: National Defense Executive Reserve.

System location:

System Location: Division of National Security Plans, Maritime Administration
Department of Transportation
400 7th Street, SW
Washington, D.C. 20590

Categories of individuals covered by the system:

Categories of Individuals: Nominees and members of the National Defense Executive Reserve.

Categories of records in the system:

Categories of Records: Name; home address; photograph; brief career history; names of close relatives; marital status; previous Government experience; previous residences; current and recent employment; citizenship; social security number; business and residence telephone numbers; security clearance; statement of understanding; request for appointment; appointment affidavits; secrecy agreement; sex; date and place of birth; education; and professional and other memberships.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: Transferring data to the Federal Preparedness Agency pursuant to E.O. 11179. Also see Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: Paper records in file folders.

Retrievability:

Retrievability: Filed alphabetically by last name.

Safeguards:

Safeguards: Records are located in lockable metal file cabinets or in metal file cabinets in secured rooms or secured premises with access limited to those whose official duties require access.

Retention and disposal:

Retention and Disposal: Retained until one year after individual's appointment is terminated or until death and then discarded.

System manager(s) and address:

System Manager(s) and Address: Chief, Division of National Security Plans, Maritime Administration, see above address.

Notification procedure:

Notification Procedure: Secretary, Maritime Administration
Department of Transportation
400 7th Street, SW
Washington, D.C. 20590
Written request, signed by individual, should provide name.

Record access procedures:

Record Access Procedures: Requests from individuals should be addressed to the same address as stated in the Notification section above.

Contesting record procedures:

Contesting Record Procedures: The Department's rules for access, for contesting contents, and appealing initial determinations by the individual concerned appear in 49 CFR Part 10. Use above address.

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Record source categories:

Record Source Categories: The individual.
Those authorized by the individual to furnish information.
The investigator performing personal and security investigation.
Sources contacted by the investigator.

DOT/MARAD-19

System name:

System Name: Non-Attorney Practitioner Applications and 'Section 807 Reports.'

System location:

System Location: Office of the Secretary, Maritime Administration
Department of Transportation
400 7th Street, SW
Washington, D.C. 20590

Categories of individuals covered by the system:

Categories of Individuals: Those representing others in agency proceedings.

Categories of records in the system:

Categories of Records: Name; home address; compensation paid; expenses incurred; exact nature of the representation (Forms: MA-807-1, 807-2). Education; experience; employment history for last five years; date and place of birth; citizenship; past Federal service; involvement in litigation alleging fraud; and Communist, Fascist, etc. affiliations (Form: MA-327).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: Paper records in file folders.

Retrievability:

Retrievability: Filed alphabetically by name of practitioner and by name of principal.

Safeguards:

Safeguards: Records are located in metal file cabinets in secured premises with access limited to those whose official duties require access.

Retention and disposal:

Retention and Disposal: Records are retained in accordance with general retention schedule.

System manager(s) and address:

System Manager(s) and Address: Secretary, Maritime Administration
Department of Transportation
400 7th Street, SW
Washington, D.C. 20590

Notification procedure:

Notification Procedure: Secretary, Maritime Administration, see above address.
Written request, signed by individuals, should provide name of practitioner.

Record access procedures:

Record Access Procedures: Requests from individuals should be addressed to the same address as stated in the Notification section above.

Contesting record procedures:

Contesting Record Procedures: The Department's rules for access, for contesting contents, and appealing initial determinations by the individual concerned appear in 49 CFR Part 10. Use above address.

Record source categories:

Record Source Categories: Subject individual.
The individual's principal.
Those authorized by the individual to furnish information.

DOT/MARAD-20

System name:

System Name: Seamen's Awards for Service, Valor, etc.

System location:

System Location: Office of Maritime Labor and Training
Maritime Administration
Department of Transportation
400 7th Street, SW
Washington, D.C. 20590

Categories of individuals covered by the system:

Categories of Individuals: Seamen given awards for service, valor, etc.

Categories of records in the system:

Categories of Records: Name; address; mariner's document number; social security number; names of ships and dates of service.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: Records are stored in paper copy in file folders and on magnetic tape.

Retrievabilitys:

Retrievability: Files are maintained alphabetically by name of seaman.

Safeguards:

Safeguards: Records are located in lockable metal file cabinets or in metal file cabinets in secured rooms or secured premises with access limited to those whose official duties require access.

Retention and disposal:

Retention and Disposal: Paper records containing letters of commendation, name of seamen, address, name of vessel and mariner's document number are transferred to the Federal Records Center immediately, where they are retained for 75 years.

System manager(s) and address:

System Manager(s) and Address: Director, Office of Maritime Labor and
Training
Maritime Administration
Department of Transportation
400 7th Street, SW
Washington, D.C. 20590

Notification procedure:

Notification Procedure: Secretary, Maritime Administration
Department of Transportation
400 7th Street, SW
Washington, D.C. 20590
Written request, signed by individual, should provide seaman's name and name of vessel.

Record access procedures:

Record Access Procedures: Requests from individuals should be addressed to the same address as stated in the Notification section above.

Contesting record procedures:

Contesting Record Procedures: The Department's rules for access, for contesting contents, and appealing initial determinations by the individual concerned appear in 49 CFR Part 10. Use above address.

Record source categories:

Record Source Categories: Subject individual.
The individual's co-workers.
Witnesses to incidents.
Those authorized by the individual to furnish information.

DOT/MARAD-21

System name:

System Name: Seaman's Employment Analysis Records.

System location:

System Location: Transportation Computer Center
Department of Transportation
400 7th Street, SW
Washington, D.C. 20590

Categories of individuals covered by the system:

Categories of Individuals: Current and recent merchant seamen.

Categories of records in the system:

Categories of Records: Social security number; date of birth; records of U.S. Coast Guard issued documents; voyage employment information (e.g., ship and date signed on); and maritime schools attended.

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Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: Records are stored on magnetic tape.

Retrievability:

Retrievability: Filed by social security number.

Safeguards:

Safeguards: In addition to technical securities, the records are located in secured rooms or premises with access limited to those whose official duties require access.

Retention and disposal:

Retention and Disposal: Basic biographical data are retained indefinitely.

System manager(s) and address:

System Manager(s) and Address: Director, Office of Maritime Labor and Training
Maritime Administration
Department of Transportation
400 7th Street, SW
Washington, D.C. 20590

Notification procedure:

Notification Procedure: Secretary, Maritime Administration
Department of Transportation
400 7th Street, SW
Washington, D.C. 20590
Written request, signed by individual, should provide name and social security number.

Record access procedures:

Record Access Procedures: Requests from individuals should be addressed to the same address as stated in the Notification section above.

Contesting record procedures:

Contesting Record Procedures: The Department's rules for access, for contesting contents, and appealing initial determinations by the individual concerned appear in 49 CFR Part 10. Use above address.

Record source categories:

Record Source Categories: Magnetic tape is produced from information received from the U.S. Coast Guard.

DOT/MARAD-22

System name:

System Name: Seaman's Unclaimed Wages (Vietnam Conflict).

System location:

System Location: Division of Accounting Operations
Maritime Administration
Department of Transportation
400 7th Street, SW
Washington, D.C. 20590

Categories of individuals covered by the system:

Categories of Individuals: Seamen owed wages for service aboard Government vessels operated by general agents.

Categories of records in the system:

Categories of Records: Name; social security number; employing general agent; and wages due and owing.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: These records are disclosed to the U.S. Treasury for the purpose of reporting wages owed. Also see Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: Paper records in file folders.

Retrievability:

Retrievability: Paper records are filed alphabetically by name and by social security number.

Safeguards:

Safeguards: Paper records are secured in lockable metal file cabinets. Records are located in secured areas with access limited to those whose official duties require access.

Retention and disposal:

Retention and Disposal: Retained until such time as claim is resolved or wages are disbursed.

System manager(s) and address:

System Manager(s) and Address: Chief, Division of Accounting Operations, see above address.

Notification procedure:

Notification Procedure: Secretary, Maritime Administration
Department of Transportation
400 7th Street, SW
Washington, D.C. 20590
Written request, signed by individual, should provide name and social security number.

Record access procedures:

Record Access Procedures: Requests from individuals should be addressed to the same address as stated in the Notification section above.

Contesting record procedures:

Contesting Record Procedures: The Department's rules for access, for contesting contents, and appealing initial determinations by the individual concerned appear in 49 CFR Part 10. Use above address.

Record source categories:

Record Source Categories: The general agents.

DOT/MARAD-24

System name:

System Name: USMMA Non-Appropriated Fund Employees.

System location:

System Location: a. Office of the Commandant of Midshipmen; b. Office of the Director of Athletics; c. Office of the General Manager, Ship's Service; d. Officer's Club; e. Junior Officer's Mess; f. Petty Officers Club; g. Fiscal Control Office; and h. Department of Administrative Services and Procurement, (address for a. through h. above) U.S. Merchant Marine Academy, Kings Point. N.Y. 11024.

Categories of individuals covered by the system:

Categories of Individuals: All current and former employees of non-appropriated fund activities since 1970.

Categories of records in the system:

Categories of Records: Name; telephone number; social security number; address; date of birth; height; weight; birthplace; employment history; special qualifications; education summary; references; personnel actions showing positions held and salary paid; insurance coverage; and letters of commendation or reprimand.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: See Prefatory Statement of General Routine Uses.

Disclosure to consumer reporting agencies:

Disclosures pursuant to 5 USC 552a(b)(12): Disclosures may be made from this systems to 'consumer reporting agencies' (collecting on behalf of the U.S. Govt.) as defined in the Fair Credit Reporting Act (15 USC 1681a(f)) or the Federal Claims Collection Act of 1982 (31 USC 3701(a)(3)).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: Paper records in file folders.

Retrievability:

Retrievability: Filed alphabetically by employees name.

Safeguards:

Safeguards: Records are located in lockable metal file cabinets in secured rooms or secured premises with access limited to those whose official duties require access.

Retention and disposal:

Retention and Disposal: Records are retained indefinitely.

System manager(s) and address:

System Manager(s) and Address: a. Commandant of Midshipmen, USMMA; b. Director of Athletics, USMMA; c. General Manager, Ship's Service; d. President, Officer's Club; e. Manager, Junior Officers Mess; f. President, Petty Officers Club; g. Head, Department of

Budget and Accounts; and h. Head, Department of Administrative Services and Procurement, see above address.

Notification procedure:

Notification Procedure: Secretary, Maritime Administration
Department of Transportation
400 7th Street, SW
Washington, D.C. 20590
Written request, signed by individual, should provide name of employee and date of employment.

Record access procedures:

Record Access Procedures: Requests from individuals should be addressed to the same address as stated in the Notification section above.

Contesting record procedures:

Contesting Record Procedures: The Department's rules for access, for contesting contents, and appealing initial determinations by the individual concerned appear in 49 CFR Part 10. Use above address.

Record source categories:

Record Source Categories: Subject employee.
Those authorized by the employee to furnish information.
Past employers and references.
The employee's supervisor.

Systems exempted from certain provisions of the act:

Systems Exempted: Pursuant to 5 USC 552a(k)(5), all investigatory material in the record which meets the criteria of 5 USC 552a(k)(5) is exempted from the notice, access and contest requirements (under 5 USC 552a(c)(3), (d), (e)(1), (e)(4)(G), (H) and (I) and (f)) of the agency regulations in order to fulfill commitments made to protect the confidentiality of sources, and to maintain access to sources of information which are necessary to determine suitability for employment.

DOT/MARAD-25

System name:

System Name: USMMA Graduates.

System location:

System Location: Office of External Affairs
U.S. Merchant Marine Academy
Kings Point, NY 11024

Categories of individuals covered by the system:

Categories of Individuals: All graduates of USMMA, since 1942, and some parents of graduates.

Categories of records in the system:

Categories of Records: Name, address (home and business); vocation; class year; social security number; employee's name and address; years of maritime service, at sea and ashore; military service; maritime licenses; post-graduate education; honors and awards; and union affiliation. Graduate registration for job-placement also contains graduate's preferred salary and job location.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: To make employment referrals, to compile statistical reports for Congress and its Members on the professional progress of the graduates, and to mail alumni publications, notices and announcements. The users are the Director, Office of External Affairs and his immediate administrative staff, prospective employers, Congress and its Members, the United States Merchant Marine Academy Alumni Association, Inc., the United States Merchant Marine Academy Foundation, Inc. and the commercial contractor providing automated services for the United States Merchant Marine Academy Foundation, Inc. Also see Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: Paper records in file folders and basic information are on magentic tape.

Retrievability:

Retrievability: Filed alphabetically by name, and by social security number.

Safeguards:

Safeguards: Records are located in lockable metal file cabinets or in metal file cabinets in secured rooms or secured premises with access limited to those whose official duties require access. Records on tape also are subject to physical securities, including those maintained by contract.

Retention and disposal:

Retention and Disposal: The records are kept indefinitely.

System manager(s) and address:

System Manager(s) and Address: Director, Office of External Affairs
U.S. Merchant Marine Academy
Kings Point, N.Y. 10024

Notification procedure:

Notification Procedure: Secretary, Maritime Administration
Department of Transportation
400 7th Street, SW
Washington, D.C. 20590
Written request, signed by individual, should provide name.

Record access procedures:

Record Access Procedures: Requests from individual should be addressed to the same address as stated in the Notification section above.

Contesting record procedures:

Contesting Record Procedures: The Department's rules for access, for contesting contents, and appealing initial determinations by the individual concerned in 49 CFR Part 10. Use above address.

Record source categories:

Record Source Categories: A questionnaire voluntarily returned by graduates every few years.
Graduates asking to be registered for job-placement.
Families of graduates.
Public and private employment of graduates.
Persons nominating graduates for alumni awards.
United States Merchant Marine Academy Alumni Association, Inc.
Published articles naming graduates.

DOT/MARAD-26

System name:

System Name: USMMA Midshipmen Deposit Account Records.

System location:

System Location: Department of Budgets and Accounts
U.S. Merchant Marine Academy
Kings Point, NY 11024

Categories of individuals covered by the system:

Categories of Individuals: All current midshipmen.

Categories of records in the system:

Categories of Records: Name, social security number, and all midshipmen activity fee deposits to the Academy.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: Paper records in file folders.

Retrievability:

Retrievability: Filed by class year and then alphabetically by name.

Safeguards:

Safeguards: Records are located in lockable metal file cabinets or in metal file cabinets in secured rooms or in secured premises with access limited to those whose official duties require access.

Retention and disposal:

Retention and Disposal: Maintained for one year after graduation or separation, and then destroyed.

System manager(s) and address:

System Manager(s) and Address: Assistant Head, Department of Budgets and Accounts, see above address.

Notification procedure:

Notification Procedure: Secretary, Maritime Administration
Department of Transportation
400 7th Street, SW
Washington, D.C. 20590
Written request, signed by individual, should provide name of midshipman and dates of attendance.

Record access procedures:

Record Access Procedures: Requests from individuals should be addressed to the same address as stated in the Notification section above.

Contesting record procedures:

Contesting Record Procedures: The Department's rules for access, for contesting contents, and appealing initial determinations by the individual concerned appear in 49 CFR Part 10. Use above address.

Record source categories:

Record Source Categories: Midshipmen.
Those authorized by midshipman to furnish information.
Department of Budgets and Accounts personnel.

DOT/MARAD-27

System name:

System Name: USMMA Midshipman Grade Transcripts.

System location:

System Location: Registrar's Office
U.S. Merchant Marine Academy
Kings Point, NY 11024

Categories of individuals covered by the system:

Categories of Individuals: All present and past midshipmen.

Categories of records in the system:

Categories of Records: Name; social security number; courses taken; grades received; and cumulative average.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: Sent to other schools or employers when requested by the midshipman. Users are the midshipman, the Academy registrar, other schools and employers. Also see Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: Paper records in file folders, paper records in file drawers, microfilm records, and magnetic tape.

Retrievability:

Retrievability: Filed alphabetically by midshipman's name.

Safeguards:

Safeguards: Records are located in lockable metal file cabinets in secured rooms or secured premises with access limited to those whose official duties require access.

Retention and disposal:

Retention and Disposal: Transfer to Federal Records Center five years after graduation. Dispose of sixty years after graduation.

System manager(s) and address:

System Manager(s) and Address: Registrar's Office
U.S. Merchant Marine Academy
Kings Point, N.Y. 10024

Notification procedure:

Notification Procedure: Secretary, Maritime Administration
Department of Transportation
400 7th Street, SW
Washington, D.C. 20590
Written request, signed by individual, should provide name of midshipman.

Record access procedures:

Record Access Procedures: Requests from individuals should be addressed to the same address as stated in the Notification section above.

Contesting record procedures:

Contesting Record Procedures: The Department's rules for access, for contesting contents, and appealing initial determinations by the individual concerned appear in 49 CFR Part 10. Use above address.

Record source categories:

Record Source Categories: The midshipman.
Those authorized by the midshipman to furnish information.
Faculty.
Registrar's staff.

DOT/MARAD-28

System name:

System Name: USMMA Midshipman Medical Files.

System location:

System Location: Medical Department
U.S. Merchant Marine Academy
Kings Point, NY 11024

Categories of individuals covered by the system:

Categories of Individuals: All midshipmen.

Categories of records in the system:

Categories of Records: Complete medical history prior to and during enrollment at the Academy.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: Paper records in file folders.

Retrievability:

Retrievability: Filed alphabetically by midshipman's name.

Safeguards:

Safeguards: Records are located in lockable metal file cabinets or in metal file cabinets in secured rooms or in secured premises with access limited to those whose official duties require access.

Retention and disposal:

Retention and Disposal: Radiographic file salvage five years after graduation. All other documents combine within MA-18 Midshipmen Personnel Records after graduation. If not appointed as Midshipman, the record is retained for one year and destroyed.

System manager(s) and address:

System Manager(s) and Address: Medical Officer
U.S. Merchant Marine Academy
Kings Point, N.Y. 11024

Notification procedure:

Notification Procedure: Secretary, Maritime Administration
Department of Transportation
400 7th Street, SW
Washington, D.C. 20590
Written request, signed by individual, should provide name of applicant or midshipman and date of application or appointment.

Record access procedures:

Record Access Procedures: Requests from individuals should be addressed to the same address as stated in the Notification section above.

Contesting record procedures:

Contesting Record Procedures: The Department's rules for access, for contesting contents, and appealing initial determinations by the individual concerned appear in 49 CFR Part 10. Use above address.

Record source categories:

Record Source Categories: Subject applicant or midshipman.
Those authorized by foregoing to furnish information.
Individual's physician.
Academy medical officers.
Contract medical personnel.
Private and other medical personnel.

Systems exempted from certain provisions of the act:

Systems Exempted: Pursuant to 5 USC 552a(k)(5), all investigatory material in the record which meets the criteria of 5 USC 552a(k)(5) is exempted from the notice, access, and contest requirements (under 5 USC 552a(c)(3), (d), (e)(1), (e)(4)(G), (H), and (I) and (f)) of the agency regulations in order to fulfill commitments made to protect the confidentiality of sources, and to maintain access to sources of information which are necessary to determine suitability for civilian employment and military service.

DOT/MARAD-29

System name:

System Name: USMMA Midshipman Personnel Records.

System location:

System Location: Office of the Commandant of Midshipman
U.S. Merchant Marine Academy
Kings Point, NY 11024

Categories of individuals covered by the system:

Categories of Individuals: All current and former midshipmen since inception of the Academy in 1942. Also, all cadet corps personnel from 1938 to 1942.

Categories of records in the system:

Categories of Records: Nominations to U.S. Merchant Marine Academy; College Board Scores; high school transcript; name; address; social security number; parent's name and address and occupation; relatives who attended USMMA; number of brothers and sisters; medical report; height; weight; color of hair; color of eyes; complexion; commendations; record of disciplinary cases; resignation notice; graduation certification; and report of deficiencies.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: See Prefatory Statement of General Routine Uses.

Disclosure to consumer reporting agencies:

Disclosures pursuant to 5 USC 552a(b)(12): Disclosures may be made from this systems to 'consumer reporting agencies' (collecting on behalf of the U.S. Govt.) as defined in the Fair Credit Reporting Act (15 USC 1681a(f)) or the Federal Claims Collection Act of 1982 (31 USC 3701(a)(3)).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: Paper records in file folders.

Retrievability:

Retrievability: Filed alphabetically by midshipman's name.

Safeguards:

Safeguards: Records are located in lockable metal file cabinets or in metal file cabinets in secured rooms or in secured premises with access limited to those whose official duties require access.

Retention and disposal:

Retention and Disposal: Retained on site for five years after graduation, then disposed of in accordance with the unit's record control schedule.

System manager(s) and address:

System Manager(s) and Address: Commandant of Midshipmen, see above address.

Notification procedure:

Notification Procedure: Secretary, Maritime Administration
Department of Transportation
400 7th Street, SW
Washington, D.C. 20590
Written request, signed by individual, should provide name and period of attendance.

Record access procedures:

Record Access Procedures: Requests from individuals should be addressed to the same address as stated in the Notification section above.

Contesting record procedures:

Contesting Record Procedures: The Department's rules for access, for contesting content, and appealing initial determinations by individuals concerned appear in 49 CFR Part 10. Use above address.

Record source categories:

Record Source Categories: The subject midshipman.
Faculty administrators and midshipman corps officers who provide copies to the midshipman.
Former employers, teachers, and school authorities, and references.
Government or private physicians.
U.S. Navy Security Officers. Those authorized by the midshipman to furnish the information.

Systems exempted from certain provisions of the act:

Systems Exempted: Pursuant to 5 USC 552a(k)(5), all investigatory material in the record which meets the criteria of 5 USC 552a(k)(5) is exempted from the notice, access, and contest requirements (under 5 USC 552a(c)(3), (d), (e)(1), (e)(4)(G), (H) and (I), and (f)) of the agency regulations in order to fulfill commitments made to protect the confidentiality of sources, and to maintain access to sources of information which are necessary to determine suitability for civilian employment and military service.

DOT/NHTSA 400

System name:

System Name: National Highway Safety Advisory Committee Membership/Nominee Files, DOT/NHTSA.

System location:

System Location: Department of Transportation (DOT),
National Highway Traffic Safety Administration (NHTSA),
400 7th Street, SW, Room 5221,
Washington, DC 20590.

Categories of individuals covered by the system:

Categories of Individuals: Members, past members, and nominees for membership on a committee dealing with highway safety.

Categories of records in the system:

Categories of Records: Biographical information (date and place of birth; education; current and past experience).
Appointment papers (oath; withholding form).
Photograph.
Travel vouchers.
Compensation payment forms.
Miscellaneous correspondence from and to members.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: Files are maintained on members and nominees for use in specific situations, i.e., biographical information to be used for meetings, conferences, news articles when pertinent and when needed for recommendations for membership on committee.
Used only by support staff members.
See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: File folders.

Retrievability:

Retrievability: By individual name.

Safeguards:

Safeguards: Locked files.

Retention and disposal:

Retention and Disposal: Records are stored indefinitely.

System manager(s) and address:

System Manager: Executive Secretary,
Department of Transportation,
National Highway Traffic Safety Administration,
400 7th Street, SW, Room 5215,
Washington, DC 20590.

Notification procedure:

Notification Procedure: Department of Transportation,
National Highway Traffic Safety Administration,
Office of the Executive Secretary,
Privacy Act Coordinator,
400 7th Street, SW, Room 5217,
Washington, DC 20590.

Record access procedures:

Record Access Procedure: See 'Notification Procedure' above.

Contesting record procedures:

Contesting Record Procedure: See 'Notification Procedure' above.

Record source categories:

Record Source Categories: All information has been obtained from the individual upon appointment to the advisory committee, or, in the case of nominees, on that individual's behalf by another person or organization.

DOT/NHTSA 401

System name:

System Name: Docket System, DOT/NHTSA.

System location:

System Location: Department of Transportation (DOT),
National Highway Traffic Safety Administration (NHTSA),
Office of Administrative Operations
Technical Reference Division
400 7th Street, SW, Room 5708
Washington, DC 20590

Categories of individuals covered by the system:

Categories of Individuals: Individuals who have commented on notices of NHTSA appearing in the FEDERAL REGISTER.
Authors of reports which are added to the docket as background information.

Categories of records in the system:

Categories of Records: Summary of the nature of the comment or the report, date written and filed, author affiliation.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: To gather information on responses to rules promulgated by NHTSA. Users are both NHTSA staff members and public.

Other uses include searching for background data on standards, determining areas for further research, and preparation for litigation.

Prefatory Statement of General Routine Uses apply where feasible.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: Manual file.

Retrievability:

Retrievability: By individual name.

Safeguards:

Safeguards: Records are maintained in a Technical Reference Library.

Retention and disposal:

Retention and Disposal: Indefinitely held.

System manager(s) and address:

System Manager: Chief, Technical Reference Division,
Department of Transportation,
National Highway Traffic Safety Administration,
Office of Administrative Operations, Room 5108
400 7th Street, SW,
Washington, Dc 20590.

Notification procedure:

Notification Procedure: Department of Transportation,
National Highway Traffic Safety Administration,
Office of Administrative Operations
Technical Reference Division
400 7th Street, SW, Room 5108
Washington, DC 20590.

Record access procedures:

Record Access Procedure: Same as 'Notification Procedure' above.

Contesting record procedures:

Contesting Record Procedure: Same as 'Notification Procedure' above.

Record source categories:

Record Source Categories: From letters freely sent to NHTSA by the public; publications used by engineers in writing standards.

DOT/NHTSA 402

System name:

System Name: Highway Safety Literature Personal Author File, DOT/NHTSA.

System location:

System Location: Department of Transportation (DOT),
National Highway Traffic Safety Administration (NHTSA),
DIALOG Information Services, Inc.
3460 Hillview Ave.
Palo Alto, CA 94304.

Categories of individuals covered by the system:

Categories of Individuals: Writers of technical articles and reports who have authored publications selected for inclusion in the abstract journal Highway Safety Literature.

Categories of records in the system:

Categories of Records: Bibliographic information giving title of article, book, or paper written; journal or other publication in which it appears; date of publication; abstract.

The file is similar in nature to the card catalog of a library.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: Users are principally NHTSA staff members and their contractors who require literature searches prior to performing research.

See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: Magnetic tape.

Retrievability:

Retrievability: By individual name.

Safeguards:

Safeguards: Records are stored in file cabinets.

Retention and disposal:

Retention and Disposal: Records are maintained indefinitely.

System manager(s) and address:

System Manager: Chief, Technical Services Division,
Department of Transportation,
National Highway Traffic Safety Administration,
400 7th Street, SW, Room 4109,
Washington, DC 20590.

Notification procedure:

Notification Procedure: Department of Transportation,
National Highway Traffic Safety Administration,
Technical Reference Branch,
400 7th Street, SW, Room 4109,
Washington, DC 20590.

Record access procedures:

Record Access Procedure: Same as 'Notification Procedure' above.

Contesting record procedures:

Contesting Record Procedure: Same as 'Notification Procedure' above.

Record source categories:

Record Source Categories: Publications related to highway safety.

DOT/NHTSA 403

System name:

System Name: Active Contract Run, DOT/NHTSA.

System location:

System Location: Department of Transportation (DOT),
National Highway Traffic Safety Administration (NHTSA),
400 7th Street, SW, Room 5301,
Washington, DC 20590.

Categories of individuals covered by the system:

Categories of Individuals: NHTSA employees.

Categories of records in the system:

Categories of Records: List of names of contract specialists and contract technical managers managing active NHTSA contracts and agreements.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: Used in routine contract administration.

See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: Computer.

Retrievability:

Retrievability: By individual name.

Safeguards:

Safeguards: Records are maintained in a secured office.

Retention and disposal:

Retention and Disposal: Retained for life of contract; destroyed when no longer needed.

System manager(s) and address:

System Manager: Director, Office of Contracts and Procurement,
Department of Transportation,
National Highway Traffic Safety Administration,
400 7th Street, SW,
Washington, DC 20590.

Notification procedure:

Notification Procedure: Department of Transportation,
National Highway Traffic Safety Administration,
Director, Office of Contracts and Procurement,
400 7th Street, SW,
Washington, DC 20590.

Record access procedures:

Record Access Procedure: Department of Transportation,
National Highway Traffic Safety Administration,

Director, Office of Contracts and Procurement,
400 7th Street, SW,
Washington, DC 20590.

Contesting record procedures:

Contesting Record Procedure: Department of Transportation,
National Highway Traffic Safety Administration,
Director, Office of Contracts and Procurement,
400 7th Street, SW,
Washington, DC 20590.

Record source categories:

Record Source Categories: Employee job assignments.

DOT/NHTSA 404

System name:

System Name: Alcohol Projects, DOT/NHTSA.

System location:

System Location: In connection with the Alcohol Safety Action Program of the:

Department of Transportation (DOT),
National Highway Traffic Safety Administration (NHTSA);
Systems of records are maintained at various locations, as follows:
ASAP Staff Office and ASAP Probation,
The following offices in Nassau County, New York: Nassau County Police Dept., Nassau County Traffic Safety Board, Nassau County Central Traffic Court, N.Y. Dept. of Motor Vehicles.
Mississippi State University,
Social Science Research Center,
Mississippi State, MS 39762.
Hennepin County ASAP,
625 Second Avenue South, Room 404,
Minneapolis, MN 55402.
STR Project,
11a Government Center,
Minneapolis, MN 55402.
Data Processing,
City Hall,
Stockton, CA 95202.
Bureau of Motor Vehicle Services,

Categories of individuals covered by the system:

Categories of Individuals: Vehicle operators having committed alcohol-related driving violations.

Categories of records in the system:

Categories of Records: DMV records, police arrest and citation records, court and probation records, various official and social services rehabilitation records, and voluntary personal interviews.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses:

Records are used to evaluate the status of activities within a project, including the status of different groups for purposes of subsequent comparison and analysis, such as recidivism rates. Reports and management information are compiled, using statistical and comparative analysis of the records, which may be released to relevant authorities monitoring the progress of the project.

Data contained in these systems of records may be routinely distributed to the lower courts, police departments, public health services, probation authorities, or juvenile and rehabilitation services within the system if that agency's purpose for maintaining the records is compatible with the Project usage.

See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: Punch-card, disk, paper files, magnetic tape.

Retrievability:

Retrievability: Individual name, ID number, social security number.

Safeguards:

Safeguards: Locked file cabinet, code and restricted access.

Retention and disposal:

Retention and Disposal: Two years after project termination.

System manager(s) and address:

System Manager: Chief, Program Development Division (NTS-21),
Department of Transportation,
National Highway Traffic Safety Administration,
Office of Driver and Pedestrian Programs,
400 7th Street, SW, Room 5130,
Washington, DC 20590.

Notification procedure:

Notification Procedure: Same as Location.

Record access procedures:

Record Access Procedure: Letter of request to the System Manager (see address above) with notarized statement as to personal identification.

Contesting record procedures:

Contesting Record Procedure: See address of 'System Manager' above.

Record source categories:

Record Source Categories: Local law enforcement, court, health, and motor vehicle division records.

DOT/NHTSA 409

System name:

System Name: Federal Motor Vehicle Safety Standards (FMVSS) Compliance, DOT/NHTSA.

System location:

System Location: Department of Transportation (DOT),
National Highway Traffic Safety Administration (NHTSA),
Office of Vehicle Safety Compliance
400 7th Street, SW
Washington, DC 20590.

Categories of individuals covered by the system:

Categories of Individuals: Individuals suspected of violation of FMVSS.

Categories of records in the system:

Categories of Records: Data gathered regarding alleged non-compliance of FMVSS.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: Information is used to assist investigations of alleged violators, and in the effort to secure proper compliance.

See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: Paper file, microfilm, disc.

Retrievability:

Retrievability: Fiscal year, date, name, number.

Safeguards:

Safeguards: Stored in locked file cabinets in a security room.

Retention and disposal:

Retention and Disposal: Indefinite or until obsolete.

System manager(s) and address:

System Manager: Director, Office of Vehicle Safety Compliance,
Department of Transportation,
National Highway Traffic Safety Administration,
400 7th Street, SW,
Washington, DC 20590.

Notification Procedure:

Write or visit applicable office at address in 'System Location' above.

Record access procedures:

Record Access Procedure: Same as 'System Manager' above.

Contesting record procedures:

Contesting Record Procedure: Same as 'System Manager' above.

Record source categories:

Record Source Categories: Manufacturers, importation officials, dealers, purchasers, inspector, informants.

DOT/NHTSA 411

System name:

System Name: General Public Correspondence System, DOT/NHTSA.

System location:

System Location: Department of Transportation (DOT),
National Highway Traffic Safety Administration (NHTSA),
Office of the Executive Secretary,
400 7th Street, SW, Room 5221.
Washington, DC 20590.

Categories of individuals covered by the system:

Categories of Individuals: Individuals who have requested information or advice.

Categories of records in the system:

Categories of Records: Files containing correspondence with individuals who have requested information or advice on promoting devices.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: Reference purposes.

See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: In file folders.

Retrievability:

Retrievability: By individual name.

Safeguards:

Safeguards: Conserva-Files; locked when not in use.

Retention and disposal:

Retention and Disposal: Records are retained for one year and are then disposed of.

System manager(s) and address:

System Manager: Executive Secretary,
Department of Transportation,
National Highway Traffic Safety Administration,
Office of the Executive Secretary,
400 7th Street, SW,
Washington, DC 20590.

Notification procedure:

Notification Procedure: Department of Transportation,
National Highway Traffic Safety Administration,
Office of the Executive Secretary,
Privacy Act Coordinator,
400 7th Street, SW,
Washington, DC 20590.

Record access procedures:

Record Access Procedure: See 'Notification Procedure' above.

Contesting record procedures:

Contesting Record Procedure: See 'Notification Procedure' above.

Record source categories:

Record Source Categories: Individuals.

DOT/NHTSA 413

System name:

System Name: Odometer Rollback, DOT/NHTSA.

System location:

System Location: Department of Transportation (DOT):
National Highway Traffic Safety Administration (NHTSA):
Director, Odometer Fraud Staff
Associate Administrator for Enforcement,
400 7th Street, SW, Room 4109,
Washington, DC 20590.
Automated Sciences Group, Inc.,
Summit Office Building, Suite 713,
8555 16th Street, Silver Spring, MD 20910.

Categories of individuals covered by the system:

Categories of Individuals: Private individuals who may be involved in odometer rollbacks.

Categories of records in the system:

Categories of Records: Alleged circumstances surrounding odometer rollbacks on used cars sold or offered for sale. Information is used to assist in investigations of alleged violators

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: Data is made available to legal authorities for appropriate action.

See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: File folders.

Retrievability:

Retrievability: By individual name.

Safeguards:

Safeguards: Locked file.

Retention and disposal:

Retention and Disposal: Retained indefinitely.

System manager(s) and address:

System Manager: Director, Odometer Fraud Staff
Department of Transportation,
National Highway Traffic Safety Administration,
400 7th Street, SW, Room 5219,
Washington, DC 20590.

Notification procedure:

Notification Procedure: Department of Transportation,
National Highway Traffic Safety Administration,
Director, Odometer Fraud Staff
400 7th Street, SW, Room 4109,
Washington, DC 20590.

Record access procedures:

Record Access Procedure: Same as 'System Manager' above.

Contesting record procedures:

Contesting Record Procedure: Same as 'System Manager' above.

Record source categories:

Record Source Categories: Individual complaint by used car purchaser, automobile dealers, state agencies.

DOT/NHTSA 415

System name:

System Name: Office of Defects Investigation/Defects Information System (ODI/DIS).

System location:

System Location: Department of Transportation (DOT),
National Highway Traffic Safety Administration (NHTSA),
Office of Defects Investigation,
400 7th Street, SW, Room 5326
Washington, DC 20590.
Opportunity Systems, Inc.
1406 L Street, NW
Washington, DC 20005
National Institutes of Health
Computer Center
Computer Research and Technology
Building 12, Room 1100
Bethesda, MD 20205

Categories of individuals covered by the system:

Categories of Individuals: Vehicle owners.

Categories of records in the system:

Categories of Records: Vehicle identification, vehicle problem, vehicle owner.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: Check complaints about vehicle defects to spot trends, resulting in investigations of the vehicle model.

See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: Disc pack and paper file.

Retrievability:

Retrievability: Identification number for each vehicle owner.

Safeguards:

Safeguards: Coded entry numbers.

Retention and disposal:

Retention and Disposal: Eight years or indefinite.

System manager(s) and address:

System Manager: Chief, Defects Information Processing Group
Department of Transportation,
National Highway Traffic Safety Administration,
Office of Defects Investigation,
400 7th Street, SW,
Washington, DC 20590.

Notification procedure:

Notification Procedure: Write or visit the applicable address in 'System Location' above.

Record access procedures:

Record Access Procedures: Same as 'System Manager' above.

Contesting record procedures:

Contesting Record Procedures: Same as 'System Manager' above.

Record source categories:

Record Source Categories: General public, State highway offices, insurance companies, vehicle manufacturers.

DOT/NHTSA 417

System name:

System Name; National Driver Register (NDR), DOT/NHTSA.

System location:

System Location: Department of Transportation (DOT),
National Highway Traffic Safety Administration (NHTSA),
Office of State Program Assistance
National Driver Register Division
400 7th Street, SW, Room 5117
Washington, DC 20590.
Master file is located at:
Transportation Computer Center,
400 7th Street, SW, Plaza Level, SE Corner
Washington, DC 20590.

Categories of individuals covered by the system:

Categories of Individuals: Persons who have had their driver's license denied, withdrawn, revoked or suspended as reported by State/Territorial driver licensing authorities.

Categories of records in the system:

Categories of Records: NDR records include: The reporting jurisdiction, the subject's full name, other names used, date of birth, driver license number and/or social security number (if used by the reporting jurisdiction), sex, height, weight, eye color, the reason for withdrawal, the date of the withdrawal, and the date eligible for restoration of driving privilege or the date license was actually restored.

It should be noted that very frequently the physical data is not provided by the reporting agency.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: Provide identification of drivers who have had their licenses withdrawn, suspended, revoked or otherwise denied in response to inquiries from State or Federal driver licensing agencies relative to driver license applicants.

See Prefatory Statement of General Routine Uses.

Disclosure to consumer reporting agencies:

Disclosures pursuant to 5 USC 552a(b)(12): Disclosures may be made from this systems to 'consumer reporting agencies' (collecting on behalf of the U.S. Govt.) as defined in the Fair Credit Reporting Act (15 USC 1681a(f)) or the Federal Claims Collection Act of 1982 (31 USC 3701(a)(3)).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: The NDR master file is maintained on magnetic tape.

Source data; i.e., manual input (forms, letters) are retained in that form.

Source data received on magnetic tape are converted into printed listings.

All source data is batch filed.

Retrievability:

Retrievability: The magnetic tape master file is indexed by surname and refined by program application of screening criteria involving given names, date of birth and physical characteristics.

Source data batch files are indexed by the processing date as determined from test inquiry of the master file. A manual search of the appropriate batch is then required to access the specific record.

Safeguards:

Safeguards: The master file is kept in the Transportation Computer Center, a limited access area.

The source data files are maintained in a building under surveillance of a 24 hour guard force.

In addition, the spaces in which the files are maintained are equipped with lockable doors which are locked when vacated.

All personnel have met the investigative requirements for secret classified matter.

In addition, all NDR employees are orally briefed on NDR security requirements and their responsibilities.

Retention and disposal:

Retention and Disposal: Records of actions that have been cancelled or rescinded are purged from the file upon receipt of notification from the reporting jurisdiction. Other records are retained for seven or five years depending on the reason for withdrawal of the individual's license.

Withdrawals for drunk driving, hit and run, fatal accident, felony and misrepresentation are retained for seven years.

Records of 'habitual offenders' as stipulated by certain states are retained indefinitely, unless otherwise requested by the reporting state.

All other master file records are retained for five years.

Source data files are retained for one year.

Magnetic tape records are erased by degaussing, using 86db degaussing equipment, prior to disposing of the tapes.

Paper source data reports of withdrawal are destroyed by shredding.

System manager(s) and address:

System Manager: Chief, National Driver Register,
National Highway Traffic Safety Administration, NTS-33
Department of Transportation, Room 5117
Washington, DC 20590.

Notification procedure:

Notification Procedure: Mailed inquiries should be addressed as above under 'System Manager.'

For inquiries made in person, the inquirer should present himself at the National Driver Register office at the following location:
400 7th Street, SW, Room 5117
Washington, DC 20590.

In order to conduct a file search the requesting party must provide:
Full legal name,
Other names used (nickname, professional name, maiden name),
Date of birth,
Sex,
Height,
Weight,
Color of eyes,
Social security number and/or driver license number (provision of the social security number is voluntary).

In addition, although not mandatory, it would help to more positively identify any records we may have concerning the inquirer if the following information is included:
The reason his/her driver license was withdrawn or denied.
The date of the action.
The State which took the action.

An inquirer presenting himself/herself in person should have at least two means of identification sufficient to reasonably insure that he/she is who he/she purports to be.

For mailed inquiries the foregoing identification elements should be included in the form of a notarized affidavit and addressed to the System Manager.

Record access procedures:

Record Access Procedures: An individual desiring to obtain information on procedures to obtain his or her record(s) should contact the Chief, National Driver Register, at the address under 'System Manager' above.

Contesting record procedures:

Contesting Record Procedures: To obtain information on procedures to contest records one should contact the Chief, National Driver Register, at the address in 'System Manager' above.

With regard to contesting records it must be realized that the file is made up of State records. As such, these can only be changed or corrected by the reporting State. The records in the Driver Register file are changed only when advised by the originating jurisdiction.

Record source categories:

Record Source Categories: The records comprising the National Driver Register file are provided by States. District of Columbia, Puerto Rico, Canal Zone, Virgin Islands and Guam driver licensing administrators or the agency within the jurisdictions responsible for such records.

DOT/NHTSA 422

System name:

System Name: Temporary Exemption Petitions ,DOT/NHTSA.

System location:

System Location: Department of Transportation (DOT),
National Highway Traffic Safety Administration (NHTSA),
Office of Chief Counsel,
400 7th Street, SW, Room 5219,
Washington, DC 20590.

Categories of individuals covered by the system:

Categories of Individuals: Petitioners (commercial entities) seeking exemption from Federal motor vehicle safety standards.

Categories of records in the system:

Categories of Records: Income statement and balance sheets, production information.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: For consultation by attorneys while file is active; copies in public docket.

See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: Office files.

Retrievability:

Retrievability: Temporary exemptions; filed by corporation's names.

Safeguards:

Safeguards: Available only to the System Manager and his secretary.

Retention and disposal:

Retention and Disposal: Thus far all records have been retained.

System manager(s) and address:

System Manager: Senior Staff Attorney,
Department of Transportation,
National Highway Traffic Safety Administration,
Office of Chief Counsel,
400 7th Street, SW,
Washington, DC 20590.

Notification procedure:

Notification Procedure: Department of Transportation,
National Highway Traffic Safety Administration,
Office of Chief Counsel,
400 7th Street, SW, Room 5219,
Washington, DC 20590.

Record access procedures:

Record Access Procedure: Department of Transportation,
National Highway Traffic Safety Administration,
Office of Chief Counsel,
400 7th Street, SW,
Washington, DC 20590.

Contesting record procedures:

Contesting Record Procedures: Same as 'Record Access Procedure'.

Record source categories:

Record Source Categories: Submitted by petitioners.

DOT/NHTSA 423

System name:

System Name: Vendor Edit Table Listing (Employees), DOT/ NHTSA.

System location:

System Location: Department of Transportation (DOT),
National Highway Traffic Safety Administration (NHTSA),
Office of Financial Management,
400 7th Street, SW, Room 6134,
Washington, DC 20590.

Categories of individuals covered by the system:

Categories of Individuals: NHTSA employees.

Categories of records in the system:

Categories of Records: Employee name.
Employee number.
Residence - City, County, State, Zip Code.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses Employee travel orders are controlled by employee number to maintain a record of authorized travel and the related expenses for each trip. This file is assessed to match the employee number coded from the travel order and the voucher and for retrieval of this data for the travel report by organization and by individual.

See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: Magnetic disc.

Retrievability:

Retrievability: Table is indexed by employee number (vendor number).

Safeguards:

Safeguards: System operators are identified as individuals given authority for processing data in terminal room.

No others are allowed access to data.

Job controls (JCL's) for retrieval of data are kept in locked cabinet under custody of System Manager.

Retention and disposal:

Retention and Disposal: Table maintenance is the responsibility of the System Manager who adds new employee data as it is received from Personnel Director. Deletions are also controlled by the System Manager, as employees retire or otherwise leave the agency.

System manager(s) and address:

System Manager: Chief, Policies and Procedures Division,
Department of Transportation,
National Highway Traffic Safety Administration,
Office of Financial Management,
400 7th Street, SW,
Washington, DC 20590.

Notification procedure:

Notification Procedure: Address inquiries to the Privacy Act Coordinator at the address under 'System Manager'. Requests for data may be made by any employee of NHTSA. Requests must be in writing and identify:

System Name: DOT/NHTSA FMS-940.
Employee number.
Employee name.

Record access procedures:

Record Access Procedure: All inquiries as to procedures for gaining access to records shall be directed to:

Department of Transportation,
National Highway Traffic Safety Administration,
Office of Financial Management,
400 7th Street, SW, Room 6134,
Washington, DC 20590.

Contesting record procedures:

Contesting Record Procedure: Same as 'Record Access Procedure'.

Record source categories:

Record Source Categories: Source of data is from the Office of Personnel Management, NHTSA.

DOT/NHTSA 424

System name:

System Name: Offerors Mailing List, DOT/NHTSA.

System location:

System Location: Department of Transportation (DOT),
National Highway Traffic Safety Administration (NHTSA),
Office of Contracts and Procurement,
400 7th Street, SW, Room 5301,
Washington, DC 20590.

Categories of individuals covered by the system:

Categories of Individuals: Offerors that may bid on Requests for Proposal as individuals or to serve as experts and consultants.

Categories of records in the system:

Category of Records: Offerors name, address, and NHTSA areas of interest that the offeror wishes to bid on and their history of response or non-response to requests for proposals.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: Used to identify suppliers to fulfill NHTSA requirements.

See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: Forms; magnetic tape.

Retrievability:

Retrievability: Name, codes of contractual field of interest.

Safeguards:

Safeguards: The records are maintained in a secure area.

Retention and disposal:

Retention and Disposal: Indefinitely and destroyed when no longer needed.

System manager(s) and address:

System Manager: Director, Office of Contracts and Procurement,
Department of Transportation,
National Highway Traffic Safety Administration,
400 7th Street, SW,
Washington, DC 20590.

Notification procedure:

Notification Procedure: Write or visit the System Manager at the address in 'System Manager' above.

Record access procedures:

Record Access Procedure: Same as 'Notification Procedure' above.

Contesting record procedures:

Contesting Record Procedure: Same as 'Notification Procedure' above.

Record source categories:

Record Source Categories: From the individual himself or proposal submissions to requests for proposal.

DOT/NHTSA 427

System name:

System Name: Statement of Employment and Financial Interest, DOT/NHTSA.

System location:

System Location: Department of Transportation (DOT),
National Highway Traffic Safety Administration (NHTSA),
Office of Personnel Management,
400 7th Street, SW, Room 5306,
Washington, DC 20590.

Categories of individuals covered by the system:

Categories of Individuals: Individuals encumbering positions listed in Appendix C of Part 99 Title 49 CFR.

Special government employees.

Categories of records in the system:

Categories of Records: Records contain Statements of Financial Interest including but not limited to stocks, bonds and real estate that are held by individuals whose records are in the system.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: Financial statements are reviewed by the Director, Office of Personnel Management or his delegate to ascertain conflicts or apparent conflicts of interest between the holdings of individuals and the discharge of the individual's official duties.

Assistance of the NHTSA Chief Counsel or his delegate may be secured in the determination process.

Where potential conflict may arise the individual is contacted by the Chief Counsel or his delegate to attempt to resolve the issue.

Should further action be necessary the Administrator NHTSA may attempt to resolve the issue.

If necessary, remedial action may be instituted to resolve the conflict.

See Prefatory Statement of General Routine Uses.

Disclosure to consumer reporting agencies:

Disclosures pursuant to 5 USC 552a(b)(12): Disclosures may be made from this systems to 'consumer reporting agencies' (collecting on behalf of the U.S. Govt.) as defined in the Fair Credit Reporting Act (15 USC 1681a(f)) or the Federal Claims Collection Act of 1982 (31 USC 3701(a)(3)).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: Records are stored on forms DOT F 3700.1 and DOT F 3700.2.

Retrievability:

Retrievability: Records are retrieved by individual's name.

Safeguards:

Safeguards: Records are stored in safes or locked files. Access is only by authorized individuals on a 'need to know' basis.

Personnel screening is employed to prevent unauthorized access.

Retention and disposal:

Retention and Disposal: Five years following termination of employment and then destroyed.

System manager(s) and address:

System Manager: Director, Office of Personnel Management,
Department of Transportation,
National Highway Traffic Safety Administration,
400 7th Street, SW, Room 5306,
Washington, DC 20590.

Notification procedure:

Notification Procedure: Department of Transportation,
National Highway Traffic Safety Adminstration,
Director, Office of Personnel Management,
400 7th Street, SW, Room 5306,
Washington, DC 20590.

Record access procedures:

Record Access Procedure: Department of Transportation,
National Highway Traffic Safety Administration,
Current employees may contact the:
Director, Office of Personnel Management,
400 7th Street, SW, Room 5306,
Washington, DC 20590.

Former employees who wish to gain access to their records should direct such a request in writing including their names, date of birth and social security number to:

Department of Transportation,
National Highway Traffic Safety Administration,
Director, Office of Personnel Management,
400 7th Street, SW, Room 5306,
Washington, DC 20590.

Contesting record procedures:

Contesting Record Procedure: Same as 'Record Access Procedure'.

Record source categories:

Record Source Categories: Information in this system of records comes from the individual to whom it applies or is derived from information he supplied.

DOT/NHTSA 431

System name:

System Name: Civil Penalty Enforcement Files, DOT/NHTSA.

System location:

System Location: Department of Transportation (DOT),
National Highway Traffic Safety Administration,
Office of the Chief Counsel,
400 7th Street, SW, Room 5219,
Washington, DC 20590.

Categories of individuals covered by the system:

Categories of Individuals: Persons (corporate or individual) against whom civil penalties are sought or contemplated for violations of NHTSA - administered statutes.

Categories of records in the system:

Category of Records: Investigatory records of alleged violations.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: For consultation by attorneys regarding a civil suit against an individual.

See Prefatory Statement of General Routine uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: Office files.

Retrievability:

Retrievability: Files in CIR numerical order.

Safeguards:

Safeguards: Available only to the System Manager and his secretary.

Retention and disposal:

Retention and Disposal: Records are retained indefinitely.

System manager(s) and address:

System Manager: Senior Staff Attorney,
Department of Transportation,
National Highway Traffic Safety Administration,
Office of Chief Counsel,
400 7th Street, SW,
Washington, DC 20590.

Notification procedure:

Notification Procedure: Department of Transportation,
National Highway Traffic Safety Administration,
Office of Chief Counsel,
400 7th Street, SW, Room 5219, Washington, DC 20590.

Record access procedures:

Record Access Procedure: Department of Transportation,
National Highway Traffic Safety Administration,
Office of the Chief Counsel,
Chief Counsel,
400 7th Street, SW, Washington, DC 20590.

Contesting record procedures:

Contesting Record Procedure: Same as 'Record Access Procedure'.

Record source categories:

Record Source Categories: NHSTA investigations and tests.

DOT/NHTSA 432

System name:

System Name: EEO Counseling Program and Discrimination Complaint File, DOT/NHTSA.

System location:

System Location: Department of Transportation (DOT),
National Highway Traffic Safety Administration (NHTSA),
Office of Civil Rights,
400 7th Street, SW, Room 5312,
Washington, DC 20590.

Categories of individuals covered by the system:

Categories of Individuals: NHTSA personnel or those seeking employment with NHTSA (clerical and professional).

Categories of records in the system:

Categories of Records: Detailed description of alleged discrimination.
Background and support material.
Transcripts of hearings.
Personnel evaluation forms.
Record of interviews.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: Used for reference to aid EEO investigations.
See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: Records are kept on the original forms.

Retrievability:

Retrievability: Subject, individual's name.

Safeguards:

Safeguards: Personnel screening; kept in locked files.

Retention and disposal:

Retention and Disposal: Retained indefinitely.

System manager(s) and address:

System Manager: Director, Office of Civil Rights,
Department of Transportation,
National Highway Traffic Safety Administration,
Office of Civil Rights,
400 7th Street, SW, Room 5312,
Washington, DC 20590.

Notification procedure:

Notification Procedure: Department of Transportation,
National Highway Traffic Safety Administration,
Office of Civil Rights,
400 7th Street, SW, Room 5312, Washington, DC 20590.

Record access procedures:

Record Access Procedure: Department of Transportation,
National Highway Traffic Safety Administration,
Office of Public Affairs and Consumer Services,
400 7th Street, SW, Room 5232,
Washington, DC 20590.

Contesting record procedures:

Contesting Record Procedure: Same as 'Record Access Procedure'.

Record source categories:

Record Source Categories: From interviews with the complainants, others involved in the alleged discrimination action.

DOT/NHTSA 433

System name:

System Name: Injuries, Illnesses, Motor Vehicle Accidents and Property Damages, DOT/NHTSA.

System location:

System Location: Department of Transportation (DOT),
National Highway Traffic Safety Administration (NHTSA),
Office of Administrative Operations,
General Services Division, - NAD-51
400 7th Street, SW,
Washington, DC 20590.

Categories of individuals covered by the system:

Categories of Individuals: Individuals involved in injuries on the job.
Individual motor vehicle accident reports.
Individual Property Damage reports.

Categories of records in the system:

Categories of Records: Accident Report - DOT F 3902.1.
Injury Report, Supplement - I - DOT F 3902.2.
Motor Vehicle Report, Supplement - M - DOT F 3902.3.
Property Damage Report, Supplement - P - DOT F 3902.4.
Log of Federal Occupational Injuries and Illnesses - DOT F 3902.8.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: Legal.
Security.
Budget.
Audit.
Personnel Management.
Investigation.
Recordkeeping.
See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: File folder.

Retrievability:

Retrievability: Alphabetical, by individual's name.

Safeguards:

Safeguards: File cabinet with lock.

Retention and disposal:

Retention and Disposal: Destroyed when 5 years old.

System manager(s) and address:

System Manager: Chief, General Services Division,
Department of Transportation,
National Highway Traffic Safety Administration,
Office of Administrative Operations
400 7th Street, SW, NAD-51
Washington, DC 20590.

Notification procedure:

Notification Procedure: Department of Transportation,
National Highway Traffic Safety Administration,
Office of Management Systems,
400 7th Street, SW,
Washington, DC 20590.

Record access procedures:

Record Access Procedure: Department of Transportation,
National Highway Traffic Safety Administration,
Chief Counsel,
400 7th Street, SW,
Washington, DC 20590.

Contesting record procedures:

Contesting Record Procedure: Same as 'Record Access Procedure'.

Record source categories:

Record Source Categories: Individual to whom record pertains.
Investigations.
Reports of witnesses.

DOT/NHTSA 434

System name:

System Name: Government Driver Licenses, DOT/NHTSA.

System location:

System Location: Department of Transportation (DOT),
National Highway Traffic Safety Administration (NHTSA),
Office of Administrative Operations
General Services Division,
400 7th Street, SW, Room NAD-51,
Washington, DC 20590.

Categories of individuals covered by the system:

Categories of Individuals: Government drivers.

Categories of records in the system:

Categories of Records: Application for Operator's Identification Card.

Physical Fitness Inquiry for Motor Vehicle Operators.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: Records are used to verify that an applicant is qualified both legally and physically to operate a government vehicle.

See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: Records are stored on the original forms.

Retrievability:

Retrievability: Alphabetical, by individual's name.

Safeguards:

Safeguards: File cabinet with lock.

Retention and disposal:

Retention and Disposal: Destroyed 3 years after separation of employees or 3 years after rescission of authorization to operate government-owned vehicle, whichever is sooner.

System manager(s) and address:

System Manager: Chief, General Services Division,
Department of Transportation,
National Highway Traffic Safety Administration,
Office of Administrative Operations
400 7th Street, SW, NAD-51
Washington, DC 20590.

Notification procedure:

Notification Procedure: Department of Transportation,
National Highway Traffic Safety Administration,
Office of Management Systems,
400 7th Street, SW,
Washington, DC 20590.

Record access procedures:

Record Access Procedure: Department of Transportation,
National Highway Traffic Safety Administration,
Office of the Chief Counsel,
400 7th Street, SW,
Washington, DC 20590.

Contesting record procedures:

Contesting Record Procedure: Same as 'Record Access Procedure'.

Record source categories:

Record Source Categories: Individual to whom record pertains.
National Driver Register.

DOT/NHTSA 435

System name:

System Name: Investigations and Security, DOT/NHTSA.

System location:

System Location Department of Transportation (DOT),
National Highway Traffic Safety Administration (NHTSA),
Office of Administrative Operations
General Services Division,
400 7th Street, SW, NAD-51
Washington, DC 20590.

Categories of individuals covered by the system:

Categories of Individuals: Employees who allegedly violate NHTSA security regulations.

Categories of records in the system:

Categories of Records: A memoranda specifying security violations.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: For security purposes.

See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: Stored on original form HS 154.

Retrievability:

Retrievability: Individual's name and organization.

Safeguards:

Safeguards: Locked file cabinet.

Retention and disposal:

Retention and Disposal: Destroyed 2 years after completion of final action or when no longer needed, whichever is sooner.

System manager(s) and address:

System Manager: Security Coordinator, NHTSA,
Department of Transportation,
National Highway Traffic Safety Administration,
General Services Division, NAD-51
400 7th Street, SW,
Washington, DC 20590.

Notification procedure:

Notification Procedure: Department of Transportation,
National Highway Traffic Safety Administration,
Office of Administrative Operations 400 7th Street, SW, NAD-51, Washington, DC 20590.

Record access procedures:

Record Access Procedure: Department of Transportation,
National Highway Traffic Safety Administration,
Office of the Chief Counsel, 400 7th Street, SW, Washington, DC 20590.

Contesting record procedures:

Contesting Record Procedure: Same as 'Record Access Procedure'.

Record source categories:

Record Source Categories: Security Coordinator.

DOT/NHTSA 436

System name:

System Name: Contract Grievance Records, DOT/NHTSA.

System location:

System Location: Department of Transportation (DOT),
National Highway Traffic Safety Administration (NHTSA),
Office of Personnel Management,
400 7th Street, SW, Room 5306,
Washington, DC 20590.

Categories of individuals covered by the system:

Categories of Individuals: Employees in the non-professional exclusive unit covered by the NHTSA/AFGE contract of March 5, 1974.

Categories of records in the system:

Categories of Records: Records contain information or documents relating to a decision by the Administration or an arbitrator affecting an individual.

The records consist of:
The initial grievance.
Letters or notices to the individual.
Record of arbitration hearing when conducted.
Materials placed into the record to support the decision or determination affidavits or statements.
Testimonies of witnesses.
Investigative reports.
Instructions to the Administration about action to be taken to comply with decisions.
Related correspondence opinions and recommendations, opinions and recommendations.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: To respond to a Member of Congress regarding status of a grievance.

To provide information to the public as requested by the Freedom of Information Act.
To respond to the Federal Labor Relation Authority in connection with an Unfair Labor Practice Procedure or to respond to the on appeal of an arbitration award.
To respond to a court subpoena in connection with a civil suit.
To adjudicate a grievance.
See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: Maintained in file folders and index cards.

Retrievability:

Retrievability: Retrieved by names of grievant(s).

Safeguards:

Safeguards: Access limited to those with official 'need to know.' Personnel screening is employed to prevent unauthorized disclosure.

Retention and disposal:

Retention and Disposal: The records are maintained up to 3 years and then retired to the Washington National Records Center.

System manager(s) and address:

System Manager: Director, Office of Personnel Management,
Department of Transportation,
National Highway Traffic Safety Administration,
400 7th Street, SW, Room 5306,
Washington, DC 20590.

Notification procedure:

Notification Procedure: Individuals who have filed grievances under the NHTSA/AFGE contract should address inquiries to the:
Department of Transportation,
National Highway Traffic Safety Administration,
Director, Office of Personnel Management,
400 7th Street, SW, Room 5306,
Washington, DC 20590.

Individuals requesting information about this system of records should provide their full name, date of birth, social security number, name and address of office in which currently or formerly employed in the Federal service.

Record access procedures:

Record Access Procedure: After a grievance case has been closed an individual or his representative may gain access to the official copy of a grievance record by contacting the System Manager. Individuals should provide their names, date of birth, approximate date and subject of the grievance.

Contesting record procedures:

Contesting Record Procedure: Contest, correction or amendment of the record is permitted during the prosecution of the grievance by the individual to whom the record pertains or his representative.

Record source categories:

Record Source Categories: Individual to whom record pertains and/or representative.
Administration officials.
Affidavits or statements from employees.
Testimonies of witnesses.
Official documents relating to grievance.
Correspondence from organizations or persons.

DOT/NHTSA 447

System name:

System Name: Drinking Driver Tracking System, DOT/NHTSA.

System location:

System Location: Under the auspices of:
Department of Transportation (DOT),
National Highway Traffic Safety Administration (NHTSA),
System is located at:
State Office Building,
Salt Lake City, Utah 84114.

Categories of individuals covered by the system:

Categories of Individuals: Persons convicted while under the influence of alcohol.

Categories of records in the system:

Categories of Records: Identification data, driving record history and probation record.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: To analyze and evaluate drunk driver's records to look for trends, similarities and redivision rates.
To extract statistical information for evaluation purposes.
See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: Magnetic tape.

Retrievability:

Retrievability: By individual name or driver's license number.

Safeguards:

Safeguards: Only personnel of the Utah Highway Safety Program Office can get information from file, which is stored in secured file cabinets.

Retention and disposal:

Retention and Disposal: 5 years; erased from file.
Source documents are destroyed after information is taken off.

System manager(s) and address:

System Manager: Regional Administrator,
Department of Transportation,
Region VIII,
330 South Garrison Street,
Lakewood, CO 80226.

Notification procedure:

Notification Procedure: Department of Transportation,
National Highway Traffic Safety Administration,
Office of Contracts and Procurement, N48-30,
400 7th Street, SW, Room 5301,
Washington, DC 20590.

Record access procedures:

Record Access Procedure: See address in 'Notification Procedure' above.

Contesting record procedures:

Contesting Record Procedure: See address in 'Notification Procedure' above.

Record source categories:

Record Source Categories: Police arrest records.
Court records.
Probation records.
State Driver License Division.

DOT/NHTSA 451

System name:

System Name: Medical Records and Research Data, DOT/NHTSA.

System location:

System Location: Department of Transportation (DOT),
National Highway Traffic Safety Administration (NHTSA),
System is located at:
Naval Aerospace Medical Research Laboratory (NAMRL),
Pensacola, FL 32512; and at:
NAMRL Detachment,
New Orleans, LA

Categories of individuals covered by the system:

Categories of Individuals: Military research subjects.

Categories of records in the system:

Categories of Records: Medical Histories, results of physical examinations, psychological testing, electrocardiograms, audiograms, x-rays, and miscellaneous clinical laboratory results.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: Records are used to screen research subjects and for statistical purposes by military and civilian personnel employed at this activity.

Prefatory Statement of General Routine Uses 3 through 6 do not apply.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: The records are maintained in file folders, magnetic tape and punch cards.

Retrievability:

Retrievability: The key for retrieval is name or social security number.

Safeguards:

Retention and Disposal: Records are not sent to records center because they are considered raw scientific data.

Records are destroyed by burning when research projects are completed.

The military health records are sent to Naval Manpower Center, Bainbridge, Maryland when an active duty member completes his tour of service.

System manager(s) and address:

System Manager: Crashworthiness Research Division
Department of Transportation,
National Highway Traffic Safety Administration,
Office of Vehicle Research,
400 7th Street, SW,
Washington, DC 20590.

Notification procedure:

Notification Procedure: Department of Transportation,
National Highway Traffic Safety Administration,
Attention: Director, Office of Contracts and Procurement, N48-30,
400 7th Street, SW, Room 5301,
Washington, DC 20590.

Record access procedures:

Record Access Procedure: See address under 'Notification Procedure' above.

Contesting record procedures:

Contesting Record Procedure: See address under 'Notification Procedure' above.

Record source categories:

Record Source Categories: Personal medical history, personal responses to test, medical examinations, and results of experimental data.

DOT/NHTSA 454

System name:

System Name: Alcohol Behavior Research, DOT/NHTSA.

System location:

System Location: Under Auspices of:
Department of Transportation (DOT),
National Highway Traffic Safety Administration (NHTSA),
System is located at:
13766 S. Hawthorne Boulevard,
Hawthorne, CA 90250.

Categories of individuals covered by the system:

Categories of Individuals: Male, heavy drinkers.

Categories of records in the system:

Categories of Records: Self-professed drinking ability, medical condition, personality traits, experimental drinking data, experimental performance data.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: Experimenters' selection of subjects for alcohol and automobile control behavior research.

Prefatory Statement of General Routine Uses, 3 through 6 do not apply.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: File folders are kept in the technical library.

Retrievability:

Retrievability: System is indexed by subject's name.

Safeguards:

Safeguards: Accessible by the experimenter from the locked storage cabinet.

Retention and disposal:

Retention and Disposal: Depend on the success and longevity of the particular line of research.

System manager(s) and address:

System Manager: Director, Office of Driver and Pedestrian Research,
Department of Transportation,
National Highway Traffic Safety Administration,
400 7th Street, SW, Room 6240
Washington, DC 20590.

Notification procedure:

Notification Procedure: Department of Transportation,
National Highway Traffic Safety Administration,
Office of Contracts and Procurement, N48-30,
400 7th Street, SW, Room 5301,
Washington, DC 20590.

Record access procedures:

Record Access Procedure: See address in 'Notification Procedure' above.

Contesting record procedures:

Contesting Record Procedure: See address in 'Notification Procedure' above.

Record source categories:

Record Source Categories: Written examination filled out by the individual and experimental data collected during tests.

DOT/NHTSA 455

System name:

System Name: Debt Complaint File, DOT/NHTSA.

System location:

System Location: Department of Transportation (DOT), National Highway Traffic Safety Administration (NHTSA),
Office of Personnel Management,
400 7th Street, SW, Room 5306,
Washington, DC 20590.

Categories of individuals covered by the system:

Categories of Individuals: Employees of the NHTSA on whom the Agency has received contacts from creditors concerning indebtedness.

Categories of records in the system:

Categories of Records: Letters and other correspondence from creditors, collection agents, and state and local tax supported institutions with claims upon employees of the NHTSA.

System also contains copies of agency responses, employee statements of intention to pay debts, and other related correspondence.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: Information in the system may be used by officials of the agency to determine an employee's suitability for continued employment.

Documents in the file may be used to substantiate disciplinary actions related to indebtedness.

Material in file may be used to verify prior debt complaints from the same creditor on the same individual in order to respond to the creditor's current correspondence.

See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: Records stored in file folders.

Retrievability:

Retrievability: Indexed by name.

Safeguards:

Safeguards: Records are located in lockable file cabinets with access limited to individuals with an official need to know.

Retention and disposal:

Retention and Disposal: Retained in file for 6 months following separation or transfer of employee unless documents become part of disciplinary or appeal files covered by Civil Service Commission regulations.

System manager(s) and address:

System Manager: Director, Office of Personnel Management,
National Highway Traffic Safety Administration,
Department of Transportation,
400 7th Street, SW, Room 5306,
Washington, DC 20590.

Notification procedure:

Notification Procedure: Individuals desiring to review information about them in the system of records should address inquiries to the System Manager. Individuals requesting the information should provide their full name, date of birth, and social security number.

Record access procedures:

Record Access Procedure: Individuals desiring to access information in this system should address inquiries to the System Manager.

Contesting record procedures:

Contesting Record Procedure: Individuals desiring to contest information in this system of records should address inquiries to the System Manager.

Record source categories:

Record Source Categories: The individual to whom the record applies.
Creditors.
Tax supported institutions.
Courts.

DOT/NHTSA 457

System name:

System Name: Reference Files, DOT/NHTSA.

System location:

System Location: Department of Transportation (DOT),
National Highway Traffic Safety Administration (NHTSA),
Office of Personnel Management,
400 7th Street, SW, Room 5306,
Washington, DC 20590.

Categories of individuals covered by the system:

Categories of Individuals: Employees of the National Highway Traffic Safety Administration.

Categories of records in the system:

Categories of Records: File consists of reference checks, medical examination reports, and fitness-for-duty medical examination reports.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: Information in the system may be used by officials of the Agency to determine employee's suitability for employment and continued employment.
Documents in the file may be utilized as basis for separation actions after appointment.
See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: Records are stored in manila envelopes.

Retrievability:

Retrievability: Records are retrievable by employee name.

Safeguards:

Safeguards: Records are maintained in locked file cabinets. Access is limited to those whose official duties require access.

Retention and disposal:

Retention and Disposal: Files are maintained during period of employment. Except for medical examination reports, which will be transferred to another agency if employee transfers, the records in the file are destroyed upon employee separation. Medical examination records are destroyed, however, when inter-agency transfer is not the basis for separation.

System manager(s) and address:

Director, Office of Personnel Management,
Department of Transportation,
National Highway Traffic Safety Administration,
400 7th Street, SW, Room 5306,
Washington, DC 20590.

Notification procedure:

Notification Procedure: Inquiries about the system of records should be directed to the System Manager. Individuals requesting information should provide their name, mailing address, and social security number.

Record access procedures:

Record Access Procedure: Individuals who desire access to or to contest information about them in this system of records should contact the System Manager.

Contesting record procedures:

Contesting Record Procedure: Same as 'Record Access Procedure' above.

Record source categories:

Record Source Categories: Previous Employers.
Medical Practitioners.
Employee to whom the record pertains.

DOT/NHTSA 458

System name:

System Name: Investigations of Alleged Misconduct or Conflict of Interest, DOT/NHTSA.

System location:

System Location: Department of Transportation (DOT),
National Highway Traffic Safety Administration (NHTSA),
Office of Associate Administrator for Administration,
400 7th Street, SW, Room 5238,
Washington, DC 20590.

Categories of individuals covered by the system:

Categories of Individuals: Name of individual, state or contractor.

Categories of records in the system:

Categories of Records: Copies of allegations, investigations, audits, and recommendations.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: In assessing need for corrective action as necessary.
Available to Associate Administrator for Administration, individual assigned to the review or investigation, and Special Assistant and Secretary to the Associate Administrator for Administration.
See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: Maintained in folders in safe.

Retrievability:

Retrievability: Identified alphabetically by name.

Safeguards:

Safeguards: Safe combination is available only to the secretary and Special Assistant to the Associate Administrator for Administration and secretary to the Director.

Retention and disposal:

Retention and disposal: Until one year following final disposition of case then shredded.

System manager(s) and address:

System Manager: Associate Administrator for Administration,
Department of Transportation,
National Highway Traffic Safety Administration,
400 7th Street, SW,
Washington, DC 20590.

Notification procedure:

Notification Procedure: Department of Transportation,
National Highway Traffic Safety Administration,
Attention: Associate Administrator for Administration, NAD-01.
400 7th Street, SW, Room 5238,
Washington, DC 20590.

Record access procedures:

Record Access Procedure: See address in 'Notification Procedure' above.

Contesting record procedures:

Contesting Record Procedure: See address in 'Notification Procedure' above.

Record source categories:

Record Source Categories: OST Office of Investigations and Security, FBI, Office of Audits, and internal investigative individuals.
State and local investigative and law enforcement agencies.

DOT/NHTSA 459

System name:

System Name: Stockton Increased DUI Enforcement/DUI Citation and Arrest File, DOT/NHTSA.
This file will be modified specifically for this project to include driver's license numbers and BAC levels.
Other files to be used are already maintained by the City of Stockton (traffic and criminal information) or will contain no information by which an individual could be identified (roadside survey data).

System location:

System Location: Under the auspices of the:
Department of Highway Traffic Safety Administration (NHTSA),
System is located at:
Department of Psychology,
University of the Pacific,
Stockton, CA 95211.
and at the
Records Division,
City Hall,
22 East Market Street,
Stockton, CA 95202.

Categories of individuals covered by the system:

Categories of Individuals: Persons cited and/or arrested for DUI in City of Stockton.

Categories of records in the system:

Categories of Records: Citation and/or arrest records; court records.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: Records are used to determine BACs of DUI offenders and recidivism rate overtime.
See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: Record are maintained on magnetic tape and cards.

Retrievability:

Retrievability: By name and driver's license number.

Safeguards:

Safeguards: Records will be available for use by professional personnel only on evaluation team.
Records will be stored in a locked file cabinet in the Psychology Department or on tape at either computer center.

Retention and disposal:

Retention and Disposal: Retained for 10 years.

System manager(s) and address:

System Manager: Chief, Program and Demonstration Management Division, N42-11,
Department of Transportation,
National Highway Traffic Safety Administration,
400 7th Street, SW,
Washington, DC 20590.

Notification procedure:

Notification Procedure: Department of Transportation,
National Highway Traffic Safety Administration,
Attention: Director, Office of Contracts and Procurement, N48-30,
400 7th Street, SW, Room 5301,
Washington, DC 20590.

Record access procedures:

Record Access Procedure: See address in 'Notification Procedure' above.

Contesting record procedures:

Contesting Record Procedure: See address in 'Notification Procedure' above.

Record source categories:

Record Source Categories: Citation and/or Arrest Records.

DOT/NHTSA 463

System name:

System Name: Motor Vehicle and Motor Vehicle Equipment Import, DOT/NHTSA.

System location:

System Location: Department of Transportation,
National Highway Traffic Safety Administration,
Office of Vehicle Safety Compliance,
400 7th Street, SW,
Washington, DC 20590.

Categories of individuals covered by the system:

Categories of Individuals: Importers or declarants of imported motor vehicles and motor vehicles equipment, both private and commercial.

Categories of records in the system:

Categories of Records: Forms HS-7, declaration on motor vehicles and motor vehicle equipment subject to Federal Motor Vehicle Safety Standards.
Customs reports of declarations and inspections.
Records relating to refusal of entry or penalties, and in some instances law enforcement and court records in alleged fraud cases.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: Used for monitoring compliance with Federal Motor Vehicle Safety Standards by NHTSA.
Records may be released to the Environmental Protection Agency for compliance with the Clean Air Act and to the U.S. Customs Service for import requirements.
Released to State divisions of motor vehicles for state purposes and to law enforcement agencies in alleged fraud cases.
See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: Paper forms and computer disc tapes.

Retrievability:

Retrievability: By name of importer or declarant, addressee(s) vehicle or vehicle identification, customs district and entry number, and port of entry.

Safeguards:

Safeguards: Disc or tape may be accessed only by discrete identification code known to the System Manager and staff.
Hard paper copies are maintained in locked cabinets.

Retention and disposal:

Retention and Disposal: Hard paper copy is retained one year if no official claims are lodged against importer or declarant.
Disc and tapes retained for period of U.S. Customs Service statute of limitations before erasure.

System manager(s) and address:

System Manager: Chief, Verification Division
Office of Vehicle Safety Compliance,
National Highway Traffic Safety Administration,
Department of Transportation,
400 7th Street, SW,
Washington, DC 20590.

Notification procedure:

Notification Procedure; Same as 'System Manager.'

Record access procedures:

Record Access Procedure: Same as 'System Manager.'

Contesting record procedures:

Contesting Record Procedure: Same as 'System Manager.'

Record source categories:

Record Source Categories: Data is obtained from forms executed by importers or declarants for the NHTSA,U.S. Customs Service, and the Environmental Protection Agency,

DOT/NHTSA 466

System name:

System Name: National Highway Traffic Safety Administration Employee Travel Advances and Expense File.

System location:

System Location: Room 6134.
DOT Headquarters Building,
400 7th Street, SW,
Washington, DC 20590.

Categories of individuals covered by the system:

Categories of Individuals: NHTSA Employees at Headquarters and the ten Regional Offices
Intergovernmental Personnel Act Employees of NHTSA
Temporary Employees of NHTSA

Categories of records in the system:

Categories of Records: Employee Name
Employee Number
Travel Order Number
Travel Advances Outstanding:
Continuing Advance Amount and date issued
Trip advance amount and date issued
Change of Station advance amount and date issued
Payments of advances
Travel Expense:
Subsistence
Transportation of Persons

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: To maintain accountability of travel and transportation costs by object class for each allottee - Budget and Accounting Report - RIC-0033.

To control funds advanced to employees for travel and change of station.

To record detail of transactions processed for each budget allotment/allowance - Operating Budget - RIC0038.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: Original records are maintained by the Office of Financial Management as follows:
Travel Orders, DOT 1500.3 and DOT 1500.4
Travel Vouchers, SF-1012
Travel Advance Record, DOT 1500.5
Data coded from these documents are keypunched to cards and processed for disc storage.

Retrievability:

Retrievability: Job controls (JCL's) for retrieving data for periodic reports are maintained. Each report is identified by Report I.D. and by Report Name.

Safeguards:

Safeguards: JCL's are kept in a locked cabinet under custody of System Manager.

Retention and disposal:

Retention and Disposal: Original Records are retained in accordance with the Comptroller General's requirements for record retention.

Hard copies of reports are retained for one year.

System manager(s) and address:

System Manager: Chief,
Accounting Operations
Room 6134,
Office of Financial Management
400 7th Street, SW
National Highway Traffic Safety Administration
Washington, DC 20590.

Notification procedure:

Notification Procedure: Address all inquiries to:
Privacy Act Coordinator, Room 6134
Office of Financial Management
National Highway Traffic Safety Administration
400 7th Street, SW
Washington, DC 20590

Request for data may be made by any employee of NHTSA concerning the employee's own record. Request must be in writing and must identify:
System Name: DOT/NHTSA Travel Advances and Expense
Employee Number
Employee Name

Record access procedures:

Record Access Procedure: All inquiries as to procedures for gaining access to and contesting records shall be directed to:
Privacy Act Coordinator - Room 6134
Office of Financial Management
National Highway Traffic Safety Administration
400 7th Street, SW
Washington, DC 20590

Contesting record procedures:

Record Source Categories: DOT Form 1500.2 Application and Account for Advance of Funds
DOT Form 1500.3 Travel Order for Temporary Duty
DOT Form 1500.4 Travel Order for Permanent Change of Station
SF-1012 Travel Expense.

DOT/NHTSA 467

System name:

System Name: Driver Programs Data System, DOT/NHTSA. Safe Performance Secondary School Driver Education Curriculum/Demonstration Project Analysis File.

System location:

System Location: Battelle-Columbus Laboratories (BCL), 505 King Avenue, Columbus, Ohio 43201.

Categories of individuals covered by the system:

Categories of Individuals: 15-16 year old, non-licensed DeKalb County, Ga., High School student volunteers for Driver Education.

Categories of records in the system:

Categories of Records:

(a) DeKalb County School System Records:

(1) Student Entry Data consisting of name, DeKalb County student number, driver's license number, student project number (a unique number assigned to each student participating in the project), birthdate, sex, high school, site, socioeconomic status index, term of instruction, driver's education groups Safe Performance Curriculum (SPC), Pre-Driver Licensing Curriculum (PDL), and Control Group. (2) DeKalb County Student Master Data consisting of grade point average, address, schedule information, driver education teacher, driver education class, changes in student status, transferring schools within DeKalb County, leaving the DeKalb County School District. (3) Driver Education Project Information consisting of driver education test scores, pretest, unit tests, skill tests, post test, result of driving habit survey(s). (b) Driver History File consisting of student project number, cumulative number of points, name/date/length of suspensions, restrictions on driving, issue date of driver's license/learner's permit, exam date of driver's test, habitual offender/date, currently licensed, record of each citation; type of violation(s), date of violation, number of points for each violation, accident involved, license suspended/revoked. (c) Accident History File consisting of citation to project person, one vehicle or multi-vehicle accident, pedestrian/bicyclist accident, date of accident, violations for this accident, type of accident, property damage/injury/fatality, number of injuries, number of fatalities, position in car of injured/dead, severity of injuries.

Authority for maintenance of the system:

Authority: Highway Safety Act of 1966, Section 403.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: Battelle-Columbus Laboratories at six month intervals will evaluate the effectiveness of Safe Performance Curriculum as a driver education program and report results to NHTSA program manager.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: The automated records are stored at Battelle-Columbus Laboratories (BCL) on magnetic tape and disk. The manual records are kept in files in a physically secured room.

Retrievability:

Retrievability: The manual records are indexed by student project number to preclude the use of names. However, the automated records can also be retrieved by name, address, birthday and Georgia drivers license number.

Safeguards:

Safeguards: The contents of the collected data will not be available to any public source. Records are maintained in a secure area with controlled access. In addition, access to the computer system is through the use of account numbers.

Retention and disposal:

Retention and Disposal: All client data will be retained until project termination, at that time de-identified (ID number, DL number, and name removed) copies of the analysis file will be submitted to the Office of Driver and Pedestrian Programs, NHTSA, Washington, D.C., and to other research organizations specifically requesting the de-identified data, as per NHTSA approval.

System manager(s) and address:

System Manager: Department of Transportation, Chief, Program and Demonstration Management Division, National Highway Traffic Safety Administration, Room 5130, 400 7th Street SW, Washington, D.C. 20590.

Notification procedure:

Notification Procedure: Inquiries should be directed to the System Manager.

Record access procedures:

Record Access Procedure: Contact or write to the System Manager.

Contesting record procedures:

Contesting Record Procedure: Initiate requests for changes to records by writing to Systems Manager.

Record source categories:

Record Source Categories: DeKalb County, Ga., school system records, Georgia Department of Public Safety Driving Records.

DOT/NHTSA 471

System name:

System Name: National Driver Register Advisory Committee - Membership/Nominee Files, DOT/NHTSA.

System location:

System Location: Department of Transportation
National Highway Traffic Safety Administration
Executive Secretariat
400 7th Street, SW, Room 5221
Washington, DC 20590

Categories of individuals covered by the system:

Categories of Individuals: This system of records contains information regarding members, past members, and nominees for membership on a committee dealing with the National Driver Register.

Categories of records in the system:

Categories of Records: Files containing information on biographical data (Date and place of birth, education, current and past experience), political affiliation, appointment papers (oath, withholding forms), photographs, travel vouchers, compensation payment forms, and miscellaneous correspondence from and to members.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: Files are maintained on members and nominees for use in specific situations, i.e., biographical information to be used for meetings, conferences, news articles when pertinent, and when needed for recommendations for membership on committees. Files are used only by support staff members. See Prefatory Statement of General Routine Uses, except number 9.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: File folder storage.

Retrievability:

Retrievability: By individual name.

Safeguards:

Safeguards: Locked files.

Retention and disposal:

Retention and Disposal: Records are stored indefinitely.

System manager(s) and address:

System Manager: Committee Management Coordinator
Department of Transportation
National Highway Traffic Safety Administration
400 7th Street, SW, Room 5221
Washington, DC 20590

Notification procedure:

Notification Procedure: Same as 'System Manager' above.

Record access procedures:

Record Access Procedure: Same as 'System Manager' above.

Contesting record procedures:

Contesting Record Procedure: Same as 'System Manager' above.

Record source categories:

Record Source Categories: All information has been obtained from the individual upon appointment to the advisory committee, or in the case of nominees, on that individual's behalf by another person or organization.

DOT/OST 003

System name:

System Name: Allegations of Infringement of United States Patents, DOT/OST.

System location:

System Location: Office of the Secretary of Transportation,
Office of the General Counsel,
400 7th Street, SW, Room 10424,
Washington, DC, 20590.

Categories of individuals covered by the system:

Categories of Individuals: Individuals who believe that an agency of the Department of Transportation is infringing a United States patent owned by the individual.

Categories of records in the system:

Categories of Records: Copies of correspondence alleging that agencies of the Department of Transportation have infringed, or are infringing, United States patents owned by the originators of the correspondence. Copies of replies by the Department Patent Counsel to the originator of the allegation. Copies of correspondence forwarding the allegation to the particular Department agency accused for their comment; their replies to Patent Counsel. Copies of correspondence between the Department of Transportation and the Department of Justice concerning the allegations.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: Used as a record of allegations and Patent Counsel's actions thereon.

See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: File folders stored in file cabinets.

Retrievability:

Retrievability: Indexed individually by name in alphabetical sequence.

Safeguards:

Safeguards: Records are disclosed only to individuals with established legal interest or legal 'need to know.'

Retention and disposal:

Retention and Disposal: Transfer to Federal Records Center two years after close of file; destroy 25 years after close of file.

System manager(s) and address:

System Manager: Mail Address:
Patent Counsel, C-15,
U.S. Department of Transportation,
Washington, DC 20590.
Office Location:
400 7th Street, SW, Room 10424

Notification procedure:

Notification Procedure: Apply to System Manager

Record access procedures:

Record Access Procedures: Apply to System Manager

Contesting record procedures:

Contesting record procedure: Apply to System Manager

Record source categories:

Record source categories: Patent owners.

DOT/OST 004

System name:

System Name: Board for Correction of Military Records (BCMR), DOT/OST.

System location:

System Location: Department of Transportation (DOT),
Office of the Secretary (OST),
Office of the General Counsel,
400 7th Street, SW, Room 10424,
Washington, D.C. 20590

Categories of individuals covered by the system:

Categories of Individuals: Military personnel requesting the Board for Correction of Military Records to correct their military records.

Categories of records in the system:

Category of Record: Copies of actions of the General Counsel acting under delegated authority approving or disapproving BCMR cases.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: Used as a record of the General Counsel's action in individual BCMR cases.

See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: File folders stored in file cabinets (Conserv-a-File).

Retrievability:

Retrievability: Indexed individually by name in alphabetical sequence.

Safeguards:

Safeguards: Files are kept in the office of the Assistant General Counsel. Requests are referred to the Executive Secretary, BCMR.

Retention and disposal:

Retention and Disposal: Retire in 3 years; destroy in 6 years.

System manager(s) and address:

System Manager: Mail Address:
Assistant General Counsel for Environmental, Civil
Rights and General Law, C-10,
U.S. Department of Transportation
Washington, D.C. 20590
Office Location:
400 7th Street, SW, Room 10424

Notification procedure:

Notification: Contact System Manager.

Record access procedures:

Record Access Procedure: Contact System Manager.

Contesting record procedures:

Contesting Record Procedure: Same as 'Record Access Procedure'.

Record source categories:

Record source categories: Official agency records; hearings, documentary material from outside the agency.

DOT/OST 006

System name:

System Name: Confidential Statement of Employment and Financial Interests, DOT/OST.

System location:

System Location: Department of Transportation (DOT),
Office of the Secretary (OST),
Office of the General Counsel,
400 7th Street, SW, Room 10424,
Washington DC 20590.

Categories of individuals covered by the system:

Categories of Individuals: Employees of the Department of Transportation in supervisory or other positions where a conflict of interest or the appearance of a conflict of interest might occur. Also included in this category are Consultants and Experts of the Department of Transportation.

Categories of records in the system:

Categories of Records: Information on employment and financial interests and debts.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: The information to be furnished is required by Executive Order 11222 and the regulations of the Office of Personnel Management (OPM) issued thereunder and may not be disclosed except as the OPM or the agency head may determine. The purpose of the use of this information is to avoid a conflict of interest or the appearance of a conflict of interest in DOT employees.

Prefatory Statement of General Routine Uses 1, 4 and 6 apply.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: Accordion - type file folder.

Retrievability:

Retrievability: Indexed individually by name in alphabetical sequence.

Safeguards:

Safeguards: Records are stored in safe.

Retention and disposal:

Retention and Disposal: Records are kept 3 years and then destroyed.

System manager(s) and address:

System Manager: Mail Address:
Deputy General Counsel, C-2,
U.S. Department of Transportation,
Washington, D.C. 20590.
Office Location:
400 7th Street, SW, Room 10428

Notification Procedure:

Inquiries may be addressed to the Deputy General Counsel either in person or in writing. If written the individual must provide a notarized signature.

Record access procedures:

Record Access Procedure: Access to records requires the individual to contact in person or write the Deputy General Counsel.

Contesting record procedures:

Contesting Record Procedure: Contest of a record is also through the Deputy General Counsel.

Record source categories:

Record Source Categories: Statements of employment and financial interests, creditors, interests in real property are submitted by employees and consultants of the Department of Transportation. Initial requests for submission of statements are through the Office of Personnel and Training.

DOT/OST 008

System name:

Departmental Advisory Committee Files, DOT/OST.

System location:

Department of Transportation (DOT), Office of the Secretary (OST), Office of the Executive Secretary (S-10), 400 7th Street, SW, Room 10203, Washington, D.C. 20590.

Security classification:

None.

Categories of individuals covered by the system:

Present and former members of Departmental advisory committees and candidates applying for a position on an advisory committee.

Categories of records in the system:

Membership file listing name, address, occupation, committee name, and term of appointment. Biographical information on committee members and applicants.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To maintain records in accordance with the requirements of the Federal Advisory Committee Act and GSA's Interim Rule on Advisory Committee Management. To prepare required reports to GSA and to the Congress. To answer membership inquiries from Departmental elements, from the Congress, from public and private organizations and individuals. To provide a current list of qualified applicants for vacancies which occur on the advisory committees.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

All data is stored on a disk which is located inside the processor, with magnetic tape backup. The hard copies will be stored in the Executive Secretariat and will be secured at all times. Access to the records will be by means of identification number and password known only to the user and the system manager.

Retrievability:

Records will be retrievable by name or by any of the categories listed under "Categories of Records".

Safeguards:

The records are safeguarded by (1) user identification and password; (2) establishment of permission to view the file by the system or owner of the record; and (3) encryption of documents, records and data elements. All hard copies are stored in a locked storage area and are only accessible by permission of the Committee Management Coordinator.

Retention and disposal:

Hardcopies will be sent to the Archives, until such time as we receive instruction from the Archives regarding the permanent retention of discs or magnetic tapes. Discs and tapes will be destroyed. Records are retired to the Federal Records Center within five years after a committee becomes inactive. All records over five years old may be retired to the Federal Records Center.

System manager(s) and address:

Executive Secretary and DOT Committee Management Officer, Office of the Secretary (OST), Department of Transportation (DOT), 400 7th Street, SW, Room 10205, Washington, D.C. 20590.

Notification procedure:

Any individual who wishes to be notified if the system of records contains a record pertaining to him may apply in writing to the System Manager at the above address.

Record access procedures:

Any individual who wishes to review the contents of a record pertaining to him may apply in writing to the System Manager.

Contesting record procedures:

Same as "Record Access Procedures". Appeals should be directed to the Secretary of Transportation, if request for modification or deletion is denied.

Record source categories:

Information contained in the system is obtained from (1) committee sponsor; (2) individuals who apply for advisory committee appointments; and (3) persons who recommend them for appointment. Each applicant must complete a Candidate Biographical Information Request form which contains all of the data to be stored in the "Categories of Records", and the individual signs a permission statement authorizing the Department of Transportation to retain such records.

DOT/OST 010

System name:

System Name: Departmental Personnel Management Information System, DOT/OST.

System location:

System Location: Department of Transportation (DOT),
Transportation Computer Center,
400 7th Street, SW, Room 2401,
Washington, DC 20590.
Informatics, Inc.,
Six Kings Bridge Road,
Fairfield, New Jersey 07006.

Categories of individuals covered by the system:

Categories of Individuals: Federal civilian employees of the U. S. Department of Transportation.

Categories of records in the system:

Categories of Records: Personnel Records and Training Records.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: Issue automated records to the Office of Personnel Management.

Submit personnel reports, summaries and name listings to the Office of Personnel Management, Office of Management and Budget, U. S. Department of Commerce, U.S. Congress, and other government agencies.

Develop statistical summaries and name listings for use in performing personnel management functions and other manpower and budgetary functions of the Department.

See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: Magnetic Tapes and Disks.

Retrievability:

Retrievability: Social Security Number.

Safeguards:

Safeguards: Transportation Computer Center maintains both physical security and personal access by retrieve/access procedures and secured storage and operative areas.

Retention and disposal:

Retention and Disposal: The personnel records are maintained for a 3 year period while the training records will be maintained for a 10 year period. The records disposed by blending the magnetic tapes or disks.

System manager(s) and address:

Department of Transportation,
Office of the Secretary,
Personnel Systems Division (M-15)
400 7th Street, SW,
Washington, DC 20590.

Notification procedure:

Notification Procedure: The individual may address the Office of Personnel and Training (Director of Personnel and Training), in person or in writing, at the above address.

Record access procedures:

Record Access Procedure: Same as 'Notification Procedure'.

Contesting record procedures:

Contesting Record Procedure: Contest of these records will be to the Office of Personnel and Training. If resolution is not satisfactory to the individual, an appeal may be filed with the Secretary of Transportation addressed to the General Counsel as follows:

Department of Transportation,
Office of The Secretary,
Office of the General Counsel,
400 7th Street, SW, Room 10428,
Washington, DC 20590.

Record source categories:

Record Source Categories: Standard Form 50 (Notification of Personnel Action).
Standard Form 52 (Request for Personnel Action).
Standard Form 171 (Personnel Qualifications Statement).
Standard Form 1126 (Pay Change Action).
Optional Form 170 (Training) and other internal training forms.
Internal Forms (Minority Identification Record).

DOT/OST 011

System name:

System Name: Discrimination Complaint Investigative Files, DOT/OST.

System location:

System Location: Department of Transportation (DOT),
Office of the Secretary (OST),
Departmental Office of Civil Rights,
Complaints Division,
2100 Second Street, SW, Rm 5300,
Washington, DC 20590.

Categories of individuals covered by the system:

Categories of Individuals: Complaints of discrimination by employees of, and applicants to, the Department. Complaints of discrimination by individuals affected by departmental programs for which the Department has compliance responsibility.

Categories of records in the system:

Categories of Records: Formal complaint.
Personnel record information.
Racial-ethnic data.
Investigative reports.
Affidavits.
Departmental decision.
Hearing transcript, if hearing is held.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: Internal Complaints:
- Investigation and adjudication of complaint by the Departmental Office of Civil Rights.
- Referral to the General Counsel and, upon request, to the appropriate U.S. Attorney's Office, if complainant files suit in court.
- Referral to the Civil Service Commission (CSC) if complainant requests a hearing or appeals a Departmental decision.
- Referral to the CSC for investigation of complaint.
- Information copies to the Civil Rights Office of the employee's administration and to the employee.

External Complaints:
- Referral to Office of Federal Contract Compliance (OFCC) of discrimination complaints relating to employment.
- Referral to operating administration with compliance responsibility of class-action complaints, for purpose of a compliance review.
- Investigation by Departmental Office of Civil Rights personnel of Title VI complaints.
- Referral, upon request, to Department of Justice, which has overall program responsibility for Title VI enforcement.
- Referral to General Counsel when conciliation fails and sanction action is anticipated.

See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: File folders.

Retrievability:

Retrievability: Alphabetically within operating administration.

Safeguards:

Safeguards: Maintained in locked file cabinets in a locked room.

Retention and disposal:

Retention and Disposal: Maintained three years, then retired to NARA.

System manager(s) and address:

System Manager: Director of Civil Rights,
Department of Transportation,
Office of the Secretary,
Director of Civil Rights,
400 7th Street, SW,
Washington, DC 20590.

Notification procedure:

Notification Procedure: Inquiries should be directed to the System Manager.

Record access procedures:

Record Access Procedure: Contact System Manager for information on procedures for gaining access to records.

Contesting record procedures:

Contesting Record Procedure: Contact System Manager for information on procedures for contesting records. Appeals should be directed to the Secretary of Transportation, if request for modification or deletion is denied.

Record source categories:

Record Source Categories: Information provided by the complainant.

Personnel files and employment records.
Interviews with witnesses.

DOT/OST 012

System name:

System Name: Files Relating to Personnel Hearings, DOT/OST.

System location:

System Location: Department of Transportation (DOT),
Office of the Secretary (OST),
Office of the General Counsel,
400 7th Street, SW, Room 10424,
Washington, DC 20590.

Categories of individuals covered by the system:

Category of Individual: Certain employees of the Office of the Secretary who have availed themselves of the opportunity for a hearing in certain personnel matters.

Categories of records in the system:

Categories of Records: A record of the legal services performed and reference material for future cases.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: Used by agency management in the preparation and conduct of administrative hearings.

See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: File folders stored in file cabinets (Conserv-a-File).

Retrievability:

Retrievability: Indexed individually by name in alphabetical sequence.

Safeguards:

Safeguards: Files are kept in the office of the Assistant General Counsel.

Retention and disposal:

Retention and Disposal: Retire in 3 years; destroy in 6 years.

System manager(s) and address:

System Manager: Mail Address:
Assistant General Counsel for Environmental, Civil Rights and General Law, C-10,
U.S. Department of Transportation,
Washington, D.C. 20590.
Office Location:
400 7th Street, SW, Room 10424

Notification procedure:

Notification Procedure: Apply to System Manager.

Record access procedures:

Record Acess Procedures: Apply to System Manager.

Contesting record procedures:

Contesting Record Procedure: Same as 'Record Access Procedure'.

Record source categories:

Record Source Categories: Official agency records; hearings; documentary material from outside the agency.

DOT/OST 013

System name:

Employee Management Convenience Files—Office of Inspector General.

System location:

Office of Inspector General, DOT/OST, 400 Seventh Street, SW., Washington, D.C. 20590
Office of Inspector General, DOT/OST, Kendall Square, 55 Broadway, Room 1055, Cambridge, MA 02142
Office of Inspector General, DOT/OST, 26 Federal Plaza, Room 14-130, New York, NY 10278
Office of Inspector General, DOT/OST, 31 Hopkins Plaza, Room 1628, Baltimore, MD 21201
Office of Inspector General, DOT/OST, Suite 376, 1718 Peachtree Road, NW., Atlanta, GA 30309
Office of Inspector General, DOT/OST, 165 N. Canal Street, Room 1400B, Chicago, IL 60606
Office of Inspector General, DOT/OST, Federal Office Building, Room 9A27, 819 Taylor Street, Fort Worth, TX 76102
Office of Inspector General, DOT/OST, 601 East 12th Street, Room 113, Kansas City, MO 64106
Office of Inspector General, DOT/OST, 211 Main Street, Suite 1022, San Francisco, CA 94105
Office of Inspector General, DOT/OST, Federal Office Building, Room 644, 915 Second Avenue, Seattle, WA 98174.

Categories of individuals covered by the system:

Present employees.

Categories of records in the system:

Performance Evaluation Records, Position Descriptions, SF-171s, and Employee Relations Documents.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Employment, pay, performance evaluations, and employee conduct.

Used by supervisor and administrative personnel in preparation of personnel documents. See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Safe and file cabinets.

Retrievability:

By name.

Safeguards:

Locked safe and files.

Retention and disposal:

Retained for current employment. Destroyed by shredding.

System manager(s) and address:

Assistant Inspector General for Policy, Planning, and Resources (Jp-1), Office of Inspector General, Department of Transportation, 400 Seventh Street, SW, Room 9210, Washington, D.C. 20590.

Notification procedure:

Same as "System Manager."

Record access procedures:

Current employees may have access to contents through the System Manager.

Contesting record procedures:

Current employees may contest contents through the System Manager.

Record source categories:

Subject, supervisor, responsible official, personnel and payroll offices.

DOT/OST 014

System name:

System Name: Employment Applications Files, DOT/OST.

System location:

System Location: The following Secretarial Offices located at:
400 7th Street, SW,
Washington, DC 20590:
Office of the Deputy Secretary, S-2.
Special Assistants to the Secretary, S-3 through S-9.
Office ot the Executive Secretary, S-10.
Contract Appeals Board, S-20.
Office of Civil Rights, S-30.

Categories of individuals covered by the system:

Categories of Individuals: Prospective employees.

Categories of records in the system:

Categories of Records: Resumes, employee applications, samples of work and letters of recommendation and referral. (Note: Not all items are held in all offices.)

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: Consideration for in-house employment.
Where appropriate, referral to other offices and agencies for consideration of employment.
See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: File folders.

Retrievability:

Retrievability: Filed alphabetically by name, except in the Office of Civil Rights of the Department, where they are filed alphabetically by name within occupational series.

Safeguards:

Safeguards: Files are accessible only with the permission of each System Manager.

Retention and disposal:

Retention and Disposal: Files are retained as long as position(s) for which individual(s) is (are) being considered remain(s) viable.

System manager(s) and address:

System Manager: Senior official of each office listed.

Notification procedure:

Notification Procedure: Inquiries should be directed to the appropriate System Manager.

Record access procedures:

Record Access Procedure: Contact the appropriate System Manager for information on procedures for gaining access to records.

Contesting record procedures:

Contesting Record Procedure: Contact the appropriate System Manager for information on procedures for contesting records. Appeals should be directed to the Secretary of Transportation, if request for modification or deletion is denied.

Record source categories:

Record Source Categories: Applicant.
Referring individual.
Other agencies, including the Civil Service Commission.
DOT officials.
Office of Personnel Operations.
(Note: Not all sources are used by all offices.)

DOT/OST 016

System name:

System Name: General Investigations Record System, DOT/OST.

System location:

System Location: Department of Transportation (DOT),
Office of the Secretary (OST),
Security Staff, M-441
400 7th Street, SW,
Washington, DC 20590.

Categories of individuals covered by the system:

Categories of Individuals: DOT employees.

Categories of records in the system:

Categories of Records: Incident reports covering occurrences relating to the security of DOT personnel and headquarters buildings.

Authority for maintenance of the system:

Authority for Maintenance: The information contained in the incident reports is collected and maintained in accordance with the mission and functions of the Office of Investigations and Security for the protection of DOT employees and headquarters buildings.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: These records may be disseminated to DOT Officials in the administration of their responsibilities.
See Prefatory Statement of General Routine Uses, 5 and 9 do not apply.

Disclosure to consumer reporting agencies:

Disclosures pursuant to 5 USC 552a(b)(12): Disclosures may be made from this systems to 'consumer reporting agencies' (collecting on behalf of the U.S. Govt.) as defined in the Fair Credit Reporting Act (15 USC 1681a(f)) or the Federal Claims Collection Act of 1982 (31 USC 3701(a)(3)).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: Paper records in case folders in manual filing system.

Retrievability:

Retrievability: By name or incident title.

Safeguards:

Safeguards: Files are maintained in a locked room with appropriate access controls. Access to the files is restricted to authorized personnel on a 'need-to-know' basis. with appropriate access controls.

Retention and disposal:

Retention and Disposal: Material held indefinitely.

System manager(s) and address:

System Manager: Chief, Security Staff, M-441
Department of Transportation,
Office of the Secretary,
400 7th Street, SW,
Washington, DC 20590.

Notification procedure:

Notification Procedure: Same as 'System Manager'.

Record access procedures:

Record Access Procedure: Same as 'System Manager'.

Contesting record procedures:

Contesting Record Procedure: Same as 'Record Access Procedure'.

Record source categories:

Record Source Categories: These records contain information obtained from interviews, review of records and other authorized techniques.

Systems exempted from certain provisions of the act:

Systems Exempted from Certain Provisions of the Act: Investigative data compiled for law enforcement purposes may be exempt from the access provisions pursuant to 5 USC 552a (j)(2), (k)(1) or (2).

DOT/OST 018

System name:

System Name: Identification Media Record Systems, DOT/OST.

System location:

System Location: Department of Transportation (DOT),
Office of the Secretary (OST),
Security Staff, M-441
400 7th Street, SW,
Washington, DC 20590.
Commandant (GOIS),
U.S. Coast Guard Headquarters,
Washington, D.C. 20590; and each District Office.
Federal Aviation Administration,
Office of Civil Aviation Security
800 Independence Avenue, SW,
Washington, D.C. 20591; and FAA Regional and Center Civil Aviation Security Divisions.
Federal Highway Administration,
Operations and Services Division,
400 7th Street, SW,
Washington, DC 20590; and all FHWA Regional Offices.

Categories of individuals covered by the system:

Categories of Individuals: Present employees, and contractor employees, in the Office of the Secretary, U.S. Coast Guard, Federal Aviation Administration, Federal Highway Administration, Federal Railroad Administration, National Highway Traffic Safety Administration, Urban Mass Transportation Administration, St. Lawrence Seaway Development Corporation, Research and Special Programs Administration, and Maritime Administration.

Categories of records in the system:

Categories of Records: Applications, photographs, receipts for DOT identification cards, and official credentials; temporary building passes; and application for other passes needed for official duties.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: Records are maintained for control and accountability of DOT identification cards, credentials, and issued to DOT civilian employees, contractor employees for identification purposes and admittance to the DOT facilities or for other official duties.

See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: Alphabetically filed card forms in manual filing system.

Retrievability:

Retrievability: By name.

Safeguards:

Safeguards: Application cards stored in locked drawers and/or in a locked room with limited access.

Retention and disposal:

Retention and Disposal: Applications, including photographs and identification media, are destroyed upon termination of employment.

System manager(s) and address:

System Manager: Chief, Security Staff, M-441
Department of Transportation,
Office of the Secretary,
400 7th Street, SW,
Washington, DC 20590.
For USCG: Commandant (GOIS),
U.S. Coast Guard Headquarters,
Washington, DC 20590.
For FAA: Director, Civil Aviation Security
Federal Aviation Administration,
800 Independence Avenue, SW,
Washington, DC 20591.
For FHWA: Chief, Operations and Services Division,
Federal Highway Administration,
400 7th Street, SW,
Washington, DC 20590.
All FHWA Regional Offices

Notification procedure:

Notification Procedure: Same as 'System Manager'.

Record access procedures:

Record Access Procedure: Same as 'System Manager'.

Contesting record procedures:

Contesting Record Procedure: Same as 'System Manager'.

Record source categories:

Record Source Categories: Individual on whom the record is maintained.

DOT/OST 019

System name:

System Name: Individual Personal Interests in Intellectual Property, DOT/OST.

System location:

System Location: Department of Transportation (DOT),
Office of the Secretary (OST),
Office of the General Counsel,
400 7th Street, SW, Room 10424,
Washington, DC 20590.

Categories of individuals covered by the system:

Categories of Individuals: Inventors employed by or having contractual relationships with the Department of Transportation and other Government agencies.

Categories of records in the system:

Categories of Records: Invention disclosures, Government Patents Branch cases, patent applications, issued patents, and license agreement files.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: Used by Patent Counsel and his staff as a record of determination of rights in inventions, determination of novelty and patentability, determination of patent coverage, and allocation of rights in issued patents.

See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Storage: File folders stored in file cabinets.

Retrievability:

Retrievability: Indexed individually by name in alphabetical sequence.

Safeguards:

Safeguards: Records are disclosed only to individuals who have legal interest in the records or legal 'need to know.'

Retention and disposal:

Retention and Disposal: Transfer to Federal Records Center two years after close of file; destroy 25 years after close of file.

System manager(s) and address:

System Manager: Mail Address:
Patent Counsel, C-15,
U.S. Department of Transportation,
Washington, D.C. 20590.
Office Location:
400 7th Street, SW, Room 10424.

Notification procedure:

Notification Procedure: Apply to System Manager.

Record access procedures:

Record Access Procedure: Apply to System Manager.

Contesting record procedures:

Contesting Record Procedure: Same as 'Record Access Procedures'.

Record source categories:

Record Source Categories: Individual inventors, technical evaluators, and United States Patent and Trademark Office.

DOT/OST 024

System name:

System Name: Parking Permit Application File, and Vanpooling Application Files, DOT/OST.

System location:

System Location: Department of Transportation (DOT),
Office of the Secretary (OST),
Parking Management Office, M-444.3,
400 7th Street, SW, Room 2322,
Washington, DC 20590.
Federal Highway Administration,
Ridesharing Branch, HHP-33,
400 7th Street, SW, Room 3311
Washington, DC 20590.

Categories of individuals covered by the system:

Categories of Individuals: DOT parking permit holders (Washington, DC), DOT carpool members and DOT van pooling applicants.

Categories of records in the system:

Categories of Records: Parking permit application forms and van pool application forms.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: Determine criteria for permit issuance, record change data, record garage violations and periodic review and revalidation. Used by parking management office personnel only.

See Prefatory Statement of General Routine Uses.

Vanpooling applicants are matched up as to area and work hours and records of van pools are maintained.

Disclosure to consumer reporting agencies:

Disclosures pursuant to 5 USC 552a(b)(12): Disclosures may be made from this systems to 'consumer reporting agencies' (collecting on behalf of the U.S. Govt.) as defined in the Fair Credit Reporting Act (15 USC 1681a(f)) or the Federal Claims Collection Act of 1982 (31 USC 3701(a)(3)).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Storage: Stored in lockable visible edge file in a security locked workroom.

Retrievability:

Retrievability: Indexed sequentially by permit number; vanpool applications are alphabetical by name and organized for retrieval by 'home-cell' numbers for areas.

Safeguards:

Safeguards: Only Parking Management Office personnel have access to these records; for van pools only Public Transportation Management Office personnel have access to applications.

Retention and disposal:

Retention and Disposal: Record cards are retained for 3 years locally, sent to the Federal Records Center for 2 more years, and then destroyed.

System manager(s) and address:

System Manager: For Parking Permit File:
Chief, Transportation Branch, M-444,
Department of Transportation,
Office of the Secretary,
Office of Administration Operations,
400 7th Street, SW, Room 2318,
Washington, DC 20590.
For Van Pooling Application File:
Chief, Ride Sharing Branch, HHP-33,
Federal Highway Administration.
400 7th Street, SW, Room 3311
Washington, DC 20590.

Notification procedure:

Notification Procedure: Individual may review only his own application card upon presentation of valid DOT ID card at the addresses given under 'System Location'.

Record access procedures:

Record Access Procedure: Same as Notification Procedure.

Contesting record procedures:

Contesting Record Procedure: No contest - individual can change recorded data at will.

Record Source Categories:

Submitted by individual.

DOT/OST 025

System name:

System Name: Parking Permit Management System, DOT/OST.

System location:

System Location: Department of Transportation (DOT),
Office of the Secretary (OST),
Parking Management Office, M-444.3,
400 7th Street, SW, Room 2322,
Washington, DC 20590.

Categories of individuals covered by the system:

Categories of Individuals: DOT parking permit holders (Washington Headquarters) and DOT car pool members (Washington Headquarters).

Categories of records in the system:

Categories of Records: Status record (of permits) and member record (of carpools).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Records used for ADP report and listing production.

Listings are used by the parking vendor for billings and Parking Management Office for system administration.

Additionally, a carpool location listing is produced for use in forming and enlarging carpools. This is for use by the general public.

See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: Parking Management office personnel enter data password control.

Retrievability:

Retrievability: Indexed sequentially by permit number

Safeguards:

Safeguards: Only Parking Mangement Office personnel and the parking vendor have access to general listings. The carpool location listing is for use by the general public, but is secured in the parking office.

Retention and disposal:

Retention and Disposal: Data is deleted and not retained on ADP once individual leaves system. Record copies of monthly reports and listings are retained locally for 3 years, forwarded to the Federal Records Center for 2 more years and then destroyed.

System manager(s) and address:

System Manager: Chief Transportation Branch, M-444, Department of Transportation,
Office of the Secretary,
400 7th Street, SW, Room 2318,
Washington, DC 20590.

Notification procedure:

Notification Procedure: Individual may review data upon presentation of valid DOT ID card.

Record access procedures:

Record Access Procedure: Same as Notification Procedure.

Contesting record procedures:

Contesting Record Procedure: No contest - individual can change data at will.

Record source categories:

Record Source Categories: Only source is from parking permit application.

DOT/OST 026

System name:

System Name: Payroll Management System, DOT/OST.

System location:

System Location: Department of Transportation (DOT),
Office of the Secretary (OST),
Accounting Operations Division, M-45,
400 7th Street SW, Room 2228,
Washington, DC 20590.

Categories of individuals covered by the system:

Categories of Individuals: Office of the Secretary.

Categories of records in the system:

Categories of Records: Gross to net payroll.
Payroll master.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: Support for payment of payroll.
See Prefatory Statement of General Routine Uses.

Disclosure to consumer reporting agencies:

Disclosures pursuant to 5 USC 552a(b)(12): Disclosures may be made from this systems to 'consumer reporting agencies' (collecting on behalf of the U.S. Govt.) as defined in the Fair Credit Reporting Act (15 USC 1681a(f)) or the Federal Claims Collection Act of 1982 (31 USC 3701(a)(3)).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Storage: ADP listing.

Retrievability:

Retrievability: Alpha-numeric by employee.

Safeguards:

Safeguards: People given access are screened by responsible management personnel.

Retention and disposal:

Retention and disposal: Federal records retention schedule.
Retained for 1 year - destroyed.

System manager(s) and address:

System Manager: Chief, Accounting Operations Division, M-45, Department of Transportation,
Office of the Secretary,
Accounting Operations Division, M-45,
400 7th Street, SW, Room 2227,
Washington, DC 20590.

Notification procedure:

Notification Procedure: Department of Transportation,
Office of the Secretary,
Accounting Operations Division, M-45,
400 7th Street, SW, Room 2227,
Washington, DC 20590.

Record access procedures:

Record Access Procedure: Same as 'Notification Procedure'.

Contesting record procedures:

Contesting Record Procedure: Same address as 'Notification Procedure'.

Record source categories:

Record Source Categories: Time and attendance records.
Personnel actions (SF So).

DOT/OST 028

System name:

System Name: Personnel Convenience Files, DOT/OST.

System location:

System Location: The following Secretarial Offices located at the
Department of Transportation (DOT),
Office of the Secretary (OST),
400 7th Street, SW,
Washington, DC 20590:
Immediate Office of the Secretary, S-1.
Office of the Deputy Secretary, S-2.
Special Assistants to the Secretary, S-3 through S-9.
Executive Secretary, S-10.
Contract Appeals Board, S-20.
Departmental Office of Civil Rights (except for the Complaints Division), S-30.
White House Fellow, S-9.
Additionally:
Departmental Office of Civil Rights,
Complaints Division, S-35,
2100 2nd Street, SW,
Washington, DC 20590.

Categories of individuals covered by the system:

Categories of Individuals: Employees, past and present.

Categories of records in the system:

Categories of Records: The following documents are kept in all offices:
Copies of orders, vouchers, and related documentation for local and non-local travel. Copies of some of the following documents are kept in all offices: Except the Immediate Office of the Secretary and the Offices of the Deputy Secretary, Deputy Under Secretary, the White House Fellow and Special Assistants to the Secretary, for whom such documents are maintained by the Office of the Executive Secretary:
Standard Form 52, Request for Personnel Action.
Standard Form 7-B, Employee Record
Position Descriptions.
Performance evaluations.
Training records.
Payroll and leave records.
Commendations and awards.
Savings Bond and CFC campaign records.
Security classification documents.
Monthly Personnel Roster.
Savings Bond and CFC campaign records are maintained for reference in connection with future campaigns.
All other records are maintained for effective budgetary, manpower, and employee management and also for the use of the individual (not all items and not in all offices).
See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Storage: Hard copy in file folders and binders.

Retrievability:

Retrievability: By name.

Safeguards:

Safeguards: Data available only by request of the senior official, his deputy, or secretaries to them, of the office or division in which the information is maintained. Provided only on a need-to-know basis.

Retention and disposal:

Retention and Disposal: Personnel records are retained until employee leaves.
Payroll records are retained three years.
Travel records normally retained at least one year.
Records are disposed of following minimal period of retention on a space-needed basis.

System manager(s) and address:

System Manager: Senior official of each office listed.

Notification procedure:

Notification Procedure: Inquiries should be directed to the employee's supervisor.

Record access procedures:

Record Access Procedure: Contact supervisor for information on procedures for gaining access to records.

Contesting record procedures:

Contesting Record Procedure: Contact supervisor for information on procedures for contesting records.
Appeals should be directed to the Secretary of Transportation, if request for modification or deletion is denied by the senior official of the employee's office.
Further appeal, if necessary, should be to the Secretary of Transportation.

Record source categories:

Record Source Categories: Information provided by the employee.
Informational copies provided by Personnel Operations Division.
Material generated within the employing office.

DOT/OST 030

System name:

System Name: Personnel Management Files, DOT/OST.

System location:

System Location: Department of Transportation (DOT),
Office of the Secretary (OST),
Office of the Assistant Secretary for Policy, and International Affairs,
400 7th Street, SW,
Washington, DC 20590

Categories of individuals covered by the system:

Categories of Individuals: Current employees.
Prospective employees.

Prior employees - three years (payroll/time cards only).

Categories of records in the system:

Categories of Records: Basic recruitment, employment, status and pay records.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: Employment, pay and performance decisions.
Use by subject, supervisor, responsible official; administrative personnel in preparation; personnel and payroll offices in processing.
See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: Copies of basic documents.

Retrievability:

Retrievability: By name.

Safeguards:

Safeguards: Locked files with personnel screening for access.

Retention and disposal:

Retention and Disposal: Retained only for control purposes, pending official action by Personnel or Payroll offices or management officials.
Pay records are retained for 3 years, then destroyed by burning or shredding.

System manager(s) and address:

System Manager: Assistant Secretary for Policy, and International Affairs, and the Directors of the subordinate offices for records maintained in their respective offices.
All of which are located at the:
Department of Transportation,
Office of the Secretary,
400 7th Street, SW,
Washington, DC 20590.

Notification procedure:

Notification Procedure: Inquiries: Oral request by current employees to the System Manager. Written or direct inquiry by prior employees or applicants to:
Department of Transportation,
Office of the Secretary,
Director Management Staff, P-5,
400 7th Street, SW,
Washington, DC 20590.
Must provide notarized signature or social security number.

Record access procedures:

Record Access Procedure: Current employees may have access to contents through the System Manager.
For all other inquiries - Office Director, P-5 at the address under Notification Procedure.

Contesting record procedures:

Contesting Record Procedure: Present employees may request changes through the System Manager, as above. If request denied, may refer to Review Officer, P-5, then to OST Review Officer. For all other inquiries - Office Director, P-5.

Record source categories:

Record Source Categories: Subject, supervisor, responsible official, personnel and payroll offices.

DOT/OST 032

System name:

System Name: Management Operating Record System, DOT/OST.

System location:

System Location: Department of Transportation (DOT),
Office of the Secretary (OST),
Security Staff, M-441
400 7th Street,SW,
Washington, DC 20590.

Categories of individuals covered by the system:

Categories of Individuals: Current employees of the Security Staff, OST, DOT.

Categories of records in the system:

Categories of Records: This system of records contains current employee Time and Attendance Cards, Travel Orders and Vouchers and Position Descriptions.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: This system of records is maintained for internal administrative management and operating purposes by the M-441 Chief.
Time and Attendance Cards are maintained for M-441 employees pay purposes and are forwarded to the Payroll Office.
Travel Orders are maintained for M-441 employees authorized to travel on DOT business and are forwarded to Travel Office and the Accounting Office to arrange necessary transportation and payment of expenses.
Travel Vouchers are maintained on M-441 employees to provide an ongoing tabulation of the Office's travel expenses.
Position Descriptions are maintained for positions within M-441 and are utilized internally by the Director and Division Chiefs for reference and to assure effective employee utilization.
See Prefatory Statement of General Routine Uses.

Disclosure to consumer reporting agencies:

Disclosures pursuant to 5 USC 552a(b)(12): Disclosures may be made from this systems to 'consumer reporting agencies' (collecting on behalf of the U.S. Govt.) as defined in the Fair Credit Reporting Act (15 USC 1681a(f)) or the Federal Claims Collection Act of 1982 (31 USC 3701(a)(3)).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: Standard forms in individual folders in manual filing system.

Retrievability:

Retrievability: By employee name.

Safeguards:

Safeguards: This system of records is stored in a locked room with limited access.

Retention and disposal:

Retention and Disposal: Records are maintained while an individual is an employee of the Security Staff and are destroyed upon transfer or termination.

System manager(s) and address:

System Manager: Chief, Security Staff, M-441
Department of Transportation,
400 7th Street, SW,
Washington, DC 20590.

Notification procedure:

Notification Procedure: Same as 'System Manager'.

Record access procedures:

Record Access Procedure: Same as 'System Manager'.

Contesting record procedures:

Contesting Record Procedure: Same as 'System Manager'.

Record source categories:

Record Source Categories: Employee and office generated statements and forms.

DOT/OST 034

System name:

System Name: Personnel Records, DOT/OST.

System location:

System Location: Department of Transportation (DOT),
Office of the Secretary (OST),
Office of the General Counsel,
400 7th Street, SW, Room 10428,
Washington, DC 20590.

Categories of individuals covered by the system:

Categories of Individuals: Attorney and clerical employees of the Office of the General Counsel.

Categories of records in the system:

Categories of Records: Standard Form 52.
Within Grade Increases.
Travel Authority and Vouchers.
Training Records.

Payroll and Leave Records.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: For the individual's use.
Schedule training.
Statistics to recommend personnel actions.
Administrative reference material.
Budgetary information material.
Technical information material.
Work Territory assignments.
See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: File cards in a locked safe.

Retrievability:

Retrievability: Individual names filed alphabetically.

Safeguards:

Safeguards: Physical security consists of filing records in a locked safe.

Retention and disposal:

Retention and Disposal: Personnel records retained in active files duration of appointment, then destroyed.

System manager(s) and address:

System Manager: Mail Address:
Deputy General Counsel, C-2,
U.S. Department of Transportation,
Washington, D.C. 20590.
Office Location:
400 7th Street, SW, Room 10428.

Notification procedure:

Notification Procedure: Contact System Manager.

Record access procedures:

Record Access Procedure: Contact System Manager.

Contesting record procedures:

Contesting Record Procedure: Contact System Manager.

Record source categories:

Record Source Categories: Informational copies provided by the Office of Personnel & Training.

DOT/OST 035

System name:

System Name: Personnel Security Record System, DOT/OST.

System location:

System Location: Department of Transportation (DOT),
Office of the Secretary (OST),
Security Staff, M-441
400 7th Street, SW,
Washington, DC 20590.

Categories of individuals covered by the system:

Categories of Individuals: DOT applicants, employees, former employees; candidates and designees to the DOT unit of the National Defense Executive Reserve, and detailees to DOT from other Federal agencies.

Categories of records in the system:

Categories of Records: Records of personnel security processing, personal data on investigative and employment forms completed by the individual, reports of investigations, records of security and suitability determinations, records of access authorizations granted, documentation of security briefings/debriefings received, record of security violations by the individual.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: Used by Departmental personnel security officers for making security determinations and granting access authorizations, by Departmental personnel management officials for making suitability determinations, by representatives of other Federal agencies with which the individual is seeking employment, and by Federal agencies conducting official inquiries to the extent that the information is relevant and necessary to the requesting agency's inquiry, and by Departmental officials, to the extent necessary, to identify the individual to sources from whom information is requested for any of the foregoing purposes to inform the source of the nature and purpose of the request and to indicate the type of information requested.

See Prefatory Statement of General Routine Uses.

Disclosure to consumer reporting agencies:

Disclosures pursuant to 5 USC 552a(b)(12): Disclosures may be made from this systems to 'consumer reporting agencies' (collecting on behalf of the U.S. Govt.) as defined in the Fair Credit Reporting Act (15 USC 1681a(f)) or the Federal Claims Collection Act of 1982 (31 USC 3701(a)(3)).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: Completed forms and typed pages in individual folders in a manual filing system, and on a manual system control cards.

Retrievability:

Retrievability: By name.

Safeguards:

Safeguards: Stored in locked room with proprietary lock or in approved security safe. Access limited to authorized staff members

Retention and disposal:

Retention and Disposal: Retained during employment in the Department, retained in accordance with GSA Records Schedule #18 after employment is terminated, authorized destruction done by secure means used for classified materials.

System manager(s) and address:

System Manager: Chief, Security Staff, M-441
Department of Transportation,
Office of the Secretary,
400 7th Street, SW,
Washington, DC 20590.

Notification procedure:

Notification Procedure: Same as System Manager.

Record access procedures:

Record Access Procedure: Same as System Manager. However, information compiled solely for the purpose of determining suitability, eligibility, or qualification for Federal civilian employment or access to classified information may be exempted from the access provisions pursuant to 5 USC 552a(k)(5).

Contesting record procedures:

Contesting Record Procedure: Same as 'Record Access Procedure'.

Record source categories:

Record Source Categories: Investigative sources contacted in full field, National Agency Check and Written Inquiry and similar investigations; investigative reports reviewed at other Government agencies; personal history statements, employment applications and other data provided by the individual and/or other agencies.

Systems exempted from certain provisions of the act:

Exemptions: Information compiled solely for the purpose of determining suitability, eligibility, or qualification for federal civilian employment or access to classified information may be exempted from the access provisions pursuant to 5 USC 552a(k)(1) and/or(5).

DOT/OST 037

System name:

System Name: Records of Confirmation Proceeding Requirements for Proposed Executive Appointments to the Department of Transportation, DOT/OST.

System location:

System Location: Department of Transportation (DOT),
Office of the Secretary (OST),
Office of the Assistant General Counsel for Environmental, Civil
Rights and General Law,
400 7th Street, SW, Room 10424,
Washington, DC 20590.

Categories of individuals covered by the system:

Categories of Individuals: Individuals nominated for top executive positions of the Department of Transportation.

Categories of records in the system:

Categories of Records: Financial data and biographical data.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: Data submitted to the General Counsel as reviewing official by subject individual for use by the Senate Commerce Committee to determine if there would be a conflict of interest, or the appearance of a conflict of interest, in subject's appointment to the Department of Transportation.

See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: Legal sized documents located in locked safe.

Retrievability:

Retrievability: Individual names filed alphabetically.

Safeguards:

Safeguards: Physical security consists of filing records in safe; data released to Senate Commerce Committee and authorized officials only of the Department.

Retention and disposal:

Retention and Disposal: Records are retained for 3 years then destroyed.

System manager(s) and address:

System Manager: Mail Address:
Deputy General Counsel, C-2,
U.S. Department of Transportation,
Washington, DC 20590.
Office Location:
400 7th Street, SW, Room 10428.

Notification procedure:

Notification Procedure: Inquiries may be addressed to the Deputy General Counsel at the address above, either in person or in writing. If written the individual must provide a notarized signature.

Record access procedures:

Record Access Procedure: Access to records requires the individual to contact in person or write the Deputy General Counsel.

Contesting record procedures:

Contesting Record Procedure: Contest of a record is also through the Deputy General Counsel.

Record source categories:

Record Source Categories: Documents are provided by subject individual.

DOT/OST 041

System name:

System Name: Secretariat Information Retrieval System (SIRS) Secretary's Automated Management Information System (SAMIS), DOT/OST. SAMIS will totally replace SIRS in 1984.

System location:

System Location: Department of Transportation (DOT),
Office of the Secretary (OST),
Office of the Executive Secretary,
400 7th Street, SW,
Washington, DC 20590.

Categories of individuals covered by the system:

Categories of Individuals: Individuals who write, or are referred in writing by a second party, to the Secretary, Deputy Secretary, Deputy Under Secretary, and their immediate offices.

Individuals who are the subject of an action requiring approval or action by one of the forenamed, such as appeal actions, training, awards, foreign travel, promotions, selections, grievances, and discipline.

Categories of records in the system:

Categories of Records: Correspondence submitted by, or on behalf of, an individual, including resumes, letters of reference, etc.

Responses to such correspondence.

Staff recommendations on actions requiring approval or action by one of the forenamed.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: Referral to the appropriate action office within or outside the Department for preparation of a response.

Referral to the appropriate agency for actions involving matters of law or regulation beyond the responsibility of the Department, such as the Civil Service Commission for employee appeals, the Department of Justice in matters of law enforcement, etc.

See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: Computer microdisc and - selectively - on microfilm for all records since 1/1/74.

In hard copy for all records prior to 1/1/74.

Retrievability:

Retrievability: Indexed by name of correspondent, referring individual, and subject category (e.g., 'employment' for applicants) from 1/1/74 on.

Indexed by name of correspondent prior to 1/1/74.

Safeguards:

Safeguards: Computer microfilm records, and remote reader terminals, which permit random access to the system records, are locked after office hours.

During office hours computer is accessible only through terminals operated by, and under the surveillance of, authorized employees of the Executive Secretary.

Retention and disposal:

Retention and Disposal: Hard-copy records for 1967-1969 and duplicate microfilms for 1974-1979 are in the custody of National Archives and Records Administration (NARA).

Microfilm Records from 1980 and following are retained in the Departmental headquarters building.

Records are retired to NARA on a space-needed basis.

System manager(s) and address:

System Manager: The Executive Secretary at the address above.

Notification procedure:

Notification Procedure: Inquiries should be directed to the System Manager. Helpful information, in addition to the individual's name, includes date(s), subject matter, and addressee(s) of the incoming correspondence, and date(s) and author(s) of the response(s).

Record access procedures:

Record Access Procedure: Contact System Manager for information on procedures for gaining access to records.

Contesting record procedures:

Contesting Record Procedure: Contact System Manager for information on procedures for contesting records. Appeals should be directed to the Secretary of Transportation, if request for modification or deletion is denied.

Record source categories:

Record Source Categories: Correspondence from individual, his representative or sponsor.

Responses to incoming correspondence.

Related material provided for background as appropriate.

DOT/OST 043

System name:

System Name: Telephone Directory and Locator System, DOT/OST.

System location:

System Location: Opportunity Systems, Inc. (OSI),
1406 'L' St., NW
Washington, DC 20005.

Categories of individuals covered by the system:

Categories of Individuals: Department of Transportation (DOT) headquarters employees.

Categories of records in the system:

Categories of Records: Alphabetic Employee Master Records and GSA Metrocentrex Locator Records.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: Departmental Alphabetic Directory production,
DOT Mail Room,
DOT Locator Service, and
GSA Metrocentrex Locator Service.
Used by DOT Telephone Directory Representatives, DOT Mail room.

See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: Magnetic tape storage via batch processing. Source data returned to DOT.

Retrievability:

Retrievability: Can retrieve on social security number or on name.

Safeguards:

Safeguards: Only DOT & OSI personnel have access to tapes.

Retention and disposal:

Retention and Disposal: Tapes are retained through three (3) cycles, grandfather, father, son, and then scratched. Source materials are retained until the next update is completed.

System manager(s) and address:

System Manager: Chief, Publishing and Graphics Division, M-48,
Department of Transportation,
Office of the Secretary,
Office of Administrative Services,
400 7th Street, SW, Room 2317,
Washington, DC 20590.

Notification procedure:

Notification Procedures: Contact Publishing and Graphics Division at the address above.

Record access procedures:

Record Access Procedure: Contact Publishing & Graphics Division, M-48 at the address above.

Individual may review own data upon presentation of valid DOT ID card.

Contesting record procedures:

Contesting Record Procedure: Individual may change own data at any time.

Record source categories:

Record Source Categories: DOT F 1700.1 - DOT Form prepared for each employee.

DOT/OST 044

System name:

System Name: Travel and Transportation Management File, DOT/OST.

System location:

System Location: Department of Transportation (DOT),
Office of the Secretary (OST),
Accounting Operations Division, M-45,
400 7th Street, SW, Room 2223,
Washington, DC 20590.

Categories of individuals covered by the system:

Categories of Individuals: All travelers visits using OST travel funds.

Categories of records in the system:

Categories of Records: Travel Vouchers.
Travel Authorizations.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: Subsidiary Accounting Records.
Records used by:
Accounting Operations Division employees.
See Prefatory Statement of General Routine Uses.

Disclosure to consumer reporting agencies:

Disclosures pursuant to 5 USC 552a(b)(12): Disclosures may be made from this systems to 'consumer reporting agencies' (collecting on behalf of the U.S. Govt.) as defined in the Fair Credit Reporting Act (15 USC 1681a(f)) or the Federal Claims Collection Act of 1982 (31 USC 3701(a)(3)).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: Open files.

Retrievability:

Retrievability: Alphabetically by employee name.

Safeguards:

Safeguards: Persons given access are screened by responsible management personnel.

Retention and disposal:

Retention and Disposal: Destroy after 4 years.

System manager(s) and address:

System Manager: Chief, Accounting Operations Division, M-45,
Department of Transportation,
Office of the Secretary,
400 7th Street, SW, Room 2227,
Washington, DC 20590.

Notification procedure:

Notification Procedure: Department of Transportation,
Office of the Secretary,
Accounting Operations Division, M-45,
400 7th Street, SW, Room 2227,
Washington, DC 20590.

Record access procedures:

Record Access Procedure: Same as 'Notification Procedure'.

Contesting record procedures:

Contesting Record Procedure: Same as 'Notification Procedure'.

Record source categories:

Record Source Categories: Program Offices.

DOT/OST 045

System name:

System Name: Unsolicited Contract or Research and Development Proposals Embodying Claims of Proprietary Rights, DOT/OST.

System location:

System Location: Department of Transportation (DOT),
Office of the Secretary (OST),
Office of the General Counsel,
400 7th Street, SW, Room 10424,
Washington, DC 20590.

Categories of individuals covered by the system:

Categories of Individuals: Individuals who believe they have original and innovative ideas in the field of transportation.

Categories of records in the system:

Categories of Records: Copies of descriptions of proposed innovations or inventions and methods of carrying out the proposal. Evaluations by Patent Counsel of the adequacy and propriety of restrictive markings on the proposals and correspondence of the Patent Counsel pertaining thereto.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: Used as a record of Patent Counsel's action in individual unsolicited proposal cases.
See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: File folders stored in file cabinets (Conserv-a-File).

Retrievability:

Retrievability: Indexed individually by name and subject in alphabetical sequence.

Safeguards:

Safeguards: Records are disclosed only in accordance with the terms of restrictive markings agreed upon between submitter and DOT.

Retention and disposal:

Retention and Disposal: Transfer to storage when three years old; Destroy after six years.

System manager(s) and address:

System Manager: Mail Address:
Patent Counsel, C-15,
U.S. Department of Transportation,
Washington, D.C. 20590.
Office Location:
400 7th Street, SW, Room 10424.

Notification procedure:

Notification Procedure: Apply to System Manager.

Record access procedures:

Record Access Procedure: Apply to System Manager.

Contesting record procedures:

Contesting Record Procedure: Same as 'Record Access Procedure'.

Record source categories:

Record Source Categories: Forwarded by individual or by the DOT office to whom unsolicited proposal was addressed.

DOT/OST 046

System name:

System Name: Visit Control Records System, DOT/OST.

System location:

System Location: Department of Transportation (DOT),
Office of the Secretary (OST),
Security Staff, M-441
400 7th Street, SW, Room 10401,
Washington, DC 20590.

Categories of individuals covered by the system:

Categories of Individuals: DOT employees, Industrial Security contractor employees, non-employee visitors to DOT facilities during security hours.

Categories of records in the system:

Categories of Records: Record of clearance certification (level, date granted and basis) on employees to visit facilities or attend meetings involving classified information. Record of security clearance data for visitors to DOT facility from other agencies and from contractors. Record of individuals other than employees who are authorized access to DOT facilities during security hours.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: Confirming to the proper authorities the security clearance for individuals requiring access to classified information; identifying individuals authorized to be present in DOT facilities during security hours.

See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: Visitor forms and letters.

Retrievability:

Retrievability: By name.

Safeguards:

Safeguards: Stored in locked room with proprietary lock, available only to authorized staff members.

Retention and disposal:

Retention and Disposal: Maintained until expiration of visit, then destroyed.

System manager(s) and address:

System Manager: Chief, Security Staff, M-441
Department of Transportation,
Office of the Secretary,
400 7th Street, SW,
Washington, DC 20590.

Notification procedure:

Notification Procedure: Same as above.

Record access procedures:

Record Access Procedure: Same as above.

Contesting record procedures:

Contesting Record Procedure: Same as above.

Record source categories:

Record Source Categories: Security clearance information furnished by personnel security officers. Visit data furnished by individual.

DOT/OST 056

System name:

System Name: Garnishment Files, DOT/OST.

System location:

System Location: Department of Transportation (DOT),
Office of the Secretary (OST),
Office of the General Counsel,
Office of the Assistant General Counsel for Environmental,
Civil Rights and General Law,
400 7th Street, SW, Room 10424,
Washington, DC 20590.

Categories of individuals covered by the system:

Categories of Individuals: Employees of the Department of Transportation, including members of the Coast Guard, whose pay is sought to be attached under section 459 of the Social Security Act , 42 U.S.C. 659.

Categories of records in the system:

Categories of Records: Correspondence and court orders, and copies thereof, concerning attachment of employees' pay.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: Used as record of garnishments and Garnishment Attorney's action thereon.

See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: File folders stored in the Garnishment Attorney's office.

Retrievability:

Retrievability: Indexed individually by name in alphabetical order.

Safeguards:

Safeguards: Records are disclosed only to individuals with established legal interest or legal 'need to know'.

Retention and disposal:

Retention and Disposal: Retained for as long as the attachment of pay continues and thereafter as needed for precedential value.

System manager(s) and address:

System Manager: Mail Address:
Garnishment Attorney, C-10,
U.S. Department of Transportation,
Washington, DC 20590.
Office Location:
400 7th Street, SW, Room 10424.

Notification procedure:

Notification Procedure: Apply to System Manager.

Record access procedures:

Record Access Procedure: Apply to System Manager.

Contesting record procedures:

Contesting Record Procedure: Apply to System Manager.

Record source categories:

Record Source Categories: Data is obtained from state courts and agencies, private attorneys, present and former spouses of employees, and federal pay records.

DOT/OST 057

System name:

System Name: Honors Attorney Recruitment Files, DOT/OST.

Security classification:

None.

System Location:

Department of Transportation (DOT),
Office of the Secretary (OST),
Office of the General Counsel,
400 7th Street, SW, Room 10428,
Washington, DC 20590.

Categories of individuals covered by the system:

Categories of Individuals: Third-year law students and recent law school graduates.

Categories of records in the system:

Categories of Records: Resumes, transcripts, copies of Personnel Form 171.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: Used by General Counsel, Chief Counsels, and their staffs in filling job vacancies for attorneys.

See also Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: File folders in file cabinets.

Retrievability:

Retrievability: Indexed individually by name in alphabetical order.

Safeguards:

Safeguards: Records are disclosed only to individuals who have legal interests in the records or legal 'need-to-know.'

Retention and disposal:

Retention and Disposal: Retained at system location for 5 years, then destroyed.

System manager(s) and address:

System Manager: Mail Address:
Special Assistant to the General Counsel, C-4,
U.S. Department of Transportation,
Washington, DC 20590.
Office Location:
400 7th Street, SW, Room 10428.

Notification procedure:

Notification Procedure: Contact the System Manager.

Record access procedures:

Record Access Procedure: Contact the System Manager.

Contesting record procedures:

Contesting Record Procedure: Same as 'Record Access Procedure.'

Record source categories:

Record Source Categories: Law students, recent law school graduates, General Counsel, Chief Counsels and their staffs.

DOT/OST 059

System name:

System Name: Files of the Board for Correction of Military Records (BCMR) for the Coast Guard, DOT/OST.

System location:

System Location: Department of Transportation (DOT),
Office of the Secretary (OST),
Office of the General Counsel,
Board for Correction of Military Records,
400 7th Street, SW, Room 10402,
Washington, DC 20590.

Categories of individuals covered by the system:

Categories of Individuals: Individuals who have filed applications for relief before the Board.

Categories of records in the system:

Categories of Records: Applications and related documents, Board decisions, and official military records of applicants.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: Used by the Chairman, the Board, the Executive Secretary and Staff in determining whether to grant relief to applicants.

Used by the Coast Guard in presenting its views to the Board concerning pending cases. Also used by applicant and his representative.

Used by the General Counsel and his staff in determining whether to approve decisions of the board.

See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Storage: File folders stored in file cabinets.

Retrievability:

Retrievability: Indexed individually by name in one of two alphabetical sequences representing pending and closed cases. Also indexed by docket number. Pending cases filed by docket number; closed cases filed alphabetically.

Safeguards:

Safeguards: Records are disclosed only to the applicant, his representative, interested members of Congress, and the Coast Guard.

Retention and disposal:

Retention and Disposal: Transfer of official military record of individual separated from service to Federal Records Center when case closed; transfer of official military record of Active or Reserve member to Coast Guard Headquarters when case closed; retention of application file in all cases.

System manager(s) and address:

System Manager: Mail Address:
Executive Secretary,
Board for the Correction of Military Records, C-60,
U.S. Department of Transportation,
Washington, DC 20590.
Office Location:
400 7th Street, SW, Room 10402.

Notification procedure:

Notification Procedure: Apply to System Manager.

Record access procedures:

Record Access Procedure: Apply to System Manager.

Contesting record procedures:

Contesting Record Procedure: Same as 'Record Access Procedure'.

Record source categories:

Record Source Categories: U.S. Coast Guard, Veterans Administration, individual applicants.

DOT/OST 061

System name:

System Name: Records of Official Time Granted Employees for Performing Representational Functions.

Security Classification:

None.

System location:

System Location: All DOT locations.

Categories of individuals covered by the system:

Categories of Individuals: All employees representing other DOT employees, pursuant to such employees' right to representation under statute, regulation, executive order, or the terms of a collective bargaining agreement.

Categories of records in the system:

Categories of Records: This system records the amount of official time granted to individuals to perform employee representational functions, and the purpose for which the official time was used.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: Information in these records may be used: 1. By agency officials and officially recognized labor unions for review to assure that the use of official time is in accordance with applicable government/agency policy and regulations. 2. Preparation of analytical and statistical studies and reports. 3. See prefatory statement of general routine uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: Records are maintained in file folders, punch cards, magnetic tape, discs, or by other electronic means.

Retrievability:

Retrievability: These records are retrieved by name or by category of use.

Safeguards:

Safeguards: Access to and use of these records are limited to agency personnel whose official duties require such access, and to officially recognized labor unions with respect to employees within the units that they represent. Safeguards include locked buildings, guard service, and locked file cabinets.

Retention and disposal:

Statistical information from these records may be made available to other agencies or to the interested public. Retention and Disposal: These records are destroyed after three years.

System manager(s) and address:

System Manager: The Personnel Officer of each DOT facility, or the Chief, Labor-Management Relations Division, Office of Personnel and Training, Office of the Assistant Secretary for Administration, U.S. Department of Transportation, 400 7th Street SW., Washington, D.C. 20590.

Notification procedure:

Notification Procedure: Inquiries should be directed to the System Manager.

Record access procedures:

Record Access Procedure: Contact or write to the System Manager for information on procedures for gaining access to records.

Contesting record procedures:

Contesting Record Procedure: Contact or write the System Manager. Reasonably identify the record and specify the information to be contested.

Record source categories:

Record Source Categories: Federal employees.

DOT/OST 062

System name:

System Name: Biographies of Key Officials Book, DOT/OST.

System location:

System Location: Department of Transportation
400 7th Street, SW
Washington, D.C. 20590

Categories of individuals covered by the system:

Categories of Individuals: This system of records contains information regarding DOT key officials. The key officials included in the book are subject to change because of personnel changes or at the request of the Secretary.

Categories of records in the system:

Categories of Records: This record contains basic biographical information and pictures of persons holding key positions within the Department of Transportation.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: To provide the Secretary with the professional experience and educational background of his/her key executives, which allows him/her to become more familiar with top executives.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: These records are maintained in locked file cabinets in a locked room.

Retrievability:

Retrievability: The book is indexed first by organization, then position title and name.

Safeguards:

Safeguards: Access to and use of this record is limited to the Secretary and to those persons whose official duties require such access. (Not releasable under the Freedom of Information Act without the permission of those individuals in the book.)

Retention and disposal:

Retention and Disposal: These records are destroyed one year after the person has left the covered position.

System manager(s) and address:

System Manager(s) and Address: Mail Address:
Department of Transportation
Office of the Secretary
Executive Personnel Management Division (M-13)
400 7th Street, SW
Washington, D.C. 20590
Office Location: Nassif Building Room 9103

Record access procedures:

Record Access Procedure: Employees who wish to gain access or contest their records should contact the System Manager(s).

Notification procedure:

Notification Procedure: Contact System Manager.

Record source categories:

Record Source Categories: Information in this system of records either comes from the individual to whom it applies or is derived from information he supplied.

DOT/OST 063

System name:

System Name: Civil Rights Case Tracking System.

System location:

System Location: Office of Civil Rights
U.S. Department of Transportation
Room 9201
400-7th Street, SW
Washington, D.C. 20590

Categories of individuals covered by the system:

Categories of Individuals: Records in this system will be maintained on individuals who have submitted complaints of alleged civil rights violations to the Department of Transportation or any of the Administrations within the Department of Transportation, including:

The Office of the Secretary of Transportation
The U.S. Coast Guard
The Federal Aviation Administration
The National Highway Traffic Safety Administration
The Federal Highway Administration
The Federal Railroad Administration
The Urban Mass Transportation Administration
The St. Lawrence Seaway Development Corporation
The U.S. Maritime Administration
The Research and Special Programs Administration

Categories of records in the system:

Categories of Records: Records maintained in the system will be categorized by source of complaint (internal or external to the Department of Transportation) and by basis of complaint (race, sex, age, etc.).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: Records will be accessed for the purpose of producing reports and statistical profiles showing the progress of investigations and the status of complaints. The use of reports generated from these records will be within the Department of Transportation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: Records will be stored in machine readable form on disk. All stored disks will be kept in the Office of Civil Rights and will be secured at all times. Computer access to the records will be controlled by means of identification numbers and passwords known only to the users and systems manager. Only employees of the Office of Civil Rights and the Transportation Computer Center will have access to the records.

Retrievability:

Retrievability: Records can be retrieved individually in order to examine the status and progress of the investigation pertaining to the complaint.

Safeguards:

Safeguards: Access to and use of these records are limited to agency personnel whose official duties require such access, and to officially recognized labor unions with respect to employees within the units that they represent. Safeguards include locked buildings, guard service and locked file cabinets. Statistical information from these records may be made available to other agencies or to the interested public without the person to whom the record pertains being identified.

Retention and disposal:

Retention and Disposal: Records will be purged from the electronic storage system at periodic intervals and transferred to printed documents for storage and eventual retention in the archives.

System manager(s) and address:

System Manager(s) and Address: The official in the Department of Transportation responsible for the system of records is the Director of Civil Rights, Department of Transportation, Room 10215, 400 7th Street, SW, Washington, D.C. 20590.

Notification procedure:

Notification Procedure: An individual who wishes to be notified if the system of records contains a record pertaining to him may apply in writing to the System Manager.

Record access procedures:

Record Access Procedures: An individual who wishes to review the contents of a record pertaining to him may apply in writing to the System Manager.

Contesting record procedures:

Contesting Record Procedures: Contact or write the System Manager. Reasonably identify the record and specify the information to be contested.

Record source categories:

Record Source Categories: The sources used for records in this system are the complainant, witnesses of alleged violations of civil rights statutes and regulations, written documents pertinent to such investigations, and other records maintained by the Department of Transportation.

DOT/OST 064

System name:

System Name: Mobility Assignment Candidate File.

System location:

System Location: Office of the Secretary/Office of Personnel and Training.

Security classification:

None.

Categories of individuals covered by the system:

Categories of Individuals: Employees of the Department who apply for listing in the file.

Categories of records in the system:

Categories of Records: The records will consist of an SF-171, Personal Qualifications Statement, a copy of the employee's most recent performance appraisal, a statement of interest and availability, and an endorsement by the supervisor.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: Information in these records may be used:

1. By Agency officials to consider employees for temporary assignments.
2. Preparation of analytical and statistical studies and reports.
3. General routine use number 4 applies.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Storage: Records are maintained in file folders or magnetic disks.

Retrievability:

Retrievability: These records are retrieved by name or by category of use.

Safeguards:

Safeguards: Access to and use of these records are limited to agency personnel whose official duties require such access. Safeguards include locked buildings, guard service, and locked file cabinets. Statistical information from these records may be made available to other agencies or to the interested public.

Retention and disposal:

Retention and Disposal: These records are destroyed after one year.

System manager(s) and address:

System Manager(s) and Address: The Chief, Special Programs Staff,

Office of Personnel and Training,
Office of the Assistant Secretary for Administration,
U.S. Department of Transportation,
400 7th Street, SW,
Washington, DC 20590.

Notification procedure:

Notification Procedure: Inquiries should be directed to the System Manager.

Record access procedures:

Record Access Procedures: Contact or write the System Manager to arrange for access to the record.

Contesting record procedures:

Contesting Record Procedures: Contact or write the System Manager. Reasonable identify the record and specify the information be contested. If error is found, the record will be corrected.

Record source categories:

Record Source Categories: Federal employees and supervisors.

DOT/OST 100

System name:

Investigative Record System, DOT/OIG.

System location:

Office of Inspector General, DOT/OST, 400 Seventh Street, SW, Washington, D.C. 20590

OIG Regional Office in Baltimore, MD; Atlanta, GA; Chicago, IL; Fort Worth, TX; San Francisco, CA; and Federal Records Center (FRC), Washington, D.C.

Categories of individuals covered by the system:

Present and former DOT employees, DOT contractors and employees as well as grantees, sub-grantees, contractors, subcontractors and their employees and recipients of DOT monies, and other individuals or incidents subject to investigation within the purview of the Inspector General Act.

Categories of records in the system:

Results of investigations and inquiries conducted by Inspector General (OST); reports of investigations conducted by other departmental, Federal, state, and local investigative agencies which relate to the mission and function of the Inspector General; reports and indices relating to "hotline" complaints; and investigative case index card files.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The information contained in the Investigative Records System is collected and maintained in the administration of the Inspector General Act of 1978 (Pub. L. 95–452) to investigate, prevent, and detect fraud and abuse in departmental programs and operations. Material gathered is used for prosecutive, civil, or administrative actions. These records may be disseminated, depending on jurisdiction to:
DOT Officials in the administration of their responsibilities. Other Federal, state, local or foreign agencies or administrations, having interest or jurisdiction in the matter. See also Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in case folders in manual filing system and on index cards.

Retrievability:

By name or incident title.

Safeguards:

Investigative files and case index files are maintained in several spaces with appropriate access controls. Access to investigative files is restricted to authorized personnel on a "need to know" basis.

Retention and disposal:

Investigative material is destroyed by secure means used for classified materials. Central OIG investigative files are maintained in OIG Headquarters, from where the files are transferred to the FRC Washington, D.C., at prescribed intervals and destroyed in accordance with the following schedule:

Lead Cases. Case files and temporary contents are destroyed 180 days after transmittal of the investigative report and permanent case documents to the case control office.

Official Case Folders. Official Investigative Case Folders are maintained for a period of 2 years in OIG Headquarters upon completion of legal or administrative action and transferred to the FRC Washington, D.C., where they are held and destroyed 10 years from the date of receipt by FRC Washington, D.C.

Investigative and Hotline Indices. Destroyed 20 years after date of creation.

OIG Hotline Files. Transferred to FRC Washington, D.C., 2 years after completion of legal or administrative action. Destroyed 10 years from date of receipt by FRC Washington, D.C.

General Investigative and Hotline Files. Retained in OIG Headquarters and Field Offices. Destroyed when 5 years old.

System manager(s) and address:

Assistant Inspector General for Investigations (JI-1), Office of Inspector General, Department of Transportation, 400 Seventh Street, SW, Room 9210, Washington, D.C. 20590.

Notification procedure:

Same as "System Manager."

Record access procedures:

Same as "System Manager." Investigative data compiled for law enforcement purposes may be exempt from the access provisions pursuant to 5 U.S.C. 552a (j)(2), (k)(1), or (k)(2). The identity of an employee or other personal source who makes a complaint or provides information to the OIG via the OIG "Hotline" complaint center may be exempt from disclosure pursuant to Section 7(b) of the Inspector General Act of 1978 (Pub. L. 95–452).

Contesting record procedures:

Same as "Record Access Procedures."

Record source categories:

These records contain information obtained from interviews, review of records and other authorized investigative techniques.

Systems exempted from certain provisions of the act:

Investigative data compiled for law enforcement purposes may be exempt from the access provisions pursuant to 5 U.S.C. 552a (j)(2), (k)(1), or (k)(2).

Narrative Statement for the Department of Transportation Office of the Secretary Alteration of Office of Inspector General Management Information System (OIG/MIS).

DOT/OST 101

System name:

Office of Inspector General, Management Information System (OIG/MIS).

System location:

Office of Inspector General, DOT/OST, 400 Seventh Street, SW, Washington, D.C. 20590, Using Boeing Computer Services, Timesharing System, Vienna, VA.

Categories of individuals covered by the system:

All active employees of the OIG, with history data on previous employees maintained for 2 years. Present and former DOT employees, DOT contractors and employees as well as grantees, subgrantees, contractors, subcontractors and their employees and recipients of DOT monies, and other individuals or incidents subject to investigation within the purview of the Inspector General Act.

Categories of records in the system:

Individual's current position and employment status, assignments, travel, experience, training, with the following personal data: Name, social security account number, date of birth, service computation date, career status, address, assigned station, job series, education, grade, minority status, and personnel transaction date. Investigative information consists of investigation 'targets' name and social security account number, organization name, type of investigation, offense data, source of referral data and action taken.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

There will be no external uses. Internally, information will be used as follows: (1) Security clearance notification alerts may be provided to an examined activity in advance of visits by OIG personnel if information to be examined requires a secret clearance or above; (2) time and attendance reports will be used to track temporary duty travel frequency and duration, to categorize indirect time for periodic reports, and to accrue staff hour data on assigned projects; (3) planned annual leave reporting will be used by various managers for workload planning and travel scheduling; (4) assignments information and workload status information will be used by managers to control audits and investigations, and to maximize effectiveness of staff resources; (5) miscellaneous personnel information will be used by staff managers to determine training needs, promotional eligibility, education and background, and professional organization participation; (6) information will be used to produce resource management reports; (7) travel information will be used by managers to control temporary duty travel, travel costs and issuances of travel orders; and (8) investigative information is collected and maintained in the administration of the Inspector General Act of 1978 (Pub. L. 95–452) to investigate, prevent, and detect fraud and abuse in departmental programs and operations. Material gathered is used for investigative case management.

Used by DOT Officials in the administration of their responsibilities. See also Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Active reports on magnetic disk, with backup active records and inactive records maintained on magnetic tape.

Retrievability:

Records will be retrievable through employee social security number, by name, or incident title, with selected records having certain secondary keys consisting of certain other data elements, listed in the "Categories of Records in the System."

Safeguards:

(1) Records will be maintained in a private library not accessible by any unauthorized user; (2) authorized user identification codes will be tied to multiple password system to afford additional protection; (3) any attempt to bypass the password protection system will result in "Log-Off" from the system or denial of access to data if access to system is authorized; (4) physical access to system documentation, hard copy printouts, personal data files, and terminals will be restricted to authorized personnel by maintaining a secure environment in the headquarters office; (5) access to data will be restricted to thos who require it in the performance of their official duties and the individual who is the subject of the record (or authorized representative); and (6) tape files will be maintained in an environmentally secure vault area when not in use.

Retention and disposal:

Records will be maintained for 2 years after they become inactive. All inactive records will be maintained on magnetic tape within the computer center and will be afforded the same safeguards as active records. Machine-resident records will be destroyed at the end of the 2-year period. Hard copy records will be retained until the records are replaced or become obsolete.

System manager(s) and address:

Assistant Inspector General for Policy, Planning, and Resources (JP–1), Office of Inspector General, Department of Transportation, 400 Seventh Street, SW, Room 9210, Washington, D.C. 20590.

Notification procedure:

Same as "System Manager."

Record access procedures:

Same as "System Manager." Investigative data compiled for law enforcement purposes may be exempt from the access provisions pursuant to 5 U.S.C. 552a (j)(2), (k)(1, (k)(2). The indentity of an employee or other personal source who makes a complaint or provides information to the OIG via the OIG "Hotline" complaint center may be exempt from disclosure pursuant to Section 7(b) of the Inspector General Act of 1978 (Pub. L. 95–452).

Contesting record procedures:

Same as "Record Access Procedures."

Record source categories:

(1) Official personnel folder; (2) other personnel documents; (3) activity supervisors; (4) individual applications and forms; and (5) information obtained from interviews, review of records and other authorized investigative techniques.

Systems exempted from certain provisions of the act:

Investigative data compiled for law enforcement purposes may be exempt from the access provisions pursuant to 5 U.S.C. 552a (j)(2), (k)(1), or (k)(2).

DOT/RSPA 01

System name:

System Name: Funds Management Records, DOT/RSPA.

System location:

System Location: Department of Transportation (DOT),
Research and Special Programs Administration,
Office of Emergency Transportation, (OET), (DET-1)
400 7th Street, SW, Washington, DC 20590.
Regional Emergency Transportation Coordinator (RETCO),
Regions 1 and 2,
c/o Commander 1st Coast Guard District,
150 Causeway Street,
Boston, MA 02114.
RETCO, Region 3,
c/o Federal Highway Administration,
1633 Federal Building,
Baltimore, MD 21201.
RETCO, Region 4,
c/o Federal Aviation Administration,
P.O. Box 20636,
Atlanta, GA 30320.
RETCO, Region 5,
c/o Federal Highway Administration,
18209 Dixie Highway,
Homewood, IL 60430.
RETCO, Region 6,
c/o Federal Aviation Administration,
P.O. Box 1689,
Ft. Worth, TX 76101.
RETCO, Region 7,
c/o Federal Highway Administration,
P.O. Box 19715, Country Club Sta.,
Kansas City, MO 64141.
RETCO, Region 8,
c/o Federal Highway Administration,
Denver Federal Center,
Denver, CO 80225.
RETCO, Region 9,
c/o United States Coast Guard, Commander Pacific Area,
630 Sansome Street,
San Francisco, CA 94126.
RETCO, Region 10,
c/o Commander 13th Coast Guard District,
Federal Building, Room 3588,
915 Second Avenue,
Seattle, WA 98174.
RETCO, Alaska Region,
c/o Federal Aviation Administration,
P.O. Box 14, 701 C Street,
Anchorage, AK 99513.

Categories of individuals covered by the system:

Categories of Individual: Members of the National Defense Executive Reserve (NDER): Private citizens; Military members; U.S., State, and local government officials and civil servants, who participate in Fund activities.

Categories of records in the system:

Categories of Records: Receipt forms by individual name, with dates, amounts of money received, and purpose with vouchers to enter the fund; checks with vouchers in payment of approved invoices; procurement requests for authorized services; invoices for services rendered and correspondence to agencies, firms and individuals pertaining to the above.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: Internal management of non-appropriated funds of NDER units, National and Regional, in authorized training activities of those units.

See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Storage: Individual records are maintained in a filing folder appended to numbered vouchers.

Retrievability:

Retrievability: Retrieved only by incident or occasion to which voucher pertains.

Safeguards:

Safeguards: Maintained in metal file containers or other standard office equipments which are kept in a locked file room.

Retention and disposal:

Retention and Disposal: Retained for three years.

System manager(s) and address:

System Manager: Custodian, Organization Fund,
Department of Transportation,
Research and Special Programs Bureau,
Office of Emergency Transportation Unit,
National Defense Executive Reserve,
400 7th Street, SW, Room 8330,
Washington, DC 20590. For each Region the RETCO (Section 02) is manager of the Regional Fund.

Notification procedure:

Notification Procedure: Inquiries may be addressed to any of the offices listed under 'System Locations'. Individuals requesting such information must sign the request personally and include suitable identification. Alternatively personal visits to the above locations with presentation of suitable identification will enable individual to learn of and have access to his or her record.

Record access procedures:

Record Access Procedure: Individual may secure or obtain information or procedures for gaining access to records by addressing a written query to the offices cited above or presenting him or herself in person to those offices.

Contesting record procedures:

Contesting Record Procedure: Same as 'Record Access Procedures'.

Record source categories:

Record Source Categories: Data comes from individuals concerned.

DOT/RSPA 02

System name:

System Name: National Defense Executive Reserve (NDER) File, DOT/RSPA.

System location:

System Location Office of Emergency Transportation (OET) (DET-1)
Department of Transportation,
400 7th Street, SW,
Washington, D.C. 20590.
Some records are held only in the Office of Emergency Transportation while others are held at various locations in the custody of officials in the several regions, as indicated in the paragraph labeled 'Categories of Records' below. Holdings of the Regional Directors-designate and Deputy Directors-designate are partial duplications of the Regional Emergency Transportation Coordinator (RETCO) files and may be accessed through the applicable RETCO. The RETCO and the Regional Emergency Transportation Representative (RETREP) for each region may be contacted directly at the addresses shown below. The Regional Director-designate and Deputy Director-designate for each region may be contacted by addressing mail in care of the RETCO for that region at the address shown in the following list:

Regions 1 and 2,
150 Causeway Street,
Boston, MA 02114.
Region 3,
1633 Federal Building,
Baltimore, MD 21201.
Region 4,
P.O. BOx 20636,
Atlanta, GA 30320.
Region 5,
18209 Dixie Highway,
Homewood, IL 60430.
Region 6,
P.O. Box 1689,
Ft. Worth, TX 76101.
Region 7,
P.O. Box 19715,
Country Club Sta.,
Kansas City, MO 64141.
Region 8,
Denver Federal Center,
Denver, CO 80225.
Region 9,
630 Sansome Street,
San Francisco, CA 94126.
Region 10,
Federal Bldg.,
Rm. 3588,
915 Second Ave.,
Seattle, WA 98174.
Alaska Region,
P.O. Box 14, 701 C Street,
Anchorage, AK 99513.
Emergency Facilities Liaison Officer,
FAA Records Center,
West King Street and South Maple Avenue,
Martinsburg, WV 25401.

Categories of individuals covered by the system:

Category of Individual: Upper, middle, and lower management members of the transportation industry, university professors, lawyers, labor leaders, and businessmen who are candidates for membership in NDER, active members of NDER, or who are former members whose membership has been terminated by death, resignation or involuntary release, and emeritus members.

Categories of records in the system:

Categories of Records Personnel and security forms completed by individuals consisting of applications, statements of understanding by employers, security and identification data from individuals, certificates of appointment and reappointment (located at DOT/RSPA/OET and RETCOs only); names and addresses of individuals for directory (maintained at DOT/RSPA/OET only); name and address card file (maintained at DOT/OST/OET only); card file with name, date of appointment and date of reappointment (in OET only); lists of reservists in process including active and Emeritus members and former members showing steps in process, numerical sequence, unit assignment, name date of designation, state of residence, date of separation and reason (in OET only); contact file of those previously nominated but not appointed, or once in program but not no longer members, with date and reason for non-affiliation (in OET only); personal data sheet for each individual which presents summary of pertinent data including photograph to assist professional staff in evaluating the member and assigning member on appointment and reappointment or during active membership (this record held at all locations).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: Internal personnel management of the NDER for the Department of Transportation, which includes staff action and exchange of data with the Office of the Director, Federal Emergency Management Agency, which is responsible for the entire National Defense Executive Reserve Program. Available to the Secretary, any Secretarial Officer, head of an operating administration, or their designated subordinates who require access in the pursuit of their duties. Available to director and staff members of OET, to RETCO's and their staff members, to Regional Directors-designate and Deputies and the Emergency Facilities Liaison Officer, FAA Records Center (for storage purposes only) who require access in pursuit of their duties.

See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Storage: Individual records are maintained in a manual system in a locked file room consisting of a filing jacket with the individual's name tabbed and containing all papers pertaining to him or her, except the following which are maintained as stated.

Directory - stored in bulk in steel containers.
Mailing List - maintained in standard card file.
Chronological File - maintained in standard card file.
Contact File - maintained in standard card file.
Personal Data Sheets - maintained in separate loose leaf note books or in personnel jackets at option of holder.

Retrievability:

Retrievability: Indexed alphabetically by name. Retrieved manually.

Safeguards:

Safeguards: Maintained in metal file containers or other standard office equipment.

Retention and disposal:

Retention and Disposal: Held for five years from date of separation and then destroyed.

System manager(s) and address:

System Manager: Director of Emergency Transportation, Research and Special Programs Administration (DPB-30), Department of Transportation (Room 8330), Washington, D.C. 20590.

Notification procedure:

Notification Procedure: Inquiries may be addressed to any of the offices and officials listed under 'System Locations'. Individuals requesting such information must sign the request personally and include in the text of the request suitable identification. Alternatively, personal visits to the above locations with presentation of suitable identification will enable individual to learn of and have access to his or her record.

Record access procedures:

Record Access Procedures: Individual may secure or obtain information on procedures for gaining access to records by (1) referral to the information sheet issued to him or (2) addressing a written query to the offices cited under 'System Location' above (except the Emergency Facilities Liaison Officer, FAA Records Center, West King Street and South Maple Avenue, Martinsburg, WV 25401, which maintains duplicate files in storage only) or (3) presenting himself or herself in person to those offices.

Contesting record procedures:

Contesting Record Procedures: Same as 'Record Access Procedures'.

Record source categories:

Record Source Categories: Personal data submitted by the individual; data from his or her employer; recommendations from colleagues; mailing data from existing distribution system.

DOT/RSPA 03

System name:

System Name: Security Management Records, DOT/RSPA.

System location:

System Location: Department of Transportation (DOT),
Research and Special Programs Administration (RSPA),
Office of Emergency Transportation (OET),
400 7th Street, SW, Room 8330,
Washington, DC 20590.

Categories of individuals covered by the system:

Categories of Individuals: All members of OET.

Categories of records in the system:

Categories of Records: Jacket file of all security clearance records of all personnel.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: Management by Director OET and Security Officer of security classification levels required by missions and functions of OET.

See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Storage: Maintained in single folder with all pertinent items included alphabetically.

Retrievability:

Retrievability: Alphabetically by name.

Safeguards:

Safeguards: Restricted to use by Director of Emergency Transportation and the OET Security Officer. File maintained in a locked 3-combination safe.

Retention and disposal:

Retention and Disposal: Retained during period of employment. Transferred with the individual or returned to Security Office of OST.

System manager(s) and address:

System Manager: Director of Emergency Transportation,
Department of Transportation,
Research and Special Programs Administration (DET-1).
400 7th Street, SW,
Washington, DC 20590.

Notification procedure:

Notification Procedure: Inquiries may be addressed to the office listed under 'System Location'. Individuals requesting such information must sign the request personally. Alternatively, personal visits to the above location with presentation of necessary identification will enable individual to have access to his record.

Record access procedures:

Record Access Procedure: Individual may secure information on procedures for gaining access to records by (1) addressing a written query to the office cited under System Location above or (2) presenting himself in person to that office.

Contesting record procedures:

Contesting Record Procedure: Same as 'Record Access Procedure'.

Record source categories:

Record Source Categories: Data from individual, and from Director of Investigations and Security, Department of Transportation.

DOT/RSPA 04

System name:

System Name: Transportation Research Activities Information Service (TRAIS), DOT/RSPA.

System location:

System Location: Department of Transportation (DOT),
Research & Special Programs Administration (RSPA)
Transportation Systems Center (TSC),
Kendall Square,
Cambridge, MA 02142.

Categories of individuals covered by the system:

Categories of Individuals: Program/Project Managers and research investigators.

Categories of records in the system:

Categories of Records: Notification of Technical Research and Development.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: Information on on-going and completed research and development accomplishments.

See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: Computer disc storage and magnetic tape.

Retrievability:

Retrievability: Retrievable by keywords and unique accession number assigned by Data Base Administrator; batch process or on-line interaction.

Safeguards:

Safeguards: Physical security - user identification and passwords.

Retention and disposal:

Retention and Disposal: Up to three-year retention and then tape is reused which destroys previous data.

System manager(s) and address:

System Manager: Chief, Transportation Research Activity Information Services Branch, TST-25.1,
Department of Transportation,
Office of the Secretary,
400 7th Street, SW,
Washington, DC 20590.

Notification procedure:

Notification Procedure: Same as System Manager.

Record access procedures:

Record Access Procedure: Same as System Manager.

Contesting record procedures:

Contesting Record Procedure: Same as System Manager.

Record source categories:

Record Source Categories: Contract Awards from Contracting Offices, Publication of Technical Report.

DOT/RSPA 05

System name:

System Name: Transportation Research Information Service On Line (TRIS-On-Line), DOT/RSPA.

System location:

System Location: Department of Transportation (DOT),
Office of the Secretary (OST),
System physically located at the:
Battelle Laboratories,
Columbus, OH

Categories of individuals covered by the system:

Categories of Individuals: Program/Project Managers and authors of reports.

Categories of records in the system:

Categories of Records: Notification of technical research and technical reports.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: Information on on-going and completed research and development accomplishments.

See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: Computer disc storage and magnetic tape.

Retrievability:

Retrievability: Retrievable by keywords and accession number assigned by Data Base Administrator, batch or on-line interaction.

Safeguards:

Safeguards: Physical security - User identification keywords and passwords.

Retention and disposal:

Retention and Disposal: Up to five year accessibility, tape goes to archival storage.

System manager(s) and address:

System Manager: Chief, Transportation Research Information Services Branch, TST-25.1,
Department of Transportation,
Office of the Secretary,
400 7th Street, SW,
Washington, DC 20590.

Notification procedure:

Notification Procedure: Same as System Manager.

Record access procedures:

Record Access Procedure: Same as System Manager.

Contesting record procedures:

Contesting Record Procedure: Same as System Manager.

Record source categories:

Record Source Categories: Contract awards received from Contracting Offices, Publication of Technical Reports.

DOT/RSPA 06

System name:

System Name: Emergency Alerting Schedules, DOT/RSPA.

System location:

System Location: These records are located in the national headquarters of the Offices of the Secretary; the heads of operating administrations, regional offices of the Regional Emergency Transportation Coordinators, the Regional Administrators, Directors and Commanders of the operating administrations and in headquarters of operating administrations divisions, district commands, and other field offices of the Department.

Categories of individuals covered by the system:

Categories of Individuals: Professional and clerical employees and military members of the U.S. Government, Directors - designate and Deputy Directors - designate and members of the National Defense Executive Reserve who have been given emergency billet assignments within the Department of Transportation Emergency Structure.

Categories of records in the system:

Categories of Records: The Alerting Charts and Schedules show names and office and home telephone numbers of individuals in calling sequence and are listed by national headquarters and by regional offices; also contain similar listings designed for management convenience within DOT and the operating elements.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: For identification of individuals required to insure viability of DOT in the immediate preattack - transattack - postattack period of a national defense emergency. Available to the Secretarial Officers, heads of operating administrations or designated subordinates (national and regional) and to individuals listed.

See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Storage: Publication is maintained in stock, in listings in each office of record, and in standard filing equipment in locked file rooms.

Retrievability:

Retrievability: Manually by position listing.

Safeguards:

Safeguards: Metal file containers or other standard office equipment secured in a locked file room during office duty hours.

Retention and disposal:

Retention and Disposal: Retained until republished then destroyed.

System manager(s) and address:

System Manager: Director of Emergency Transportation, (DET-1)
Department of Transportation,
Research and Special Programs Administration,
400 7th Street, SW,
Washington, DC 20590.

Notification procedure:

Notification Procedure: Inquiries may be addressed to any of the offices listed under 'System Locations'. Individuals requesting such information must sign the request and include suitable identification.

Alternatively, personal visits to the above locations with presentation of the above credentials will enable individual to learn of and have access to his or her record.

Record access procedures:

Record Access Procedure: Individual may secure or obtain information on procedures for gaining access to records by (1) referral to the information sheet issued to him or (2) addressing a written query to the offices cited under System Location, (except the Facility Manager, FAA Records Center, West King Street and South Maple Avenue, Martinsburg, WV 25401, who maintains duplicate files in storage only) or (3) presenting himself to those offices.

Contesting record procedures:

Contesting Record Procedure: Same as 'Record Access Procedures'.

Record source categories:

Record Source Categories: Office or Agency of employment.

DOT/RSPA 07

System name:

System Name: Time and Attendance Report (FHWA Form 320 (7-73)) for the Office of Emergency Transportation, DOT/RSPA.

System location:

System Location: Department Transportation (DOT),
Research and Special Programs Administration,
Office of Emergency Transportation (OET), DET-1
400 7th Street, SW, Room 8330,
Washington, DC 20590.

Categories of individuals covered by the system:

Categories of Individuals: Professional and clerical employees, permanent and temporary, and consultants employed in OET.

Categories of records in the system:

Categories of Records: Record consists of a computer punch card with a tissue carbon.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: Used to maintain record of attendance at duty station and leave accounts of employees concerned.

See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Storage: Records are maintained alphabetically in desk of the Administrative Secretary to the Director.

Retrievability:

Retrievability: Maintained alphabetically; retrieved manually.

Safeguards:

Safeguards: Maintained in a locked file room in a building under 24 hour guard; admission by building pass only.

Retention and disposal:

Retention and Disposal: Hard copy forwarded to paymaster every pay period; tissue retained indefinitely.

System manager(s) and address:

System Manager: Director of Emergency Transportation, DET-1,
Department of Transportation,
Research and Special Programs Administration,
400 7th Street, SW,
Washington, DC 20590.

Notification procedure:

Notification Procedure: Inquiries may be addressed to the System Manager. Individuals requesting such information must sign the request and provide suitable identification.

Alternatively, a personal request to the System Manager or his representative will enable the individual to have access to his record.

Record access procedures:

Record Access Procedure: Individual may obtain information on procedures for gaining access by addressing a written query to the system manager or by presenting himself to the office cited in location above.

Contesting record procedures:

Contesting Record Procedure: Individual may obtain information on contest by request to the System Manager.

Record source categories:

Record Source Categories: Individuals concerned. Personnel and pay account records.

DOT/RSPA 08

System name:

System Name: Technical Pipeline Safety Committee, DOT/MTB.

System location:

System Location: Department of Transportation (DOT),
Research and Special Programs Administration
Materials Transportation Bureau (MTB),
Office of Pipeline Safety Regulation (DMT-30)
400 7th Street, SW, Room 8101.
Washington,DC 20590.

Categories of individuals covered by the system:

Categories of Individuals: Members of Technical Pipeline Safety Standards Committee- intermittent consultants.

Categories of records in the system:

Categories of Records: Biographical data in support of member's nomination.

Letters and news releases for member's appointment/reappointment.

Personnel Actions.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: General reference purposes for support functions.

See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Storage: In file folders.

Retrievability:

Retrievability: Alphabetically by name within subject area.

Safeguards:

Safeguards: Room locked after hours, most information is public knowledge.

Retention and disposal:

Retention and Disposal: Kept indefinitely.

System manager(s) and address:

System Manager: Director of Pipeline Safety Regulation, DMT-30,
Department of Transportation,
Materials Transportation Bureau,
400 7th Street, SW,
Washington, DC 20590.

Notification procedure:

Notification Procedure: Address inquiries to System Manager including individual's name.

Record access procedures:

Record Access Procedure: Information may be obtained from the System Manager.

Contesting record procedures:

Record Contest Procedure: Same as for Access above.

Record source categories:

Record Source Categories: Personnel Action (SF 50).
Travel Vouchers (SF 1012).
Certificate of Consultant's Services.
Press Releases.
Administrative Correspondence/Memorandums.

DOT/SLS 151

System name:

Claimants under Federal Tort Claims Act, DOT/SLS.

System location:

Department of Transportation (DOT), Saint Lawrence Seaway Development Corporation (SLSDC), 180 Andrews Street, Massena, NY 13662-1763.

Categories of individuals covered by the system:

Persons who make claims against the Corporation.

Categories of records in the system:

Claims forms on which are recorded name, address, age and marital status of claimants.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used by Chief Counsel to determine allowability of claims.

See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File folders.

Retrievability:

Indexed by subject and name.

Safeguards:

Records are kept in locked file cabinets and are accessible only to the Chief Counsel and his secretary.

Retention and disposal:

Records are retained indefinitely since they are not extensive and are used for reference.

System manager(s) and address:

Chief Counsel, Department of Transportation, Saint Lawrence Seaway Development Corporation, 400 7th Street, SW, Washington, DC 20590.

Notification procedure:

The individual may inquire, in writing, to the above System Manager whether this system of records applies to him/her.

Record access procedures:

An individual may gain access to his/her records by written request to the: Department of Transportation, Director, Finance and Administration, Saint Lawrence Seaway Development Corporation, 180 Andrews Street, Massena, NY 13662-1763.

Contesting record procedures:

Contest of these records will be directed to the Director, Finance and Administration, as under Record Access Procedure.

Record source categories:

Claimants.

DOT/SLS 152

Syrtem name:

Data Automation Program Records, DOT/SLS.

System location:

Department of Transportation (DOT), Saint Lawrence Seaway Development Corporation (SLSDC), 180 Andrews Street, Massena, NY 13662-1763.

Categories of individuals covered by the system:

Employees and consultants.

Categories of records in the system:

Payroll and leave records, work measurement records, travel vouchers.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Payroll and voucher disbursement: GAO audits.
See Prefatory Statement of General Routine Uses.

Disclosure to consumer reporting agencies:

Disclosures pursuant to 5 U.S.C. 552a(b)(12): Disclosures may be made from this system to consumer reporting agencies (collecting on behalf of the U.S. Govt.) as defined in the Fair Credit Reporting Act (15 U.S.C. 1681a(f)) or the Federal Claims Collection Act of 1982 (31 U.S.C. 3701(a)(3)).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Magnetic tape reels, punch cards, microfilm cassettes and supporting documents.

Retrievability:

Indexed by social security number and name.

Safeguards:

Records are kept in locked file cabinets or locked rooms accessible to appropriate supervisor, his immediate assistants and secretary.

Retention and disposal:

Records are retained in accordance with GAO and GSA schedules.

System manager(s) and address:

Director, Finance and Administration, Department of Transportation, Saint Lawrence Seaway Development Corporation, 180 Andrews Street, Massena, NY 13662-1763

Notification procedure:

The individual may inquire, in writing, to the System Manager whether this system of records applies to him/her.

Record access procedures:

An individual may gain access to his/her records by writen request to: Department of Transportation, Saint Lawrence Seaway Development Corporation, Director Finance and Administration, 180 Andrews Street, Massena, NY 13662-1763.

Contesting record procedures:

Contest of these records will be directed to the Director, Finance and Administration, at the address given in Record Access Procedure.

DOT/SLS 153

System name:

Employees' Compensation Records, DOT/SLS.

System location:

Department of Transportation (DOT), Saint Lawrence Seaway Development Corporation (SLSDC), 180 Andrews Street, Massena, NY 13662-1763.

Categories of individuals covered by the system:

Employees.

Categories of records in the system:

Claim forms on which are recorded employee' personal statistics, medical record.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

For determining allowability of claims.
See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File folders and microfilm cassette.

Retrievability:

Indexed by name.

Safeguards:

Records are kept in locked file cabinets and are accessible to cognizant Personnel Officers.

Retention and disposal:

Retained indefinitely for possible future use.

System manager(s) and address:

Director, Finance and Administration, Department of Transportation, Saint Lawrence Seaway Development Corporation, 180 Andrews Street, Massena, NY 13662-1763.

Notification procedure:

The individual may inquire, in writing, to the above System Manager whether this system of records applies to him/her.

Record access procedures:

An individual may gain access to his/her records by written request to: Director, Finance and Administration, Department of Transportation, Saint Lawrence Seaway, Development Corporation, 180 Andrews Street, Massena, NY 13662-1763.

Contesting record procedures:

Contest of these records will be directed to the System Manager.

Record source categories:

Injured employee, witnesses, supervisors, hospitals, physicians.

DOT/SLS 155

System name:

Emergency Operations Records (Vital Records), DOT/SLS.

System location:

Department of Transportation, Saint Lawrence Seaway, Development Corporation (SLSDC), Eisenhower Lock (Emergency Relocation Site), Massena, NY 13662-1763.

Categories of individuals covered by the system:

Employees.

Categories of records in the system:

Retirement records, payroll distribution records, leave records, employee roster and next of kin records.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To insure continuity of operations during and after a national defense emergency.
See Prefatory Statement of General Routine Uses.

Disclosure to consumer reporting agencies:

Disclosures pursuant to 5 U.S.C. 552a(b)(12): Disclosures may be made from this system to consumer reporting agencies (collecting on behalf of the U.S. Govt.) as defined in the Fair Credit Reporting Act (15 U.S.C. 1681a(f) or the Federal Claims Collection Act of 1982 (31 U.S.C. 3701(1)(3)).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File folders.

Retrievability:

Indexed by name and social security number.

Safeguards:

Locked metal file container.

Retention and disposal:

Retained until updated annually; then old records destroyed.

System manager(s) and address:

Director, Finance and Administration (Emergency Coordinator), Department of Transportation, Saint Lawrence Seaway, Development Corporation, 180 Andrews Street, Massena, NY 13662-1763.

Notification procedure:

Individuals may inquire in writing to the System Manager whether this system of records applies to him/her.

Record access procedures:

An individual may gain access to his/her records by written request to the: Department of Transportation, Saint Lawrence Seaway, Development Corporation, Director, Finance and Administration, 180 Andrews Street, Massena, NY 13662-1763.

Contesting record procedures:

Contest of these records will be directed to the Director, Finance and Administration.

Record source categories:

Personnel records, time cards, and related supporting documents.

DOT/TSC 700

System name:

System Name: Automated Management Information System, DOT/TSC.

System location:

System Location: Department of Transportation (DOT),
Transportation Systems Center (TSC),
Computer Center, DTS-33
Kendall Square,
Cambridge, MA 02142.

Categories of individuals covered by the system:

Categories of Individuals: All TSC employees.

Categories of records in the system:

Categories of Records: Contains job related information associated with the following applications: ADP services, property management, procurement requests, contract information, travel information, program and related job plans, patent data, space utilization, park control and other pertinent management information.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: The general purposes of this system are intended for internal management and control, including:

Computer facility planning.
ADP cost distribution.
Budget and planning analysis.
Procurement tracking.
Procurement statistics and analysis.
Information of travel incurred.
Contract administration.
Control of property.
Control of building space.
Control of parking facilities.
See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Storage: Punched cards, magnetic tape and disk.

Retrievability:

Retrievability: Indexed by employee's name.

Safeguards:

Safeguards: Access to the systems and their associated data banks is available through the utilization of the unique project and programmer numbers, and the passwords known only by the authorized custodians.

Access to reports is controlled by the Reports Distribution function of the Administrative Directorate on a need-to-know basis. For normal working requirements, the reports are distributed to the functional areas responsible for the data generation.

Access to the computer room and its associated areas where data and reports are stored is delineated in the TSC ADP Facility Document on Safeguards and Controls.

Retention and disposal:

Retention and Disposal: The systems are permanent unless replaced.

The data banks, for the most part, are related to fiscal year activity.

Subsequent to the fiscal year, the data banks become either part of the history file of the system or are maintained by themselves for historical reasons.

Data records are deleted from the data banks on an as-required basis, and subsequently are eliminated from associated reports.

Reports used as daily working papers are retained only until updated reports are produced and then the old reports are discarded. Official closing reports corresponding to month-end and fiscal-year-end periods are retained for longer periods and are not subject to any rigid disposal procedure.

System manager(s) and address:

System Manager: Associate Director of Administration, DTS-80,
Department of Transportation,
Transportation Systems Center,
Kendall Square,
Cambridge, MA 02142.

Notification procedure:

Notification Procedure: Information may be obtained through the Associate Director of Administration from the
Department of Transportation,
Transportation Systems Center,
Chief, Computer Center, DTS-33,
Kendall Square,
Cambridge, MA 02142.

Record access procedures:

Record Access Procedure: Requests from individuals should be addressed to the System Manager.

An individual may gain access to his data by written request.

Contesting record procedures:

Contesting Record Procedure: Contest of this data will be made to the System Manager. If administrative resolvement is not satisfactory to the individual, appeals may be filed in writing with the Secretary of Transportation addressed to the General Counsel as follows:
Department of Transportation,
Office of the Secretary,
Office of the General Counsel,
400 7th Street, SW,
Washington, DC 20590.

Record source categories:

Record Source Categories: Administrative functional areas and technical directorates utilizing standard forms and special TSC forms such as the ADP Job Order form, the Procurement Request form, the TSC Contract, the Property Control form the Project Program Agreement (PPA form, and the Work Plan Budget (WP) form.

DOT/TSC 701

System name:

System Name: Employee Travel Records, DOT/TSC.

System location:

System Location: Department of Transportation (DOT),
Transportation Systems Center (TSC),
Finance and Admin. Services Division
Accounting Branch, DTS-823,
Kendall Square,
Cambridge, MA 02142.

Categories of individuals covered by the system:

Categories of Individuals: TSC employees and other Government employees and private persons issued invitational travel orders to confer on Government problems.

Categories of records in the system:

Categories of Records: Travel records pertaining to reimbursements to individuals, consisting of:

Copies of travel orders.
Per diem vouchers.
Transportation requests.
Hotel reservations and all supporting papers relating to official travel of TSC employees or others authorized to travel by law.
Travel logs.
Travel reservation record card.
ADP travel reports.
Teletype ticket listing.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: The general purposes of these records are intended for internal management and control, and also to authorize travel and reimbursement of expenses incurred.

See Prefatory Statement of General Routine Uses.

Disclosure to consumer reporting agencies:

Disclosures pursuant to 5 USC 552a(b)(12): Disclosures may be made from this systems to 'consumer reporting agencies' (collecting on behalf of the U.S. Govt.) as defined in the Fair Credit Reporting Act (15 USC 1681a(f)) or the Federal Claims Collection Act of 1982 (31 USC 3701(a)(3)).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Storage: Travel forms, logs, card files, basic documents and other paper records, including ADP printouts.

Retrievability:

Retrievability: Indexed by employee's name.

Safeguards:

Safeguards: Records are maintained in locked file cabinets. Logs are generally maintained in locked desk drawer.

Retention and disposal:

Retention and Disposal: Travel administration unit copies are maintained two (2) years then forwarded to the Federal Records Center where they are disposed of after one (1) additional year.

Obligation copies are disposed of when funds are obligated, generally by shredding.

System manager(s) and address:

System Manager: Chief, Finance and Administrative Services
Department of Transportation,
Transportation Systems Center,
Kendall Square,
Cambridge, MA 02142.

Notification procedure:

Notification Procedure: Information may be obtained from the System Manager.

Record access procedures:

Record Access Procedure: Requests from individuals should be addressed to the System Manager. An individual may gain access to his records by written request.

Contesting record procedures:

Contesting Record Procedure: Contest of this data will be made to the System Manager. If administrative resolvement is not satisfactory to the individual, appeals may be filed in writing with the Secretary of Transportation addressed to the General Counsel as follows:
Department of Transportation,
Office of the Secretary,
Office of the General Counsel,
400 7th Street, SW,
Washington, DC 20590.

Record source categories:

Record Source Categories: Individual's request for travel and reimbursement with all supporting papers relating to official travel.

DOT/TSC 702

System name:

System Name: Legal Counsel Information Files, DOT/TSC.

System location:

System Location: Department of Transportation (DOT),
Transportation Systems Center (TSC),
Office of Chief Counsel, Code 14,
Kendall Square,
Cambridge, MA 02142.

Categories of individuals covered by the system:

Categories of Individuals: TSC employees involved with legal matters.

Categories of records in the system:

Categories of Records: Counseling records, conflict of interest and Source Evaluation Board (SEB), and individual claims and personnel actions.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: The general purposes of these records are intended for internal management and control, including administrative reference and advising and counseling in legal matters.

See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, an disposing of records in the system:

Storage:

Storage: Paper record folders.

Retrievability:

Retrievability: Indexed by employee's name and subject matter

Safeguards:

Safeguards: Records are maintained in locked desk drawers an safe.

Retention and disposal:

Retention and Disposal: One (1) year after final action.

System manager(s) and address:

System Manager: Chief Counsel,
Department of Transportation,
Transportation Systems Center,
Office of Legal Counsel,
Kendall Square,
Cambridge, MA 02142.

Notification procedure:

Notification Procedure: Information may be obtained from the System Manager.

Record access procedures:

Record Access Procedure: Requests from individuals should be addressed to the System Manager.

An individual may gain access to his records by written request.

Contesting record procedures:

Contesting Record Procedure: Contest of this data will be made to the System Manager. If administrative resolvement is not satisfactory to the individual, appeals may be filed in writing with the Secretary of Transportation addressed to the General Counsel as follows:
Department of Transportation,
Office of the Secretary,
Office of the General Counsel,
400 7th Street, SW,
Washington, DC 20590.

Record source categories:

Record Source Categories: Employee, Supervisor, Legal Office, Personnel Office.

DOT/TSC 703

System name:

System Name: Occupational Safety & Health Reporting System, DOT/TSC.

System location:

System Location: Department of Transportation (DOT),
Transportation Systems Center (TSC),
Deputy Associate Director of Administration, DTS-81,
Kendall Square,
Cambridge, MA 02142.

Categories of individuals covered by the system:

Categories of Individuals: TSC employees, in-house contractor personnel and visitors who have occupational illnesses, injuries or are involved in Government property accidents.

Categories of records in the system:

Categories of Records: Federal Occupational Injuries & Illnesses Survey form. DOT Accident/Injury Reports, DOT forms 3902.1 through 8.

Department of Labor, for payment of medical bills and workmen's compensation, as applicable.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: The general purposes of these records are intended for internal management and control, and also for accident prevention.

The routine uses of the Department of Labor forms are for (1) submission to doctors and medical institutions rendering services to individuals and (2) to the Office of Employees Compensation, Department of Labor, for payment of medical bills and workmen's compensation, as applicable.

See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Storage: Forms and other paper records.

Retrievability:

Retrievability: Indexed by individual's name.

Safeguards:

Safeguards: Records are maintained in locked file cabinets and folders are stamped 'For Official Accident Prevention Use Only.'

Retention and disposal:

Retention and Disposal: Records are retained for five years and then destroyed by shredding.

System manager(s) and address:

System Manager: Deputy Associate Director of Administration, DTS-81,
Department of Transportation,
Transportation Systems Center,
Kendall Square,
Cambridge, MA 02142.

Notification procedure:

Notification Procedure: Information may be obtained from the System Manager.

Record access procedures:

Record Access Procedure: Requests from individuals should be addressed to the System Manager.

An individual may gain access to his records by written request.

Contesting record procedures:

Contesting Record Procedure: Contest of this data will be made to the System Manager. If administrative resolvement is not satisfactory to the individual, appeals may be filed in writing with the Secretary of Transportation addressed to the General Counsel as follows:
Department of Transportation,
Office of the Secretary,
Office of the General Counsel,
400 7th Street, SW,
Washington, DC 20590.

Record source categories:

Record Source Categories: Documents provided by the individual concerned and immediate supervisor.

DOT/TSC 704

System name:

System Name: Stand-By Personnel Information, DOT/TSC.

System location:

System Location: Department of Transportation (DOT),
Transportation Systems Center (TSC),
Finance and Administrative Services Division,
Budget Branch, DTS-821,
Kendall Square,
Cambridge, MA 02142.

Categories of individuals covered by the system:

Categories of Individuals: TSC technical directorate personnel currently not fully assigned to authorized projects.

Categories of records in the system:

Categories of Records: Employee work project status and request for approval for stand-by time.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: The general purposes of these files are intended for internal management and control, including administrative reference and scheduling of work projects, budgeting and overhead classification.

See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Storage: Paper records.

Retrievability:

Retrievability: Indexed by employee's name and subject classification 'Stand-By Time.'

Safeguards:

Safeguards: Records are maintained in secured desk drawers and cabinets.

Retention and disposal:

Retention and Disposal: Records are maintained for one (1) additional year following completion of current fiscal year. Records are then destroyed.

System manager(s) and address:

System Manager: Chief, Finance and Administrative Services Division, DTS-82,
Department of Transportation,
Transportation Systems Center,
Kendall Square,
Cambridge, MA 02142.

Notification procedure:

Notification Procedure: Information may be obtained from the System Manager.

Record access procedures:

Record Access Procedure: Requests from individuals should be addressed to the System Manager.

An individual may gain access to his records by written request.

Contesting record procedures:

Contesting Record Procedure: Contest of this data will be made to the System Manager. If administrative resolvement is not satisfactory to the individual, appeals may be filed in writing with the Secretary of Transportation addressed to the General Counsel as follows:
Department of Transportation
Office of the Secretary
Office of the General Counsel,
400 7th Street, SW,
Washington, DC 20590.

Record source categories:

Record Source Categories: Supervisor.

DOT/TSC 706

System name:

System Name: Automated Planning System, DOT/TSC.

System location:

System Location: Department of Transportation (DOT),
Transportation Systems Center (TSC),
Office of Plans and Programs, DTS-20,
Kendall Square,
Cambridge, MA 02142.

Categories of individuals covered by the system:

Categories of Individuals: All TSC technical personnel, i.e., those personnel working on direct projects.

Categories of records in the system:

Categories of Records: Information on all current and anticipated programs/projects and respective limits of man-years and dollars (total) budgeted.

Personnel information on all technical personnel.

Information on each technical person, based upon the planning/assignment of an individual to a program/project.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: The general purpose of this system is to aid in the planning for an analysis of the loading (assignment) of manpower to the numerous programs/projects undertaken by the TSC.

See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Storage: Punched cards, magnetic tape and disk.

Retrievability:

Retrievability: Indexed by employee's name.

Safeguards:

Safeguards: Access to the system and its associated data banks is available through the utilization of the unique project and programmer numbers, and the passwords known only by the authorized custodians.

Access to reports is controlled by the Reports Distribution function of the Administrative Directorate on a need-to-know basis. For normal working requirements, the reports are distributed to the functional areas responsible for the data generation.

Access to the computer room and its associated areas where data and reports are stored is delineated in the TSC ADP Facility Document on safeguards and controls.

Retention and disposal:

Retention and Disposal: The system is permanent unless replaced. The data banks, for the most part, are related to fiscal year activity.

Subsequent to the fiscal year, the data banks become either part of the history file of the system or are maintained separately for historical reasons.

Reports used as daily working papers are retained only until updated reports are produced and then the old reports are discarded. Official closing reports corresponding to month-end and fiscal-year-end periods are retained for longer periods and are not subject to any rigid disposal procedure.

System manager(s) and address:

System Manager: Director, DTS-1,
Department of Transportation,
Transportation Systems Center,
Kendall Square,
Cambridge, MA 02142.

Notification procedure:

Notification Procedure: Information may be obtained through the Associate Director of Administration from the Assistant Director, Plans and Programs, DTS-20:
Department of Transportation,
Transportation Systems Center,
Kendall Square,
Cambridge, MA 02142.

Record access procedures:

Record Access Procedure: Requests from individuals should be addressed to the System Manager.

Contesting record procedures:

Contesting Record Procedure: An individual may gain access to his data by written request. Contest of this data will be made to the System Manager. If administrative resolvement is not satisfactory to the individual, appeals may be filed in writing with the Secretary of Transportation addressed to the General Counsel as follows:
Department of Transportation,
Office of the Secretary.
Office of the General Counsel,
400 7th Street, SW,
Washington, DC 20590.

Record source categories:

Record Source Categories: Program/Project files.
Personnel files.
Assignment forms.

DOT/TSC 707

System name:

System Name: Automated Manpower Distribution System, DOT/TSC.

System location:

System Location: Department of Transportation (DOT),
Transportation Systems Center (TSC),
Finance and Admin. Services Division, DTS-82
Accounting Branch, DTS-823,
Kendall Square,
Cambridge, MA 02142.

Categories of individuals covered by the system:

Categories of Individuals: All TSC employees.

Categories of records in the system:

Categories of Records: Contains information delineating the time and charges, including fringe and overhead, that TSC employees worked. The main association of the time and charges is with employee job assignment.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: The general purposes of this system are intended for internal management and control, including:
Administrative reference.
Cost management.
Labor assignments and expenditures as they relate to both the job and the employee.
See Prefatory Statement of General Routine Uses.

Disclosure to consumer reporting agencies:

Disclosures pursuant to 5 USC 552a(b)(12): Disclosures may be made from this systems to 'consumer reporting agencies' (collecting on behalf of the U.S. Govt.) as defined in the Fair Credit Reporting Act (15 USC 1681a(f)) or the Federal Claims Collection Act of 1982 (31 USC 3701(a)(3)).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Storage: Punched cards, magnetic tape and disk.

Retrievability:

Retrievability: Indexed by employee's number and job number.

Safeguards:

Safeguards: Access to the system and its associated data bank is available through the utilization of the unique project and programmer numbers, and the passwords known only by the authorized custodians.

Access to reports is controlled by the Reports Distribution function of the Administration Directorate on a need-to-know basis. For normal working requirements the reports are distributed to the functional area responsible for the data generation.

Access to the computer room and its associated areas where data and reports are stored is delineated in the TSC ADP Facility Document on Safeguards and Controls.

Retention and disposal:

Retention and Disposal: The system is permanent unless replaced.

The data bank is related to fiscal year activity. Subsequent to the fiscal year, the data bank becomes part of the system's history file.

Data records are deleted from the data bank on an as required basis, and subsequently are eliminated from associated reports.

Reports used as daily working papers are retained only until updated reports are produced and then the old reports are discarded.

Official record copy reports are subject to retirement in accordance with General Records Schedules (GRS).

System manager(s) and address:

System Manager: Associate Director of Administration, DTS-80,
Department of Transportation,
Transportation Systems Center,
Kendall Square,
Cambridge, MA 02142.

Notification procedure:

Notification Procedure: Information may be obtained through the Associate Director of Administration from the Chief, Accounting Branch, DTS-823 at the address under 'System Location'.

Record access procedures:

Record Access Procedure: Requests from individuals should be addressed to the System Manager.

Contesting record procedures:

Contesting Record Procedure: An individual may gain access to his data by written request.

Contest of this data will be made to the System Manager.

If administrative resolvement is not satisfactory to the individual, appeals may be filed in writing with the Secretary of Transportation addressed to the General Counsel as follows:
Department of Transportation,
Transportation Systems Center,
Office of the General Counsel,
400 7th Street, SW,
Washington, DC 20590.

Record source categories:

Record Source Categories: TSC form entitled 'Manpower Distribution'.

DOT/TSC 708

System name:

System Name: Combined Federal Campaign Information, DOT/TSC.

System location:

System Location: Department of Transportation (DOT),
Transportation Systems Center (TSC),
Office of the Director, DTS-1,
Kendall Square,
Cambridge, MA 02142.

Categories of individuals covered by the system:

Categories of Individuals: All TSC employees.

Categories of records in the system:

Categories of Records: A record of how much, if anything, each employee has contributed.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: The general purpose of this system is to gather and disseminate statistics and information on the donations to the Combined Federal Campaign.

See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Storage: Form filled out by keyman.

Retrievability:

Retrievability: Indexed by employee's name.

Safeguards:

Safeguards: Records are maintained in locked file cabinet.

Retention and disposal:

Retention and Disposal: Records are maintained for five years and then destroyed by shredding.

System manager(s) and address:

System Manager: Director,
Department of Transportation,
Transportation Systems Center,
Director, DTS-1,
Kendall Square,
Cambridge, MA 02142,

Notification procedure:

Notification Procedure: Information may be obtained from the System Manager.

Record access procedures:

Record Access Procedure: Requests from individuals should be addressed to the System Manager.

Contesting record procedures:

Contesting Record Procedure: An individual may gain access to his records by written request.

Contest of this data will be made to the System Manager.

If administrative resolvement is not satisfactory to the individual, appeals may be filed in writing with the Secretary of Transportation addressed to the General Counsel as follows:

Department of Transportation,
Office of the Secretary,
Office of the General Counsel,
400 7th Street, SW,
Washington, DC 20590.

Record source categories:

Record Source Categories: Combined Federal Campaign forms filled out by employees.

DOT/TSC 709

System name:

System Name: Minority Information Files, DOT/TSC.

System location:

System Location: Department of Transportation (DOT),
Transportation Systems Center (TSC),
Civil Rights Officer, DTS-86.
Kendall Square,
Cambridge, MA 02142.

Categories of individuals covered by the system:

Categories of Individuals: TSC minority employees.

Potential minority hires in New England.

Categories of records in the system:

Categories of Records: Counselor records, potential employee applications, minority skills bank, ADP reports - minority evaluation, personnel changes, minority reports, skills bank - resume card file, minority training records.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: The general purpose of these files is for: Use by the Civil Rights Office in DOT, administrative reference, and statistical reporting.

See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Storage: Card files, paper records, ADP reports.

Retrievability:

Retrievability: Indexed by name, skills, standard personnel subject classification.

Safeguards:

Safeguards: Records are maintained in locked file cabinet.

Retention and disposal:

Retention and Disposal: Records are maintained for 2 years and then destroyed.

System manager(s) and address:

System Manager: Civil Rights Officer, DTS-86,
Department of Transportation,
Transportation Systems Center,
Kendall Square,
Cambridge, MA 02142.

Notification procedure:

Notification Procedure: Information may be obtained from the System Manager.

Record access procedures:

Record Access Procedure: Requests from individuals should be addressed to the System Manager.

Contesting record procedures:

Contesting Record Procedure: An individual may gain access to his records by written request.

Contest of this data will be made to the System Manager.

If administrative resolvement is not satisfactory to the individual, appeals may be filed in writing with the Secretary of Transportation addressed to the General Counsel as follows:

Department of Transportation,
Office of the Secretary,
Office of the General Counsel,
400 7th Street, SW,
Washington, DC 20590.

Record source categories:

Record Source Categories: Equal Opportunity Officer.

Equal Opportunity Counselors.

Personnel Office.

Individual potential federal employees.

DOT/TSC 711

System name:

System Name: Blood Donor Information File, DOT/TSC.

System location:

System Location: Department of Transportation (DOT),
Transportation Systems Center (TSC),
Facilities Division, DTS-83,
Kendall Square,
Cambridge, MA 02142.

Categories of individuals covered by the system:

Categories of Individuals: All TSC employees and on-site contractor personnel.

Categories of records in the system:

Categories of Records: Blood Donors Phone Book (name, organization and telephone number of donor).

Blood Donors Schedule.

Requests for Blood Form (from hospital for employee or dependent).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: The general purposes of these records is for the donation of blood by TSC employees and on-site contractor personnel to ensure coverage for themselves, spouses, dependent children, parents and grandparents of both employee and spouse, and all other people living in the employee's household for whom the member has responsibility.

The routine use of this system of records is to respond to requests for blood from employees and their dependents by furnishing information to the Red Cross to ensure the availability of blood.

See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Storage; Paper record.

Retrievability:

Retrievability: Indexed by employee's name.

Safeguards:

Safeguards: Records maintained in locked file cabinet.

Retention and disposal:

Retention and Disposal: Blood Donors Phone Book and Blood Donors Schedule maintained for one year and then destroyed. Request for Blood Form maintained until individual terminates employment with TSC, records are then destroyed.

System manager(s) and address:

System Manager: Chief, Facilities Division, DTS-83,
Department of Transportation,
Transportation Systems Center,
Kendall Square,
Cambridge, MA 02142.

Notification procedure:

Notification Procedure: Information may be obtained from the System Manager.

Record access procedures:

Record Access Procedure: Requests from individuals should be addressed to the System Manager.

Contesting record procedures:

Contesting Record Procedure: An individual may gain access to his data by written request.

Contest of this data will be made to the System Manager.

If administrative resolvement is not satisfactory to the individual, appeals may be filed with the Secretary of Transportation addressed to the General Counsel as follows:

Department of Transportation,
Office of the Secretary,
Office ot the General Counsel,
400 7th Street, SW,
Washington, DC 20590.

Record source categories:

Record Source Categories: Blood Donors Phone Book and Blood Donors Schedule are filled out by solicitors.

Request for Blood Form completed by employee or dependent requesting blood.

DOT/TSC 712

System name:

System Name: Automated Personnel/Communications/Security System, DOT/TSC.

System location:

System Location: Department of Transportation (DOT),
Transportation Systems Center (TSC),
Computer Center, DTS-33
Kendall Square,
Cambridge, MA 02142.

Categories of individuals covered by the system:

Categories of Individuals: All TSC employees and tenants from other government agencies.

Categories of records in the system:

Categories of Records: Contains the pertinent information for activities involved with Personnel, Communications, and Security.

Contains information about an individual relating to:
Social security number.
Salary,
Birthdate.
Veteran preference.
Tenure.
Handicap.
Grade.
Marital status.
Service computation date.
Home address and telephone number.
TSC location including building and telephone number.
Security clearance level and date granted.
CSC title and classification code.
Competitive level.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: The general purposes of this system are intended for internal management and control, including:

Administrative reference.

Source for management information for producing summary statistics and registers in support of the Personnel, Communications and Security functions.

See Prefatory Statement of General Routine Uses.

Disclosure to consumer reporting agencies:

Disclosures pursuant to 5 USC 552a(b)(12): Disclosures may be made from this systems to 'consumer reporting agencies' (collecting on behalf of the U.S. Govt.) as defined in the Fair Credit Reporting Act (15 USC 1681a(f)) or the Federal Claims Collection Act of 1982 (31 USC 3701(a)(3)).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Storage: Punched cards, magnetic tape and disk.

Retrievability:

Retrievability: Indexed by employee's number.

Safeguards:

Safeguards: Access to the systems and their associated data banks is available through the utilization of the unique project and programmer numbers, and the passwords known only by the authorized custodians.

Access to reports is controlled by the Reports Distribution function of the Administrative Directorate on a need-to-know basis. For normal working requirements, the reports are distributed to the functional areas responsible for the data generation.

Access to the computer room and its associated areas where data and reports are stored is delineated in the TSC ADP Facility Document on Safeguards and Controls.

Retention and disposal:

Retention and Disposal: The systems are permanent unless replaced.

The data banks are related to both fiscal year and calendar year activity. Subsequent to the appropriate period, the data banks become either part of the history file of the system or are maintained by themselves for historical reasons.

Data records are deleted from the data banks on an as-required basis, and subsequently are eliminated from associated reports.

Reports used as daily working papers are retained only until updated reports are produced and then the old reports are discarded. Official closing reports corresponding to month-end, fiscal-year-end and calendar year-end periods are retained for longer periods and are not subject to any rigid disposal procedure.

System manager(s) and address:

System Manager: Associate Director of Administration, DTS-80,
Department of Transportation,
Transportation Systems Center,
Kendall Square,
Cambridge, MA 02142.

Notification procedure:

Notification Procedure: Information may be obtained through the Associate Director of Administration from the:

Department of Transportation,
Transportation Systems Center,
Chief, Computer Center, DTS-43,
Kendall Square,
Cambridge, MA 02142.

Record access procedures:

Record Access Procedure: Requests from individuals should be addressed to the System Manager.

Contesting record procedures:

Contesting Record Procedure: An individual may gain access to his data by written request.

Contest of this data will be made to the System Manager.

If administrative resolvement is not satisfactory to the individual, appeals may be filed in writing with the Secretary of Transportation addressed to the General Counsel as follows:

Department of Transportation,
Office of the Secretary,
Office of the General Counsel,
400 7th Street, SW,
Washington, DC 20590.

Record source categories:

Record Source Categories: Employee, Personnel Office, Communications Office, Security Office.

DOT/TSC 713

System name:

System Name: Employee - Manpower Distribution System, DOT/TSC.

System location:

System Location: Department of Transportation (DOT),
Transportation Systems Center (TSC),
Finance and Administrative Services Division,
Accounting Branch, DTS-823,
Kendall Square,
Cambridge, MA 02142.

Categories of individuals covered by the system:

Categories of Individuals: All TSC employees.

Categories of records in the system:

Categories of Records: Payroll and pay administration records pertaining to TSC employees for personal services, consisting of manpower distribution cards, retirement records, time and attendance reports, withholding tax and savings bank records, ADP reports, etc.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: The general purposes of these records are intended for internal management and control; to charge labor to the appropriate direct or overhead job orders.

The routine uses of these records are as follows:
Transfer of information to the Department of Labor,
Transfer of payroll history 7/1/70 to 10/4/80.
See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Storage: Payroll and Manpower Distribution forms, cards, registers, basic documents and other paper records, including ADP printouts.

Retrievability:

Retrievability: Indexed by employee's name and number.

Safeguards:

Safeguards: Employee's payroll folders are maintained in a locked file cabinet.

Payroll office is locked during other than normal working hours.

Manpower Distribution records are maintained in a locked file cabinet.

Access to and use of all these records are limited to individual employee and those persons whose official duties require such access.

Retention and disposal:

Retention and Disposal: Payroll System Records common to all federal agencies are retained and disposed of in accordance with General Records Schedule (GRS) No. 2.

Manpower Distribution cards are maintained one fiscal year and then forwarded to the Federal Records Center (FRC) where they are destroyed after 2

All ADP reports are maintained one fiscal year and then additional years, destroyed except the year-end reports which are maintained three fiscal years and then forwarded to the FRC where they are destroyed in accordance with GRS No. 2.

System manager(s) and address:

System Manager: Chief, Finance and Admin. Services Division, DTS-82,
Department of Transportation,
Transportation Systems Center,
Kendall Square,
Cambridge, MA 02142.

Notification procedure:

Notification Procedure: Information may be obtained from the System Manager.

Record access procedures:

Record Access Procedure: Requests from individuals should be addressed to the Systems Manager.

Contesting record procedures:

Contesting Record Procedure: An individual may gain access to his data by written request.

Contest of this data will be made to the System Manager.

If administrative resolvement is not satisfactory to the individual, appeals may be filed in writing with the Secretary of Transportation addressed to the General Counsel as follows:

Department of Transportation,
Office of the Secretary,
Office of the General Counsel,
400 7th Street, SW,
Washington, DC 20590.

Record source categories:

Record Source Categories: Basic payroll and manpower documents (standard and TSC forms); duplicate copies provided by Personnel and Training Division; individual employee on whom record is maintained.

DOT/TSC 714

System name:

System Name: Health Unit Employee Medical Records, DOT/TSC.

System location:

System Location:
Department of Transportation (DOT),
Transportation Systems Center (TSC),
Human Resources Management Division, DTS-84,
Health Unit/Building 1, 9th Floor,
Kendall Square,
Cambridge, MA 02142.

Categories of individuals covered by the system:

Categories of Individuals: TSC employees and support service contractor personnel.

Categories of records in the system:

Categories of Records: Individual Health Record Cards.
Individual Health Record Case Files.
Register of Visits.
Laser Eye Tests and Government Driver's Tests.
Pre-employment Physical Examinations, Health Justification Placement Records, Disability Retirement Examinations.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: The general purposes of these records are to maintain a medical history of any TSC employee, including contractor personnel, who receives services from the Health Unit; ensure applicants for licenses to drive Government vehicles meet physical requirements; and lasers are not adversely affecting employee's eyes.

The routine uses of these records are to respond to requests from other Doctors, Universities and Insurance Companies, and to submit medical reports to the Department of Labor, Office of Employees Compensation, to meet requirements of the Occupational Safety and Health Act of 1970 and DOT/TSC Safety Program.

See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Storage: Cards, forms, logs and other paper records.

Retrievability:

Retrievability: Indexed by employee's name.

Safeguards:

Safeguards: Records are maintained in locked file cabinets and room secured when no one is there.

Information from records is provided only with consent of employee.

Retention and disposal:

Retention and Disposal: (In accordance with GRS No. 1):

Individual Health Record Cards are maintained until 6 years after date of last entry on the card.

Individual Health Record Case Files are maintained until 6 years after date of last papers in the file.

Registers of visits maintained until 2 years after last date in log or register.

Upon termination of employment with TSC, latest Laser Eye Tests and Government Driver's Tests records are combined with Health Record Case Files and disposed of as part of these files.

Pre-employment Physical Examinations, Health Justification Placement Records, and Disability Retirement Examinations become part of the official personnel folder (OPF) upon separation, and are transferred to the NPRS, St. Louis, MO., 30 days after separation, where they are disposed of in accordance with GRS No. 1, Item 1.

System manager(s) and address:

System Manager: Chief, Human Resources Management Division, DTS-84,

Department of Transportation,
Transportation Systems Center,
Kendall Square,
Cambridge, MA 02142.

Notification procedure:

Notification Procedure: Information may be obtained through the Chief, Human Resources Management Division, from resident physician or nurse, TSC Health Unit.

Record access procedures:

Record Access Procedure: Request from individuals should be addressed to the System Manager.

Contesting record procedures:

Contesting Record Procedure: An individual may gain access to his data by written request.

Contest of this data will be made to the System Manager.

If administrative resolvement is not satisfactory to the individual, appeals may be filed in writing with the Secretary of Transportation addressed to the General Counsel as follows:

Department of Transportation,
Office of the Secretary,
Office of the General Counsel,
400 7th Street, SW,
Washington, DC 20590.

Record source categories:

Record Source Categories: Employee.
Health Unit Doctor/Nurse.
TSC Safety Officer.

DOT/TSC 715

System name:

System Name: Bi-Weekly Personnel Status Report, DOT/TSC.

System location:

System Location: Department of Transportation (DOT),
Transportation Systems Center (TSC),
Human Resources Management Division, DTS-84,
Kendall Square,
Cambridge, MA 02142.

Categories of individuals covered by the system:

Categories of Individuals: All TSC employees.

Categories of records in the system:

Categories of Records: Name, grade and title.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: The general purpose of this system is to dispense personnel management information in order to control billets.

See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Storage: Paper records.

Retrievability:

Retrievability: Chronologically.

Safeguards:

Safeguards: Records are maintained in a cabinet.

Retention and disposal:

Retention and Disposal: Records are maintained indefinitely.

System manager(s) and address:

System Manager: Chief, Human Resources Management Division, DTS-84,
Department of Transportation,
Transportation Systems Center,
Kendall Square,
Cambridge, MA 02142.

Notification procedure:

Notification Procedure: Information may be obtained from the System Manager.

Record access procedures:

Record Access Procedure: Requests from individuals should be addressed to the System Manager.

Contesting record procedures:

Contesting Record Procedure: An individual may gain access to his records by written request.

Contest of this data will be made to the System Manager.

If administrative resolvement is not satisfactory to the individual, appeals may be filed in writing with the Secretary of Transportation addressed to the General Counsel as follows:

Department of Transportation,
Office of the Secretary,
Office of the General Counsel,
400 7th Street, SW,
Washington, DC 20590.

Record source categories:

Record Source Categories: Standard Form 50's are the source of the records.

DOT/TSC 716

System name:

System Name: UMTA/Technology Sharing Mailing List, DOT/TSC.

System location:

System Location: Department of Transportation (DOT),
Transportation Systems Center (TSC),
Office of Information Resources
Technology Sharing Office, DTS-151
Kendall Square
Cambridge, MA 02142

Categories of individuals covered by the system:

Categories of Individuals: Government officials and transportation professionals who have requested reports or have been selected by UMTA or TSC to receive reports and conference notifications.

Categories of records in the system:

Categories of Records: These records contain names, job titles, organizations, suborganizations and addresses. In addition, there are special categories which allow for entering the following information for each record in the data base: Organization Affiliation, Modal Information Need/Type of Document, and Subject Informational Need.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: To identify target audiences who have a need for specific project results or who have expressed an interest in receiving copies of project documentation; and to disseminate programmatic results in an efficient and effective manner. Uses of special codes -- organizational affiliation, modal informational need, and subject informational need -- will allow for a more efficient selection of audiences for specific types of reports, will permit analyzses of information needs, and estimates of report quantities needed. To communicate plans for scheduled conferences to likely participants and disseminate conference proceedings if applicable. To prepare mailing labels. Records are subject to examination by federal officials concerned with the dissemination of programmatic results or conference notification, but are not disclosed to members of the public (except through publication in conference proceedings of names of individuals who actually participated in each conference).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Storage: Records are maintained in a computerized data base. Disc and tape records, paper copies of coding forms, and listings of specific target groups identified to receive a publication are maintained at the U.S. Department of Transportation's Transportation Systems Center (TSC). Upon request, a listing of the target audience for a specific publication may be forwarded to the appropriate federal official responsible for the dissemination of the report.

Retrievability:

Retrievability: By any attribute contained in the data base -- alphabetically by name, address or special attribute codes.

Safeguards:

Safeguards: Access is restricted to UMTA and TSC officials who are involved in the dissemination of programmatic results and/or notification of planned conferences. Terminal operators or contractors, if designated by TSC, may access the system to enter data, generate edit checks to assure data has been entered correctly, and generate paper copies of specific audiences for examination by a federal official. Access to the electronic data base is controlled by the computer telephone number, and name of individual responsible for the data base. Internally, the system is software protected so that people without these combinations of codes cannot even examine the data, let alone use it or modify it. Names are removed when the

Postal Service reports an incorrect address with no forwarding address or when individuals request removal.

Retention and disposal:

Rentention and Disposal: Records are kept on tape and disc. Deleted names and addresses are discarded completely.

System manager(s) and address:

System Manager: Chief, Technology Sharing Office, DTS-31.
Department of Transportation
Transportation Systems Center
Kendall Square
Cambridge, MA 02142

Notification procedure:

Notification Procedure: Individuals may contact system manager to confirm whether or not their name and address is contained in the system.

Record access procedures:

Record Access Procedures: Same as notification procedure.

Contesting record procedures:

Contesting Record Procedures: Contest of this data will be made to the System Manager. If administrative resolvement is not satisfactory to the individual, appeals may be filed in writing with the Secretary of Transportation addressed to the General Counsel as follows:
Department of Transportation
Office of the Secretary
Office of the General Counsel
400 7th Street, SW
Washington, DC 20590

Record source categories:

Record Source Categories: Names of individuals who attended conferences and individuals who have requested conference proceedings. Names of individuals who have requested copies of publications pertaining to specific projects. Various Departmental mailing lists such as: Transit Properties, Planning Agencies, Transportation and Planning Associations.

DOT/UMTA 175

System name:

System Name: Personnel Convenience Files, DOT/UMTA.

System location:

System Location: Department of Transportation (DOT),
Urban Mass Transportation Administration (UMTA),
Systems are located at:
Region I,
Regional Administrator, UMTA,
c/o Transportation Systems Center,
Technology Building
55 Broadway,
Cambridge, MA 02142.
Region II,
Regional Administrator, UMTA,
26 Federal Plaza, Suite 14-110
New York, NY 10278
Region III,
Regional Administrator, UMTA,
434 Walnut Street, Suite 1010,
Philadelphia, PA 19106.
Region IV,
Regional Administrator, UMTA,
1720 Peachtree Road, NW, Suite 400,
Atlanta, GA 30309.
Region V,
Regional Administrator, UMTA,
300 South Wacker Drive - Suite 1720
Chicago, IL 60606.
Region VI,
Regional Administrator, UMTA,
819 Taylor Street, Suite 9A32,
Fort Worth, TX 76102.
Region VII,
Regional Administrator, UMTA,
6301 Rockhill Road - Suite 100,
Kansas City, MO 64131.
Region VIII,
Regional Administrator, UMTA,
Prudential Plaza - Suite 1822,
1050 17th Street,
Denver, CO 80265.
Region IX,
Regional Administrator, UMTA,
211 Main Street
San Francisco, CA 94111,
Region X,
Regional Administrator, UMTA,
915 Second Avenue,
Suite 3142, Federal Building,
Seattle, WA 98174.

Categories of individuals covered by the system:

Categories of Individuals: UMTA employees.

Categories of records in the system:

Categories of Records: Standard Form 171.
Resumes.
Personnel Action Forms.
Position Descriptions.
Performance evaluation forms.
Written performance standards.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: Personal Use.
Personnel Reference Manual.
Statistical Information.
Technical Information.
See Prefatory Statement of General Routine Uses.

Disclosure to consumer reporting agencies:

Disclosures pursuant to 5 USC 552a(b)(12): Disclosures may be made from this systems to 'consumer reporting agencies' (collecting on behalf of the U.S. Govt.) as defined in the Fair Credit Reporting Act (15 USC 1681a(f)) or the Federal Claims Collection Act of 1982 (31 USC 3701(a)(3)).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Storage: Records are originals or copies of documents.

Retrievability:

Retrievability: Retrieved by name.

Safeguards:

Safeguards: Maintained in locked file cabinets.

Retention and disposal:

Retention and Disposal: Retained until termination of employment and then shredded.

System manager(s) and address:

System Manager: Appropriate Associate Administrator or Regional Office (addresses same as in 'System Location').

Notification procedure:

Notification Procedure: Inquiries are addressed to the System Manager (addresses same as in 'System Location').

Record access procedures:

Record Access Procedure: Access is permitted by written or personal request.

Direct control is maintained by the System Manager.

Contesting record procedures:

Contesting Record Procedure: Contest of these records is at the Headquarters' level, addressed as follows:
Department of Transportation,
Urban Mass Transportation Administration,
Attention: Office of Personnel, UAD-60,
400 7th Street, SW,
Washington, DC 20590. Unsatisfactory resolvement by the individual may be appealed in writing to the Secretary of Transportation addressed as follows:
Department of Transportation,
Urban Mass Transportation Administration
Office of the Administrator,
400 7th Street, SW, Room 9324,
Washington, DC 20590.

Record source categories:

Personnel Action Forms as completed by the employee or prospective employee.

DOT/UMTA 176

System name:

System Name: Blood-Donor File, DOT/UMTA.

System location:

System Location: Department of Transportation (DOT),
Urban Mass Transportation Administration (UMTA),
Office of Administration,
Office of Personnel, UAD-30
400 7th Street, SW, Room 7405,
Washington, DC 20590.

Categories of individuals covered by the system:

Categories of Individuals: UMTA employees.

Categories of records in the system:

Categories of Records: Record of employee's donation to UMTA/Red Cross Blood Program.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: Computing participation in Blood Program identifying donors by blood types.

See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Storage: Records are maintained by telephone cardex.

Retrievability:

Retrievability: Access by name.

Safeguards:

Safeguards: Maintained in locked office during non-work hours.

Retention and disposal:

Retention and Disposal: Only information on current employees is maintained. Card and information slips are destroyed in the year following blood quota/program year.

System manager(s) and address:

System Manager: UMTA Blood Program Coordinator (Director of Personnel, address as above in 'System Location').

Notification procedure:

Notification Procedure: Verbal notification from System Manager.

Record access procedures:

Record Access Procedure: Upon verbal request to System Manager.

Contesting record procedures:

Contesting Record Procedure: Record access not contested. Contact System Manager to contest content.

Record source categories:

Record Source Categories: Red Cross Donor Registration Forms as completed by UMTA employee.

DOT/UMTA 177

System name:

System Name: UMTA-Sponsored Reports Author File, DOT/UMTA.

System location:

System Location: Department of Transportation (DOT),
Urban Mass Transportation Administration (UMTA),
Office of Technical Assistance,
Information Services Staff, URT-7
400 7th Street, SW
Washington, DC 20590.

Categories of individuals covered by the system:

Categories of Individuals: Contributing authors of UMTA sponsored reports.

Categories of records in the system:

Categories of Records: Author's name and address of organization at time of report submission to UMTA.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: For technical information dissemination.

See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Storage: Records are maintained on card file.

Retrievability:

Retrievability: Access by author's name or corporate author.
Access by author's organization.
Access by NTIS number
Access by report title.
Access by project number.
Access by geographical location of research.

Safeguards:

Safeguards: Available for use under control of System Manager. Card files are maintained in a locked office.

Retention and disposal:

Retention and Disposal: Retained as archive files of UMTA-sponsored report information.

System manager(s) and address:

System Manager: Chief, Information Service Staff, URT-7, (address as in 'System Location' above).

Notification procedure:

Notification Procedure: Inquiries are addressed to the System Manager, URT-7 (address as in 'System Location ' above).

Record access procedures:

Record Access Procedure: Access is permitted by written or personal request. Direct control is maintained by the System Manager.

Contesting record procedures:

Contesting Record Procedure: Contest of these records is at the Headquarter's level, (i.e., to the System Manager).

Unsatisfactory resolvement by the individual may be appealed in writing to the Secretary of Transportation addressed as follows:

Department of Transportation,
Urban Mass Transportation Administration,
Office of the Administrator,
400 7th Street, SW, Room 9324,
Washington, DC 20590.

Record source categories:

Record Source Categories: Authors of UMTA-sponsored reports.

DOT/UMTA 178

System name:

System Name: Minority Recruitment File, DOT/UMTA.

System Location: Department of Transportation (DOT),
Urban Mass Transportation Administration (UMTA).
Office of Civil Rights,
400 7th Street, SW, Room 7410
Washington, DC 20590.

Categories of individuals covered by the system:

Categories of Individuals: Minority applicants interested in UMTA employment.

Categories of records in the system:

Categories of Records: Resumes and Personal Qualifications Statements (S.F. 171).

Summary sheets summarizing general information on each applicant.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: Referrals for UMTA position vacancies.

See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Storage: Records are maintained in original and photocopied form.

Retrievability:

Retrievability: Retrieved by number assigned to applicant.

Safeguards:

Safeguards: Source documents are maintained in the Office of Civil Rights storage facilities.

Only persons authorized by the Director of Civil Rights or the Chief, Division of Internal Programs, are permitted access to these files.

Retention and disposal:

Retention and Disposal: Records held for a year's period at which time applicants are requested to update their forms; those forms updated are retained and the forms of those non-responding destroyed.

System manager(s) and address:

System Manager: Director, Office of Civil Rights, UCR-1
Department of Transportation,
Urban Mass Transportation Administration,
Office of Civil Rights,

400 7th Street, SW, Room 7410
Washington, DC 20590.

Notification procedure:

Notification Procedure: Inquiries are addressed to the System Manager.

Record access procedures:

Record Access Procedure: Access is permitted by written or personal request. Direct control is maintained by the System Manager.

Contesting record procedures:

Contesting Record Procedure: Contest of these records is at Headquarter's level (i.e., to the System Manager at the address shown in 'System Manager' above).

Unsatisfactory resolvement by the individual may be appealed in writing to the Secretary of Transportation addressed as follows:

Department of Transportation,
Urban Mass Transportation Administration,
Office of the Administrator,
400 7th Street, SW, Room 9324,
Washington, DC 20590.

Record source categories:

Record Source Categories: Resumes and Personal Qualifications Statements (S.F. 171) submitted by applicants.

Resumes and Personal Qualifications Statements (S.F. 171) submitted by the DOT Office of Civil Rights, DOT modal administrations, and other Federal agencies.

Established recruitment sources, e.g., community organizations, national civil rights groups, professional societies, colleges and universities, etc.

DOT/UMTA 180

System name:

System Name: Occupational Safety and Health Accident Reporting System, DOT/UMTA.

System location:

System Location: Department of Transportation (DOT),
Urban Mass Transportation Administration (UMTA),
Personnel Office, UAD-30,
400 7th Street, SW, Room 47405,
Washington, DC 20590.

Categories of individuals covered by the system:

Categories of Individuals: Any UMTA employee involved in an accident while on duty status which results in injury to an individual or property damage.

Categories of records in the system:

Categories of Records: This system contains documents pertaining to occupational accidents involving injury to employees and/or non-employees. It will also contain documents pertaining to accidents involving employees of UMTA when no injury is involved but property damage has occurred.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: Accumulate accident information and statistics per DOT Order.

Develop accident cause trends.

For accident reports.

For accident prevention program.

See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Storage: Records are maintained in a metal file cabinet.

Retrievability:

Retrievability: Folders are in alphabetic order by name.

Safeguards:

Safeguards: File cabinets are located in records room which has a security approved lock on door.

Retention and disposal:

Retention and Disposal: Records are maintained for five years and then destroyed by tearing or shredding.

System manager(s) and address:

System Manager: Director, Office of Personnel, UAD-30
Department of Transportation,
Urban Mass Transportation Administration,
400 7th Street, SW, Room 7405,
Washington, DC 20590.

Notification procedure:

Notification Procedure: Inquiries should be addressed to the System Manager at the address above.

If in person, proper identification will be required.

If written, notarized signature and social security number of the individual involved in the accident must be presented.

Record access procedures:

Record Access Procedure: Same as 'Notification Procedure.'

Contesting record procedures:

Contesting Record Procedure: Same as 'Notification Procedure.'

Record source categories:

Record Source Categories: Individuals involved in accidents.

Witnesses to accidents.

Supervisor of the UMTA employee involved in an accident.

Doctors of medical facility where treated.

DOT/UMTA 190

System name:

System Name: Employee Travel Records, DOT/UMTA.

System location:

System Location: Department of Transportation (DOT),
Urban Mass Transportation Administration (UMTA),
Office of Financial Management,
Accounting Division, UFM-20
400 7th Street, SW
Washington, DC 20590.

Categories of individuals covered by the system:

Categories of Individuals: All UMTA employees.

Private persons, congressional committee members or other persons issued invitational travel orders to confer on government matters.

Categories of records in the system:

Categories of Records: Individual travel folders.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: Maintain accounting records.

Analysis of travel trends.

See Prefatory Statement of General Routine Uses.

Disclosure to consumer reporting agencies:

Disclosures pursuant to 5 USC 552a(b)(12): Disclosures may be made from this systems to 'consumer reporting agencies' (collecting on behalf of the U.S. Govt.) as defined in the Fair Credit Reporting Act (15 USC 1681a(f)) or the Federal Claims Collection Act of 1982 (31 USC 3701(a)(3)).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Storage: Records are maintained in a file cabinet secured with lock and key.

Retrievability:

Retrievability: System is indexed by name.

Safeguards:

Safeguards: Individuals requesting individual travel folders are screened by Accounting Branch personnel.

Records are maintained by Accounting Branch personnel in secured file.

Retention and disposal:

Retention and Disposal: Retained three years, then forwarded to Federal Records Center with other accounting records.

System manager(s) and address:

System Manager: Chief, Accounting Division, UFM-20
Urban Mass Transportation Administration (UMTA),
Office of Financial Management,
Accounting Division, UFM-20
400 7th Street, SW
Washington, DC 20590.

Notification procedure:

Notification Procedure: Individuals may contact the System Manager to confirm whether or not the system contains a record on them.

Record access procedures:

Record Access Procedure: An individual may gain access to his records by request to the System Manager.

Contesting record procedures:

Contesting Record Procedure: Content of these records may be settled with the System Manager. If this is unsatisfactory to the individual, the person may appeal in writing to the Secretary of Transportation addressed to the following:

Department of Transportation,
Urban Mass Transportation Administration,
Office of the Chief Counsel,
400 7th Street, SW, Room 9320,
Washington, DC 20590.

Record source categories:

Record Source Categories: Travel orders, individual travel vouchers.

DOT/UMTA 191

System name:

System Name: Travel Advance File, DOT/UMTA.

System location:

System Location: Department of Transportation (DOT),
Urban Mass Transportation Administration (UMTA),
Office of Financial Management,
Accounting Division, UFM-20
400 7th Street, SW,
Washington, DC 20590.

Categories of individuals covered by the system:

Categories of Individuals: Recipients of travel advances.

Categories of records in the system:

Categories of Records: Records of travel advances and liquidation and repayment thereof.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: Maintain accounting records.
Ensure collection of amounts due the United States.
See Prefatory Statement of General Routine Uses.

Disclosure to consumer reporting agencies:

Disclosures pursuant to 5 USC 552a(b)(12): Disclosures may be made from this systems to 'consumer reporting agencies' (collecting on behalf of the U.S. Govt.) as defined in the Fair Credit Reporting Act (15 USC 1681a(f)) or the Federal Claims Collection Act of 1982 (31 USC 3701(a)(3)).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Storage: Maintained on 5 x 8 card form.

Retrievability:

Retrievability: By name.

Safeguards:

Safeguards: Records are maintained by Accounting Branch personnel in locked file.

Retention and disposal:

Retention and Disposal: Retained three years then forwarded to Federal Records Center with other accounting records.

System manager(s) and address:

System Manager: Chief, Accounting Division, UFM-20
Urban Mass Transportation Administration (UMTA),
Office of Financial Management,
Accounting Division, UFM-20
400 7th Street, SW,
Washington, DC 20590.

Notification procedure:

Notification Procedure: Individuals may contact the System Manager to confirm whether or not the system contains records on them.

Record access procedures:

Record Access Procedure: An individual may gain access to his records by request to the System Manager.

Contesting record procedures:

Contesting Record Procedure: Content of these records may be settled with the System Manager. If this is unsatisfactory to the individual, the person may appeal in writing to the Secretary of Transportation, addressed to the following:

Department of Transportation,
Urban Mass Transportation Administration,
Office of the Chief Counsel,
400 7th Street, SW, Room 9320,
Washington, DC 20590.

Record source categories:

Record Source Categories: Travel advance card signed by individual.

DOT/UMTA 192

System name:

System Name: Urban Transportation Planning System (UTPS) Address File, DOT/UMTA.

System location:

System Location: Department of Transportation (DOT),
Urban Mass Transportation Administration (UMTA),
Office of Technical Assistance
Office of Methods and Support, Methods Division, URT-41
400 7th Street, SW, Room 6107.
Washington, DC 20590.

Categories of individuals covered by the system:

Categories of Individuals: UTPS users.
Persons indicating continuing interest in UTPS developments.
Federal Highway Administration (FHWA) Planning Package users.

Categories of records in the system:

Categories of Records: Individual's name, business address, telephone number, UTPS or FHWA Planning Package version date, UTPS course/symposium/conference attendance.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: For technical information dissemination.
See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Storage: Records are maintained in a computer file.

Retrievability:

Retrievability: Access by computer terminal by any item.

Safeguards:

Safeguards: Available for use under the control of the System Manager.
Computer file is protected by account number and code words.

Retention and disposal:

Retention and Disposal: Records are retained until notified that individual no longer desires information and then record is destroyed.

System manager(s) and address:

System Manager: Chief, Methods Division, URT-41
Urban Mass Transportation Administration (UMTA),
Office of Technical Assistance
Office of Methods and Support, Methods Division, URT-41
400 7th Street, SW, Room 6107.
Washington DC 20590.

Notification procedure:

Notification Procedure: Inquiries are addressed to the System Manager, UTP-40 (address same as above).

Record access procedures:

Record Access Procedure: Direct control is maintained by the System Manager.

Contesting record procedures:

Contesting Record Procedure: Contest of these records is at Headquarter's level (i.e. the System Manager). Individual may appeal adverse decision to the Secretary of Transportation, addressed as follows:

Department of Transportation,
Urban Mass Transportation Administration,
Office of the Administrator,
400 7th Street, SW, Room 9324,
Washington, DC 20590.

Record source categories:

Record Source Categories: UTPS order forms, UTPS course registration forms, letter and/or verbal request to be place on mailing list.

DOT/UMTA 193

System name:

System Name: Docket, DOT/UMTA.

System location:

System Location: Department of Transportation (DOT),
Urban Mass Transportation Administration (UMTA),

Office of the Chief Counsel,
400 7th Street, SW, Room 9228
Washington, DC 20590.

Categories of individuals covered by the system:

Categories of Individuals: Individuals who have commented on notices of UMTA appearing in the Federal Register; authors of reports which are added to the Docket as background information.

Categories of records in the system:

Categories of Records: Summary of the nature of the comment or the report, date written and filed, author affiliation.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: To gather information in response to rules promulgated by UMTA. Users are both UMTA staff members and the public.

See Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Storage: Legal-size file folders stored in file cabinets.

Retrievability:

Retrievability: By name and Docket number assigned at the time of receipt.

Safeguards:

Safeguards: None required. Publicly available file.

Retention and disposal:

Retention and Disposal: Indefinite.

System manager(s) and address:

System Manager: Docket Clerk, Office of the Chief Counsel,
Department of Transportation,
Urban Mass Transportation Administration,
400 7th Street, SW, Room 9228
Washington, DC 20590.

Notification procedure:

Record Access Procedure: Same as 'System Manager.'

Record access procedures:

Notification Procedure: Same as 'System Manager.'

Contesting record procedures:

Contesting Record Procedure: Same as 'System Manager.'

Record source categories:

Record Source Categories: Correspondence freely sent by the public to UMTA.

DOT/UMTA 194

System name:

System Name: Litigation and Claims Files, DOT/UMTA.

System location:

System Location: Department of Transportation (DOT),
Urban Mass Transportation Administration (UMTA),
Office of the Chief Counsel,
400 7th Street, SW, Room 9228
Washington, DC 20590.

Categories of individuals covered by the system:

Categories of Individuals: Persons who are involved in litigation or claims actions.

Categories of records in the system:

Categories of Records: Litigation and claim pleadings, discovery material, related documents (including background data on individuals involved), memoranda, correspondence, and other material necessary to respond to claims or prepare for litigation or hearings.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses: The documents are produced or used in and for litigation and claims.

These documents are disclosed to the Department of Justice.

See Prefatory Statement for General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: Legal-size file folders stored in lockable and unlockable file cabinets and individual attorney's offices.

Retrievability:

Retrievability: Retrieved by caption of the particular litigation.

Safeguards:

Safeguards: Data from these files are retrievable only by persons within the Office of the Chief Counsel.

Retention and disposal:

Retention and Disposal: Litigation files are kept for two years after case is closed, then sent to Federal Records Center. All other records in the system are retained indefinitely.

System manager(s) and address:

System Manager: Chief Counsel,
Department of Transportation,
Urban Mass Transportation Administration,
400 7th Street, SW, Room 9320,
Washington, DC 20590.

Notification procedure:

Notification Procedure: Individuals wishing to know if their records appear in this system of records may inquire in person or in writing to the System Manager.

Record access procedures:

Record Access Procedure: Individuals who desire access to the information about themselves in this system of records should contact or address their inquiries to the System Manager.

Contesting record procedures:

Contesting Record Procedure: Individuals who desire to contest information about themselves contained in this system of records should contact or address their inquiries to the System Manager.

Record source categories:

Record Source Categories: Federal courts, individuals and their attorneys, UMTA records, litigation files, etc.

DOT/UMTA 195

System name:

System Name: Confidential Statement of Employment and Financial Interests, DOT/UMTA.

System location:

System Location: Department of Transportation, (DOT),
Urban Mass Transportation Administration, (UMTA),
Office of the Chief Counsel,
400 7th Street, SW, Room 9228
Washington, DC 20590.

Categories of individuals covered by the system:

Categories of Individuals: Employees of the Urban Mass Transportation Administration in supervisory positions where a conflict of interest or the appearance of a conflict of interest might occur. Also included in this category are consultants and experts of the Urban Mass Transportation Administration.

Categories of records in the system:

Categories of Records: Information on employment and financial interests and debts.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Users: The information to be furnished is required by Executive Order 11222 and the requlations of the Office of Personnel Management issued thereunder and may not be disclosed except as the Commission or the agency head may determine.

The purpose of the use of this information is to avoid a conflict of interest or the appearance of a conflict of interest in UMTA employees.

See Prefatory Statement of General Routine Uses.

Disclosure to consumer reporting agencies:

Disclosures pursuant to 5 USC 552a(b)(12): Disclosures may be made from this systems to 'consumer reporting agencies' (collecting on behalf of the U.S. Govt.) as defined in the Fair Credit Reporting Act (15 USC 1681a(f)) or the Federal Claims Collection Act of 1982 (31 USC 3701(a)(3)).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and Practices:

Storage:

Storage: Legal size folders.

Retrievability:

Retrievability: Indexed by name in alphabetical sequence.

Safeguards:

Safeguards: Records are stored in locked file cabinet.

Retention and disposal:

Retention and Disposal: Records are kept 3 years and then transferred to Federal Records Center for 6 years.

System manager(s) and address:

System Manager: Chief Counsel,
Department of Transportation,
Urban Mass Transportation Administration,
Office of the Chief Counsel,
400 7th Street, SW, Room 9228,
Washington, DC 20590.

Notification procedure:

Notification Procedure: Department of Transportation,
Urban Mass Transportation Administration,
Office of the Chief Counsel,
400 7th Street, SW, Room 9228,
Washington, DC 20590.

Inquiries may be addressed to the Chief Counsel either in person or in writing. If written the individual must provide a notarized signature.

Record access procedures:

Record Access Procedure: Access to records requires the individual to contact in person or write the Chief Counsel at the address in 'Notification Procedure.'

Contesting record procedures:

Contesting Record Procedure: Contest of a record is also through the Chief Counsel.

Record source categories:

Record Source Categories: Statements of employment and financial interests, creditors, interests in real property are submitted by employees and consultants of the Urban Mass Transportation Administration.

Initial requests for submission of statements are through the Office of Personnel, Office of Administration, Urban Mass Transportation Administration.

Title 49-Transportation

Subtitle A-Office of the Secretary of Transportation

PART 10—MAINTENANCE OF AND ACCESS TO RECORDS PERTAINING TO INDIVIDUALS

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Authority: Pub. L. 93–579, sec. 9, Department of Transportation Act, Pub. L. 89–670; 49 U.S.C. 1657.

Source: 45 FR 8993, Feb. 11, 1980, unless otherwise noted.

Subpart A—Applicability and Policy

§ 10.1 Applicability.

(a) This part implements section 552a of Title 5, United States Code, as well as other provisions of the Privacy Act of 1974, and prescribes rules governing the availability of those records of the Department of Transportation which relate to citizens of the United States and aliens lawfully admitted for permanent residence.

(b) Appendices B through J to this part:

(1) Describe the places and times at which records are available for inspection and copying;

(2) Indicate the systems of records located at each facility;

(3) Identify the officials having authority to deny requests for disclosure of records under this part;

(4) Describe the procedures to be followed in requesting correction of a record in accordance with § 10.41 of this part; and

(5) List additional personal identification requirements in accordance with § 10.37 of this part.

(c) The Assistant Secretary for Administration may amend Appendix B to this part to reflect any changes in the items covered by that appendix, relating to the Office of the Secretary of Transportation. The Administrator concerned may amend the appendix applicable to that administration to reflect any changes in the terms covered by that appendix.

(d) Appendix A to this part identifies systems of records which are exempt from some of the requirements of this part, in accordance with Subpart G and 5 U.S.C. 552a (j) and (k). Appendix A may be amended by the General Counsel upon the request of the Assistant Secretary for Administration in the case of a system of records maintained by the Office of the Secretary or the Administrator concerned in the case of a system of records maintained by an operating administration.

§ 10.3 Policy.

It is the policy of the Department of Transportation to comply with the letter and the spirit of the Privacy Act (the Act). Therefore, personal data contained in each system of records is afforded adequate protection against unauthorized access, is as accurate as is feasible, and is limited to that necessary to accomplish the stated use or uses of the system. Further, no system of records is exempted from the requirements of the Act unless it is determined that to do so is in the best interest of the government with due concern for individual rights.

§ 10.5 Definitions.

Unless the context requires otherwise, the following definitions apply in this part:

"Administrator" means the head of an operating administration and includes the Commandant of the Coast Guard.

"Department" means the Department of Transportation, including the Office of the Secretary and the following operating administrations:

(a) The United States Coast Guard.

(b) The Federal Aviation Administration.

(c) The Federal Highway Administration.

(d) The Federal Railroad Administration.

(e) The National Highway Traffic Safety Administration.

(f) The Urban Mass Transportation Administration.

(g) The St. Lawrence Seaway Development Corporation.

(h) The Research and Special Programs Administration.

"General Counsel" means the General Counsel of the Department.

"Includes" means "includes but is not limited to;"

"Individual" means a citizen of the United States or an alien lawfully admitted;

"Maintain" includes maintain, collect, use, or disseminate;

"May" is used in a permissive sense to state authority or permission to do the act prescribed;

"Record" means any item, collection, or grouping of information about an individual that is maintained by the Department including, but not limited to, education, financial transactions, medical history, and criminal or employment history and that contains the name of, or an identifying number, symbol, or other identifying particular assigned to, the individual, such as a finger or voice print or a photograph;

"Secretary" means the Secretary of Transportation or any person to whom has been delegated authority in the matter concerned;

"System of records" means a group of any records under the control of the Department from which information is retrieved by the name of the individual or by some identifying number, symbol, or other identifying particular assigned to the individual;

"Statistical record" means a record in a system of records maintained for statistical research or reporting purposes only and not in whole or in part in making any determination about an identifiable individual, except as provided by section 8 of Title 13, United States Code; and

"Routine use" means, with respect to the disclosure of a record, the use of such record for a purpose which is compatible with the purpose for which it was collected.

Subpart B—General

§ 10.11 Administration of part.

Except as provided in Subpart F of this part, authority to administer this part in connection with the records of the Office of the Secretary is delegated to the Assistant Secretary for Administration. Authority to administer this part in connection with records in each operating administration is delegated to the Administrator concerned. An Administrator may redelegate to officers of that administration the authority to administer this part in connection with defined systems of records. An Administrator, however, may redelegate his or her duties under Subparts F and G of this part only to his or her deputy and to not more than one other officer who reports directly to the Administrator and who is located at the headquarters of that administration or at the same location as the majority of that administration's systems of records.

§ 10.13 Privacy Act Officer.

(a) To assist in the oversight of the implementation and continuing administration and in evaluating the effectiveness of compliance with the Act, the Assistant Secretary for Administration appoints a principal coordinating official with the title Privacy Act Officer, and one Privacy Act Coordinator from his staff.

(b) Inquiries concerning Privacy Act matters, or requests for assistance, may be addressed to the Privacy Act Officer (M–30), Department of Transportation, 400 Seventh Street, SW., Washington, D.C. 20590.

(c) Administrators may designate Privacy Act Officers or Coordinators to act as central coordinators within their administrations to assist them in administering the Act.

§ 10.15 Protection of records.

(a) No person may, without permission, remove any record made available for inspection or copying under this part from the place where it is made available. In addition, no person may steal, alter, mutilate, obliterate, or destroy, in whole or in part, such a record.

(b) Section 641 of Title 18 of the United States Code provides, in pertinent part, as follows:

> Whoever * * * steals, purloins, or knowingly converts to his use or the use of another, or without authority, sells, conveys or disposes of any record * * * or thing of value of the United States or of any department or agency thereof * * * shall be fined not more than $10,000 or imprisoned not more than 10 years or both; but if the value of such property does not exceed the sum of $100, he shall be fined not more than $1,000 or imprisoned not more than one year or both * * *.

(c) Section 2071 of Title 18 of the United States Code provides, in pertinent part, as follows:

> Whoever willfully and unlawfully conceals, removes, mutilates, obliterates, or destroys, or attempts to do so, or with intent to do so takes and carries away any record, proceeding, map, book, paper, document, or other thing, filed or deposited * * * in any public office, or with any * * * public officer of the United States, shall be fined not more than $2,000 or imprisoned not more than 3 years, or both.

Subpart C—Maintenance of Records

§ 10.21 General.

Except to the extent that a system of records is exempt in accordance with Subpart G of this part, the Department, with respect to each system of records:

(a) Maintains in its records only such information about an individual as is relevant and necessary to accomplish a purpose of the Department required to be accomplished by statute or by executive order of the President;

(b) Collects information to the greatest extent practicable directly from the subject individual when the information may result in adverse determinations about an individual's rights, benefits, or privileges under Federal programs;

(c) Informs each individual whom it asks to supply information, on the form which it uses to collect the information or on a separate form that can be retained by the individual of:

(1) The authority (whether granted by statute, or by executive order of the President) which authorizes the solicitation of the information and whether disclosure of such information is mandatory or voluntary;

(2) The principal purpose or purposes for which the information is intended to be used;

(3) The routine uses, as published pursuant to paragraph (d)(4) of this section, which may be made of the information; and

(4) The effects, if any, on the individual of not providing all or any part of the requested information;

(d) Publishes in the **Federal Register** at least annually a notice of the existence and character of the system of records, including:

(1) The name and location of the system;

(2) The categories of individuals on whom records are maintained in the system;

(3) The categories of records maintained in the system;

(4) Each routine use of the records contained in the system, including the categories of users and the purpose of such use;

(5) The policies and practices regarding storage, retrievability, access controls, retention, and disposal of the records;

(6) The title and business address of the official responsible for the system of records;

(7) The procedures whereby an individual can be notified upon request if the system of records contains a record pertaining to that individual;

(8) The procedures whereby an individual can be notified upon request how to gain access to any record pertaining to that individual contained in the system of records, and how to contest its content; and

(9) The categories of sources of records in the system;

(e) Maintains all records which are used in making any determination about any individual with such accuracy, relevancy, timeliness, and completeness as is reasonably necessary to assure fairness to the individual in the determination;

(f) Prior to disseminating any record about an individual to any person other than an agency, unless the dissemination is made pursuant to § 10.35(a)(2), makes reasonable efforts to assure that such records are accurate, complete, timely, and relevant for the Department's purposes;

(g) Maintains no record describing how any individual exercises rights guaranteed by the First Amendment unless:

(1) Expressly authorized by the General Counsel; and

(2) Expressly authorized by statute or by the individual about whom the record is maintained or unless pertinent to and within the scope of an authorized law enforcement activity;

(h) Makes reasonable efforts to serve notice on an individual when any record on such individual is made available to any person under compulsory legal process when such process becomes a matter of public record.

§ 10.23 Accounting of disclosures.

Each operating administration and the Office of the Secretary, with respect to each system of records under its control:

(a) Except for disclosures made under § 10.35(a) (1) or (2) of this part, keep an accurate accounting of:

(1) The date, nature, and purpose of each disclosure of a record to any person or to another agency made under § 10.33; and

(2) the name and address of the erson or agency to whom the isclosure is made;

(b) Retains the accounting made under aragraph (a) of this section for at least ive years or the life of the record, whichever is longer, after the disclosure or which the accounting is made;

(c) Except for disclosures made under 10.33(a)(7) of this part, makes the ccounting made under paragraph (a)(1) f this section available to the ndividual named in the record at his equest; and

(d) Informs any person or other gency about any correction or notation f dispute made by the agency in ccordance with § 10.45 of any record hat has been disclosed to the person or gency if an accounting of the disclosure as made.

10.25 Mailing lists.

An individual's name and address is ot sold or rented unless such action is pecifically authorized by law. This rovision shall not be construed to equire the withholding of names and ddresses otherwise permitted to be ade public.

10.27 Government contractors.

When the Department provides by a ntract for the operation by or on ehalf of the Department of a system of cords to accomplish a function of the epartment, the requirements of this rt are applied to such system. For rposes of Subpart I, **Criminal nalties**, any such contractor and any ployee of the contractor are nsidered, in accordance with section m) of the Privacy Act, to be employees the Department.

0.29 Social Security numbers.

(a) No individual is denied any right, nefit, or privilege provided by law cause of such individual's refusal to close his Social Security account mber.

(b) The provisions of paragraph (a) of s section do not apply to:

(1) Any disclosure which is required Federal statute; or

(2) The disclosure of a Social Security number when such disclosure was required under statute or regulation adopted prior to January 1, 1975, to verify the identity of an individual.

(c) When an individual is requested to disclose his or her Social Security account number, that individual is informed whether that disclosure is mandatory or voluntary, by what statutory or other authority such number is solicited, what uses are made of it, and what detriments, including delay in the location of records, are incurred if the number is not provided.

Subpart D—Availability of Records

§ 10.31 Requests for records.

(a) Ordinarily, each person desiring to determine whether a record pertaining to him or her is contained in a system of records covered by this part or desiring access to a record covered by this part, or to obtain a copy of such a record, shall make a request in writing as provided in the pertinent appendix to this part. In exceptional cases oral requests are accepted.

(b) Each request shall specify the name of the requesting individual and the system of records in which the subject record is located or thought to be located. If assistance is required to determine the system of records identification number assigned in the systems notices, such assistance may be obtained from the appropriate Privacy Act Officer or his Assistant. Refer to § 10.13 for procedures for requesting assistance.

§ 10.33 Acknowledgment and access.

(a) Requests by an individual to determine whether he or she is the subject of a record in a system of records, or requesting access to a record in a system of records, should be acknowledged within 10 working days, where the request is by mail. For requests in person, an immediate response is given, either granting access or informing such individual when notification or access may be expected.

(b) If the response granting access or copies of the record is made within 10 working days, separate acknowledgment is not required.

(c) Although requests for access to a record are normally in writing, *e.g.*, by filing a written form or letter, it is the option of the individual to mail or present the request form in person.

§ 10.35 Conditions of disclosure.

(a) No record which is contained within a system of records within the Department is disclosed by any means of communication to any person, or to another agency, except pursuant to a written request by, or with the prior written consent of, the individual to whom the record pertains, unless disclosure of the record would be:

(1) To those officers and employees of the Department who have a need for the record in the performance of their duties;

(2) Required under Part 7 of this title which implements the freedom of Information Act;

(3) For a routine use as defined in § 10.5 and described pursuant to § 10.21(d)(4);

(4) To the Bureau of the Census for purposes of planning or carrying out a census or survey or related activity pursuant to the provisions of Title 13, United States Code;

(5) To a recipient who has provided the Department with advance adequate written assurance that the record will be used solely as a statistical research or reporting record, and the record is to be transferred in a form that is not individually identifiable;

(6) To the National Archives of the United States as a record which has sufficient historical or other value to warrant its continued preservation by the U.S. Government, or for evaluation by the Administrator of General Services or his designee to determine whether the record has such value;

(7) To another agency or to an instrumentality of any governmental jurisdiction within or under the control of the United States for a civil or criminal law enforcement activity if the activity is authorized by law, and if the head of the agency or instrumentality has made a written request to the agency which maintains the record specifying the particular portion desired and the law enforcement activity for which the record is sought;

(8) To a person pursuant to a showing of compelling circumstances affecting the health or safety of an individual if upon such disclosure notification is transmitted to the last known address of such individual;

(9) To either House of the Congress, or to the extent of matters within its jurisdiction, any committee or subcommittee thereof, any joint committee of the Congress or subcommittee of any such joint committee;

(10) To the Comptroller General, or any authorized representatives, in the course of the performance of the duties of the General Accounting Office; or

(11) Pursuant to the order of a court of competent jurisdiction.

(b) Any individual requesting access to his or her record or to any information pertaining to that individual which is contained within a system of records within the Department has access to that record or information unless the system of records within which the record or information is contained is exempted from disclosure in accordance with Subpart G, provided, however, that nothing in this part is deemed to require that an individual be given access to any information compiled in reasonable anticipation of a civil action or proceeding. No exemption contained in Subpart G of Part 7 of the regulations of the Office of the Secretary is relied upon to withhold from an individual any record which is otherwise accessible to such individual under the provisions of this part. Any individual who is given access to a record or information pertaining to him is permitted to have a person of his or her own choosing accompany him and to have a copy made of all or any portion of the record or information in a form comprehensible to the individual. When deemed appropriate, the individual may be required to furnish a written statement authorizing discussion of his record in the accompanying person's presence.

(c) *Medical records.* Where requests are for access to medical records, including psychological records, the decision to release directly to the individual, or to withhold direct release, shall be made by a medical practitioner. Were the medical practitioner has ruled that direct release will do harm to the individual who is requesting access, normal release through the individual's chosen medical practitioner will be recommended. Final review and decision on appeals of disapprovals of direct release will rest with the General Counsel.

(d) Any person requesting access to records or to any information pertaining to other individuals is not granted such access unless that person can show that he or she has obtained permission for such access from the individual to whom the record pertains, unless the request comes within one of the exceptions of paragraph (a) of this section.

§ 10.37 Identification of individual making request.

No record or information contained in a system of records is disclosed to an individual nor is any correction of a record in accordance with Subpart E made at the request of an individual unless that individual demonstrates that he or she is who he or she claims to be. Normally, identity can be proven for individuals who appear in person by the presentation of an identifying document issued by a recognized organization (*e.g.*, a driver's license or a credit card) and which contains a means of verification such as a photograph or a signature. For requests by mail, the unique identifier used in the system should be included if known. Responses to mail requests are normally sent only to the name and address listed in the system of records. In the case of particularly sensitive records, additional identification requirements may be imposed. In such cases, these additional requirements are listed in the public notice for the system and in the appropriate appendix to this part.

§ 10.39 Location of records.

Each record made available under this subpart is available for inspection and copying during regular working hours at the place where it is located or, upon reasonable notice, at the document inspection facilities of the Office of the Secretary or each administration as set forth in the appendix applicable to that office or administration. Original records may be copied but may not be released from custody. Upon payment of the appropriate fee, copies are mailed to the requester.

Subpart E—Correction of Records

§ 10.41 Requests for correction of records.

Any person who desires to have a record pertaining to that person corrected shall submit a written request detailing the correction and the reasons the record should be so corrected. Requests for correction of records shall be submitted in accordance with the procedures of the organization set forth in Appendices B through J to this part for the appropriate operating element of the Department.

§ 10.43 Time limits.

Within ten days (excluding Saturday, Sunday, and legal holidays) of the receipt in accordance with § 10.41 of a request by an individual to amend a record pertaining to him, the receipt of the request is acknowledged in writing. If a determination is made to correct the record as requested, the correction is promptly made. If a determination is made not to correct a record the individual is informed promptly of the right to appeal in accordance with Subpart F. If an appeal of a refusal to correct a record is in accordance with Subpart F, a determination whether to correct the record is made within thirty days (excluding Saturday, Sunday and legal holidays) of the receipt of the appeal unless, for good cause shown the Administrator concerned, or in the case of the Office of the Secretary, the General Counsel, extends such period. Where an extension is taken, the party taking the appeal is promptly notified of such fact.

§ 10.45 Statement of disagreement.

If a determination is made not to amend a record, the requester is informed of the right to file a concise statement setting forth the reasons for disagreement with the refusal to amend. In any disclosure containing information about which an individual has filed such a statement of disagreement, the portions of the record which are disputed are noted clearly and copies of the statement of disagreement provided. If the Administrator concerned or his or her delegee, or in the case of the Office of the Secretary, the General Counsel or his or her delegee, deems it appropriate, copies of a concise statement of the reasons for not making the amendments requested may be provided along with the statement of disagreement.

Subpart F—Procedures for Reconsidering Decisions not to Grant Access to or Amend Records

§ 10.51 General.

(a) Each officer or employee of the Department who, upon a request by a member of the public for a record under this part, makes a determination that access is not to be granted or who determines not to amend a record in a requested manner, gives a written statement of the reasons for that determination to the person making the request and indicates the name and title or position of each person responsible for the denial of such request and the procedure for appeal within the Department.

(b) Any person:

(1) Who has been given a determination pursuant to paragraph (a) of this section, that access will not be granted; or

(2) Who has been informed that an amendment to a requested record will not be made;

may apply to the Administrator concerned, or in the case of the Office of the Secretary, to the General Counsel for review of that decision. A determination that access will not be granted or a record amended is not administratively final for the purposes of judicial review unless it was made by the Administrator concerned or his or her delegee, or the General Counsel or his or her delegee, as the case may be. Upon a determination that an appeal will be denied, the requester is informed in writing of the reasons for the determination, and the names and titles or positions of each person responsible for the determination, and that the determination may be appealed to the District Court of the United States in the district in which the complainant resides, or has his or her principal place of business, or in which the records are located, or in the District of Columbia.

(c) Each application for review must be made in writing and must include all information and arguments relied upon by the person making the request. It is recommended that such request be made within 180 days of the date of the initial denial; however, exceptions to this time period are considered in the event that a longer time is required for good reasons.

(d) Upon a determination that a request for the correction of a record will be denied, the requester is informed that he may file a concise statement in accordance with § 10.45.

(e) Each application for review must indicate that it is an appeal from a denial of a request made under the Privacy Act. The envelope in which the application is sent should be marked prominently with the words "Privacy Act." If these requirements are not met, the time limits described in § 10.43 do not begin to run until the application has been identified by an employee of the Department as an application under the Privacy Act and has been received by the appropriate office.

(f) The Administrator concerned, or the General Counsel, as the case may be, may require the person making the request to furnish additional information, or proof of factual allegations, and may order other proceedings appropriate in the circumstances. The decision of the Administrator concerned, or the General Counsel, as the case may be, as to the availability of the record or whether to amend the record is administratively final.

(g) The decision by the Administrator concerned, or the General Counsel, as the case may be, not to disclose a record under this part is considered a determination for the purposes of section 552a(g) of Title 5, United States Code, "Civil Remedies."

(h) Any final decision by an Administrator or his or her delegee, identified in Appendices B through J of this part, not to grant access to or amend a record under this part, is subject to concurrence by the General Counsel or his or her delegee.

Subpart G—Exemptions

§ 10.61 General exemptions.

(a) The Assistant Secretary for Administration, with regard to the Investigations Divisions; the Federal Aviation Administrator, with regard to the FAA's Investigative Record System (DOT/FAA 815) and also with regard to the police functions of the National Capital Airport Police; the Commandant of U.S. Coast Guard, with regard to the Intelligence and Security Division; and the Federal Railroad Administrator, with regard to the Alaska Railroad Special Agents, may exempt from any part of the Act and this part except subsections (b), (c)(1) and (2), (e)(4)(A), through (F), (e)(6), (7), (9), (10), and (11), and (i) of the Act, and implementing §§ 10.35, 10.23(a) and (b), 10.21(d)(1) through (6), 10.81, 10.83, and 10.85, any systems of records, or portions thereof, which they maintain which consist wholly of;

(1) Information compiled for the purpose of identifying individual criminal offenders and alleged offenders and consisting only of identifying data and notations of arrests, the nature and disposition of criminal charges, sentencing, confinement, release, and parole and probation status;

(2) Information compiled for the purpose of a criminal investigation, including reports of informants and investigators, and associated with an identifiable individual; or

(3) Reports identifiable to an individual compiled at any stage of the process of enforcement of the criminal laws from arrest or indictment through release from supervision.

(b) The requirements (including general notice) of sections 553(b)(1), (2) and (3), and (c) and (e) of Title 5, United States Code, will be met by publication in Appendix A to this part, which must, at a minimum, specify:

(1) The name of the system; and

(2) The specific provisions of the Act from which the system is to be exempted and the reasons therefor.

(c) Any decision to exempt a system of records under this section is subject to concurrence by the General Counsel.

(d) Any person may petition the Secretary in accordance with the provisions of Part 5 of this title, to institute a rulemaking proceeding for the amendment or repeal of any exemptions established under this section.

§ 10.63 Specific exemptions.

The Secretary or his or her delegee, in the case of the Office of the Secretary, or the Administrator or his or her delegee, in the case of an operating administration, may exempt any system of records which is maintained by the Office of the Secretary or the administration, as the case may be, from subsections (c)(3), (d), (e)(1), (e)(4)(G), (H), and (I), and (f) of the Act and implementing §§ 10.23(c); 10.35(b); 10.41; 10.43; 10.45; 10.21(a) and 10.21(d)(6), (7) and (8) of this part, under the following conditions;

(a) The system of records must consist of:

(1) Records subject to the provisions of section 552(b)(1) of Title 5, United States Code;

(2) Investigatory material compiled for law enforcement purposes, other than material within the scope of § 10.61(a)(2): Provided, however, That if any individual is denied any right, privilege, or benefit to which that individual would otherwise be entitled by Federal law, or for which that individual would otherwise be eligible, as a result of the maintenance of such material, such material is provided to such individual, except to the extent that the disclosure of such material would reveal the identity of a source who furnished information to the Government under an express promise that the identity of the source would be held in confidence, or, prior to September 27, 1975, the effective date of the Privacy Act of 1974, under an implied promise that the identity of the source would be held in confidence;

(3) Records maintained in connection with providing protective services to the President of the United States or other individuals pursuant to section 3056 of Title 18, United States Code;

(4) Records required by statute to be maintained and used solely as statistical records;

(5) Investigatory material compiled solely for the purpose of determining suitability, eligibility, or qualifications for Federal civilian employment, military service, Federal contracts, or access to classified information, but only to the extent that the disclosure of such material would reveal the identity of a source who furnished information to the Government under an express promise that the identity of the source would be held in confidence, or, prior to September 27, 1975, the effective date of the Privacy Act of 1974, under an implied promise that the identity of the source would be held in confidence;

(6) Testing or examination material used solely to determine individual qualifications for appointment or promotion in the Federal service the disclosure of which would compromise the objectivity or fairness of the testing or examination process; or

(7) Evaluation material used to determine potential for promotion in the armed services, but only to the extent that the disclosure of such material would reveal the identity of a source who furnished information to the Government under an express promise that the identity of the source would be held in confidence, or, prior to the effective date of this section, under an implied promise that the identity of the source would be held in confidence.

(b) The requirements (including general notice) of sections 553 (b) (1), (2) and (3), and (c) and (e) of Title 5, United States Code, will be met by publication in Appendix A to this part, which must, at a minimum, specify:

(1) The name of the systems; and

(2) The specific provisions of the Act from which the system is to be exempted and the reasons therefor.

(c) Any decision to exempt a system of records under this section is subject to the concurrence of the General Counsel.

(d) Any person may petition the Secretary in accordance with the provisions of 49 CFR Part 5, to institute a rulemaking for the amendment or repeal of any exemptions established under this section.

Subpart H—Fees

§ 10.71 General.

This subpart prescribes fees for services performed for the public under this part by the Department.

§ 10.73 Payment of fees.

The fees prescribed in this subpart may be paid by check, draft, or postal money order payable to the Treasury of the United States.

§ 10.75 Fee schedule.

(a) Copies of documents by photocopy or similar method:	
Each page not larger than 11 x 17 inches:	
First page	$.25
Each page	.05
(b) Copies of documents by typewriter: Each page	2.00
(c) Certified copies of documents:	
(1) With Department of Transportation seal	3.00
(2) True copy, without seal	1.00
(d) Photographs:	
(1) Black and white print (from negative)	1.25
(2) Black and white print (from print)	3.15
(3) Color print (from negative)	3.50
(4) Color print (from print)	6.25
(e) Duplicate data tapes—each reel of tape or fraction thereof	36.00

The applicant must furnish the necessary number of blank magnetic tapes. The tapes must be compatible for use in the supplier's computer system, ½ inch wide and 2,400 feet long, and must be capable of recording data at a density of 556 or 800 characters per inch. Unless otherwise designated, the tapes will be recorded at 556 CPI density. The Department of Transportation is not responsible for damaged tape. However, if the applicant furnishes a replacement for a damaged tape, the duplication process is completed at no additional charge.

(f) Microreproduction fees are as follows:	
(1) Microfilm copies, each 100 foot roll or less	$3.75
(2) Microfiche copies, each standard size sheet (4" x 6" containing up to 65 frames)	.15
(3) Aperture card to hard copy, each copy	.50
(4) 16mm microfilm to hard copy:	
First	.25
Additional	.07
(g) Computerline printer output, each 1,000 lines or fraction thereof	1.00

§ 10.77 Services performed without charge.

(a) No fee is charged for time spent in searching for records or reviewing or preparing correspondence related to records subject to this part.

(b) No fee is charged for documents furnished in response to:

(1) A request from an employee or former employee of the Department for copies of personnel records of the employee;

(2) A request from a Member of Congress for official use;

(3) A request from a State, territory, U.S. possession, county or municipal government, or an agency thereof;

(4) A request from a court that will serve as a substitute for the personal court appearance of an officer or employee of the Department;

(5) A request from a foreign government or an agency thereof, or an international organization.

(c) Documents are furnished without charge or at a reduced charge, if the Assistant Secretary of Administration or the Administrator concerned, as the case may be, determines that waiver or reduction of the fee is in the public interest, because furnishing the information can be considered as primarily benefiting the general public.

(d) When records are maintained in computer-readable form rather than human-readable form, one printed copy is made available which has been translated to human-readable form without a charge for translation but in accordance with § 10.75(g), regarding computer line-printed charges.

Subpart I—Criminal Penalties

§ 10.81 Improper disclosure.

Any officer or employee of the Department who by virtue of his or her employment or official position, has possession of, or access to, agency records which contain individually identifiable information the disclosure of which is prohibited by this part and who knowing that disclosure of the specific material is so prohibited, willfully discloses the material in any manner to any person or agency not entitled to receive it, is guilty of a misdemeanor and fined not more than $5,000 in accordance with 5 U.S.C. 552a(i)(1).

§ 10.83 Improper maintenance of records.

Any officer or employee of the Department who willfully maintains a system of records without meeting the notice requirements of § 10.21(d) of this part is guilty of a misdemeanor and fined not more than $5,000 in accordance with 5 U.S.C. 552a(i)(2).

§ 10.85 Wrongfully obtaining records.

Any person who knowingly and willfully requests or obtains any record concerning an individual from the Department under false pretenses is guilty of a misdemeanor and fined not more than $5,000 in accordance with 5 U.S.C. 552a(i)(3).

PT. 10, APP. A

Appendix A—Exemptions

Part I. General exemptions. Those portions of the following systems of records that consist of (a) information compiled for the purpose of identifying individual criminal offenders and alleged offenders and consisting only of identifying data and notations of arrests, the nature and disposition of criminal charges, sentencing, confinement, release, and parole and probation status; (b) information compiled for the purpose of a criminal investigation, including reports of informants and investigators, and associated with an identifiable individual; or (c) reports identifiable to an individual compiled at any stage of the process of enforcement of the criminal laws from arrest or indictment through release from supervision, are exempt from all parts of 5 U.S.C. 552a except subsections (b), (c) (1) and (2), (e)(4) (A) through (F), (e) (6), (7), (9), (10), and (11), and (i):

A. The Investigative Records System maintained by the Assistant Inspector General for Investigations, Office of the Inspector General, Office of the Secretary (DOT/OST 100).

B. Police Warrant Files and Central Files maintained by the Police Branches, Washington National and Dulles International Airports, Federal Aviation Administration (DOT/FAA 807).

C. Intelligence and Security Investigative Case Systems (DOT/CG 611), maintained by the Intelligence and Security Division, U.S. Coast Guard, at headquarters and district offices.

D. The Investigative Records System maintained by the Federal Aviation Administration regarding criminal investigations conducted by offices of Investigations and Security at headquarters and FAA Regional and Center Security Divisions (DOT/FAA 815).

E. Administrative Action and Legal Enforcement System, maintained by the Chief Counsel, Federal Aviation Administration (DOT/FAA 805).

The purpose of these exemptions is to prevent the compromise or impairment of criminal investigations conducted by the Office of Investigations and Security, OST; the Airport Police Branches; and the Investigations and Security Division, USCG; and the Office of Investigation and Security, Regional and Center Security Division of FAA.

Part II. Specific exemptions. A. The following systems of records are exempt from subsection (c)(3) (Accounting of Certain Disclosures), (d) (Access to Records), (e)(4) (G), (H), and (I) (Agency Requirements), and (f) (Agency Rules) of 5 U.S.C. 552a, to the extent that they contain investigatory material compiled for law enforcement purposes, in accordance with 5 U.S.C. 552a(k)(2):

1. Investigative Record System maintained by the Federal Aviation Administration at FAA Regional and Center Air Transportation Security Divisions; the Investigations and Security Division, Aeronautical Center; and Office of Investigations and Security, FAA Headquarters, Washington, D.C. (DOT/FAA 815).

2. FHWA Investigations Case File System, maintained by the Office of Program Review and Investigations, Federal Highway Administration (DOT/FHWA 214).

3. FHWA Motor Carrier Safety Proposed Civil and Criminal Enforcement Cases, maintained by the Bureau of Motor Carrier Safety, Federal Highway Administration (DOT/FHWA 204).

4. Recreational Boating and Law Enforcement Cases (DOT/CG 505), maintained by the Office of Boating Safety, U.S. Coast Guard.

5. Port Safety Reporting System—Individual Violation Histories (DOT/CG 561), maintained by the Office of Marine Environment and Systems, U.S. Coast Guard.

6. Merchant Vessel Casualty Reporting System (DOT/CG 590), maintained by the Office of Merchant Marine Safety, U.S. Coast Guard.

7. U.S. Merchant Seaman's Records (DOT/CG 589), maintained by the Office of Merchant Marine Safety, U.S. Coast Guard.

8. Intelligence and Security Investigative Case Systems (DOT/CG 611), maintained by he Office of Operations, U.S. Coast Guard.

9. Port Security Case System (DOT/CG 12), maintained by the Office of Operations, U.S. Coast Guard.

10. DOT/NHTSA Investigations of Alleged isconduct or Conflict of Interest, aintained by the Associate Administrator or Administration, National Highway Traffic afety Administration (DOT/NHTSA 458).

11. Investigations of Violations of Marine afety Laws (DOT/CG 587), maintained by e Office of Merchant Marine Safety, U.S. oast Guard.

12. Civil Aviation Security System (DOT/AA 813), maintained by the Civil Aviation ecurity Service, Federal Aviation dministration.

The purpose of these exemptions is to protect investigatory materials compiled for law enforcement purposes. Disclosure of such material would hamper law enforcement by prematurely disclosing the knowledge of illegal activity and the evidentiary basis for possible enforcement actions.

B. The following systems of records are exempt from subsections (c)(3) (Accounting of Certain Disclosures), and (d) (Access to Records) of 5 U.S.C. 552a:

1. Alaska Railroad Security and Freight Claims Investigatory Files maintained by the Alaska Railroad, Federal Railroad Administration (DOT/FRA 102).

2. Administrative Action and Legal Enforcement System, maintained by the Chief Counsel, Federal Aviation Administration (DOT/FAA 805).

3. Investigative Records System, maintained by the Assistant Inspector General for Investigations in the Office of the Inspector General (DOT/OST 100).

The purpose of these exemptions is to prevent the compromise or impairment of law enforcement investigations by alerting individuals that they are the subject of investigation, and to prevent the disclosure of the identity or sources of information promised confidentiality, in accordance with 5 U.S.C. 552a(k)(2).

C. The system of records known as the Alaska Railroad Examination of Operating Personnel, maintained by the Alaska Railroad, Federal Railroad Administration (DOT/FRA 100), is exempt from the provisions of subsection (d) of 5 U.S.C. 552a. The release of these records would compromise their value as impartial measurement standards for appointment and promotion within the Federal Service.

D. Those portions of the following systems of records consisting of investigatory material compiled for the purpose of determining suitability, eligibility, or qualifications for Federal civilian employment, military service, or access to classified information or used to determine potential for promotion in the armed services, are exempt from sections (c)(3) (Accounting of Certain Disclosures), (d) (Access to Records), (e)(4) (G), (H), and (I) (Agency Requirements), and (f) (Agency Rules) of 5 U.S.C. 552a to the extent that disclosure of such material would reveal the identity of a source who provided information to the Government under an express or, prior to September 27, 1975, an implied promise of confidentiality (5 U.S.C. 552a(k) (5) and (7)):

1. Investigative Records System, maintained by the Assistant Inspector General for Investigations in the Office of the Inspector General (DOT/OST 100).

2. Intelligence and Security Investigative Case System (DOT/CG 611), maintained by the Office of Operations, U.S. Coast Guard.

3. Officer Selection and Appointment System (DOT/CG 625), maintained by the Office of Personnel, U.S. Coast Guard.

4. Official Officer Service Records (DOT/CG 626), maintained by the Office of Personnel, U.S. Coast Guard.

5. Enlisted Recruiting Selection Record System maintained by the Office of Personnel, U.S. Coast Guard.

6. Officer, Enlisted, and Recruiting Selection Test Files (DOT/CG 628), maintained by the Office of Personnel, U.S. Coast Guard.

7. Enlisted Personnel Record System, (DOT/CG 629), maintained by the Office of Personnel, U.S. Coast Guard.

8. Coast Guard Personnel Security Program (DOT/CG 633), maintained by the Office of Personnel, U.S. Coast Guard.

9. Official Coast Guard Reserve Service Record System (DOT/CG 676), maintained by the Office of Reserve, U.S. Coast Guard.

10. Investigative Record System, maintained by the Federal Aviation Administration at FAA Regional and Center Air Transportation Security Divisions; the Investigations and Security Division, Aeronautical Center; and Office of Investigations and Security, Headquarters, Washington, D.C. (DOT/FAA 815).

11. Military Training and Education Records (DOT/CG 622), maintained by the Office of Personnel, U.S. Coast Guard.

12. Files pursuant to suitability for employment with National Highway Traffic Safety Administration (DOT/NHTSA–457) containing confidential investigatory reports.

The purpose of these exemptions is to prevent disclosure of the identities of sources who provide information to the government concerning the suitability, eligibility, or qualifications of individuals for Federal civilian employment, contracts, access to classified information, or appointment or promotion in the armed services, and who are expressly or, prior to September 27, 1975, implied promised confidentiality (5 U.S.C. 552a(k) (5) and (7)).

E. Those portions of the following systems of records consisting of testing or examination material used solely to determine individual qualifications for appointment or promotion in the Federal Service are exempt from subsections (c)(3) (Accounting of Certain Disclosures), (d) (Access to Records), (e)(4) (G), (H) and (I) (Agency Requirements), and (f) (Agency Rules) of 5 U.S.C. 552a:

1. Officer, Enlisted and Recruiting Selection Test Files (DOT/CG 628), maintained by the Office of Personnel, U.S. Coast Guard.

2. Official Coast Guard Reserve Service Record System (DOT/CG 676), maintained by the Office of Reserve, U.S. Coast Guard.

3. Military Training and Education Records (DOT/CG 622), maintained by the Office of Personnel, U.S. Coast Guard.

4. Reference Files (DOT/NHTSA 457), maintained by the National Highway Traffic Safety Administration personnel offices to determine fitness for employment prior to hiring.

The purpose of these exemptions is to preserve the value of these records as impartial measurement standards for appointment and promotion within the Federal service.

F. Those portions of the following systems of records which consist of information properly classified in the interest of national defense or foreign policy in accordance with 5 U.S.C. 552(b)(1) are exempt from sections (c)(3) (Accounting of Certain Disclosures), (d) (Access to Records), (e)(4) (G), (H) and (I) (Agency Requirements), and (f) (Agency Rules) of 5 U.S.C. 552a:

1. Investigative Record System maintained by the Assistant Inspector General for Investigations in the Office of the Inspector General (DOT/OST 100).

2. Personnel Security Records System, maintained by the Office of Investigations and Security, Office of the Secretary (DOT/OST 016).

3. Civil Aviation Security System (DOT/FAA 813), maintained by the Civil Aviation Security Service, Federal Aviation Administration.

The purpose of these exemptions is to prevent the disclosure of material authorized to be kept secret in the interest of national defense or foreign policy, in accordance with 5 U.S.C. 552(b)(1) and 552a(k)(1).

G. Those portions of the following systems of records which consist of information properly classified in the interest of national defense or foreign policy in accordance with 5 U.S.C. 552a(b)(1) are exempt from subsections (c)(3) (Accounting of Certain Disclosures) and (d) (Access to Records) of 5 U.S.C. 552a:

1. Investigative Records System (DOT/FAA 815), maintained by the Federal Aviation Administration at FAA Regional and Center Air Transportation Security Divisions; the Investigations and Security Division, Aeronautical Center; and Office of Investigations and Security, Headquarters, Washington, D.C.

The purpose of these exemptions is to prevent the disclosure of material authorized to be kept secret in the interest of national defense or foreign policy, in accordance with 5 U.S.C. 552(b)(1) and 552a(k)(1).

PT. 10, APP. B

Appendix B—Office of the Secretary

1. *Introduction.* This appendix, with respect to the Office of the Secretary:

a. Describes the places and times at which records are available for inspection and copying;

b. Indicates the systems of records maintained in the Office of the Secretary;

c. Identifies the officials having authority to deny requests for access to records;

d. Describes the procedures to be followed in requesting correction of a record; and

e. Describes identification requirements which may be in addition to those delineated in § 10.35 of these regulations.

An individual requiring assistance, concerning this appendix or systems maintained in the Office of the Secretary, may contact the Privacy Act Officer, or Privacy Act Coordinator, Office of the Assistant Secretary for Administration, M–20, 400 Seventh Street, SW., Washington, D.C. 20590.

2. *Availability for Inspection and Copying.* a. Records in systems maintained in the Office of the Secretary (OST) are available at 400 Seventh Street SW., Washington, D.C., except where otherwise noted:

(1) Records are maintained at 2100 Second Street SW., Washington, D.C., for the following systems:

(a) DOT/OST 011 Discrimination Complaint Investigative Files;

(b) DOT/OST 042 Technical Pipeline Safety Standards Committee.

(2) DOT/OST 013 Employee Management Files: Records for the employees at each location are located as delineated in the system notice.

(3) DOT/OST 015 Funds Management Records: Central records are maintained at 400 Seventh Street SW., Washington, D.C. Records for the applicable region are maintained in the office of each of the eleven Regional Emergency Transportation Coordinators, as delineated in the system notice.

(4) DOT/OST 022 National Defense Executive Reserve File: Complete records are maintained at 400 Seventh Street SW., Washington, D.C. Applicable records are maintained in a wide variety of field offices as delineated in the system notice.

(5) DOT/OST 028 Personnel Convenience Files: Employee records applicable to the Complaints Division of the Office of Civil Rights of the Office of the Secretary are located at 2100 Second Street SW., Washington, D.C. All other records are located at 400 Seventh Street SW., Washington, D.C.

(6) DOT/OST 043 Telephone Directory and Locator System: Records are stored on magnetic tape at 13 Massachusetts Avenue NW., Washington, D.C. However, access is controlled by the System Manager: Chief, Accounting Operations Center, Room 2228, 400 Seventh Street SW., Washington, D.C.

(7) DOT/OST 048 Transportation Research Activities Information System: Records are stored on magnetic tape at the Transportation Systems Center, Cambridge, Massachusetts. Individuals desiring access to their own personal data should contact the System Manager: Chief, Resources Management Division, DPA–20, Department of Transportation, 400 Seventh Street SW., Washington, D.C.

(8) DOT/OST 049 Transportation Research Information System: Records are maintained on magnetic tape at the Battelle Laboratories, Columbus, Ohio. Individuals desiring access to their own personal data should contact the System Manager: Chief, Resources Management Division, DPA–20, Department of Transportation, 400 Seventh Street SW., Washington, D.C.

(9) DOT/OST 050 Executive Team Cadre Listings: Records are maintained at 400 Seventh Street SW., Washington, D.C., and at the offices of the Regional Emergency Transportation Coordinators, as delineated in the system notice.

(10) Records are maintained at the Transportation Systems Center, Kendall Square, Cambridge, Massachusetts, for the following systems:

(a) DOT/TSC 700 Automated Management Information Systems;

(b) DOT/TSC 701 Employee Travel Records;

(c) DOT/TSC 702 Legal Counsel Information Files;

(d) DOT/TSC 703 Occupational Safety and Health Reporting System;

(e) DOT/TSC 704 Stand-by Personnel Information;

(f) DOT/TSC 706 Automated Planning System;

(g) DOT/TSC 707 Automated Manpower Distribution System;

(h) DOT/TSC 708 Combined Federal Campaign Information;

(i) DOT/TSC 709 Minority Information Files;

(j) DOT/TSC 711 Blood Donor Information File;

(k) DOT/TSC 712 Automated Payroll/Personnel/Communications/Security System;

(l) DOT/TSC 713 Employee Payroll-Manpower Distribution System;

(m) DOT/TSC 714 Health Unit Employee Medical Records;

(n) DOT/TSC 715 Bi-Weekly Personnel Status Report.

b. Records are available for inspection and copying at the applicable locations delineated above between the hours of 9 A.M. and 5:30 P.M., except Saturdays, Sundays, and holidays. Access to certain records may be restricted in accordance with exemptions applied and noticed in accordance with sections 3 (j) and (k) of the Privacy Act of 1974. Individuals desiring access to their own records should follow the instructions contained in the system notice published for each system of records. Requests for access shall be submitted to the System Manager having responsibility for the system in which the records are maintained, unless the system notice describing the system prescribes or permits submission to some other official or officials.

3. *Systems of Records.* A compilation of notices describing the systems of records maintained in the Department of Transportation is published annually in the **Federal Register.** The notices describing the systems maintained in the Office of the Secretary are published in a block within the overall compilation and each is identified by a three-digit number preceded by the acronym, OST; e.g., OST 013 (except those maintained at the Transportation Systems Center which uses the acronym, TSC; e.g., TSC 701). The basic compilation of system notices, for systems subject to the Privacy Act of 1974, which are maintained in the Office of the Secretary, is published in the **Federal Register** annually.

4. *Access to Records.* Requests for access to records are processed in accordance with the rules provided in Subpart D of these regulations.

a. A request from an individual for access to a record pertaining to such individual is granted promptly unless:

(1) The record was compiled in reasonable anticipation of a civil action or proceeding; or

(2) The system of records is one which has been exempted from the notification and access provisions of the Privacy Act by rulemaking; or

(3) The record is not part of a system of records required to be noticed in accordance with the provisions of the Privacy Act and is not otherwise required to be made available by a law or regulation; or

(4) The System Manager or other cognizant official determines that the particular circumstances justify denial of access; or

(5) The information requested is contained in and is inseparable from another individual's record.

b. When information sought from a system of records in the Office of the Secretary includes information that has been furnished by an operating element of the Department or by another agency, as the case may be, the Systems Manager or other cognizant official consults the operating element or the other agency, as the case may be, before granting access. If referral of the request to the operating element or the other agency, as the case may be, will provide a more expeditious decision with resulting probable access, the request may be referred to the operating element or the other agency, as the case may be, but the requester is notified of the referral.

c. When a Systems Manager or other cognizant official in the Office of the Secretary determines that a request for access should be denied, the request and the reason(s) for the determination are referred to the Assistant Secretary for Administration for decision. In the event of a decision to deny access, the Office of the Assistant Secretary for Administration notifies the requester in writing in accordance with section 10.51 of these regulations.

5. *Requests To Correct or Alter Records.* An individual may request that a record pertaining to such individual be amended to correct any portion thereof which such individual believes is not accurate, relevant, timely, or complete.

a. A request to amend a record must:

(1) Be in writing and signed by the individual to whom the record pertains;

(2) Be clearly marked "Request for Amendment of Record";

(3) Contain a statement that the request is being made under the provisions of the Privacy Act of 1974;

(4) Contain the name and address of the individual making the request;

(5) Specify the name and location of the systems of records, as set forth in the system notice, in which the record is maintained;

(6) Specify the title and business address of the official designated in the "Contesting Record Procedures" paragraph of the applicable system notice;

(7) Specify the particular record in the system which the individual is seeking to amend;

(8) Clearly state the specific changes which the individual wishes to make in the record and a concise explanation of the reason for the changes. If the individual wishes to correct or add any information, the request shall contain specific language making the desired correction or addition; and

(9) Be addressed to or delivered in person to the office of the official designated in the "Contesting Records Procedures" paragraph of the applicable system notice. A request delivered to an office in person must be delivered during the regular office hours of that office.

6. *Personal Identification Requirements.* Generally, the identification rules in section 135 of these regulations apply to systems maintained in the Office of the Secretary. In addition, specific requirements for some systems are delineated below:

a. The notarized signature of the requester is required for requests by mail for notification and access to records in the following systems:

(1) OST 001 General Employee Records System;

(2) OST 030 Personal Management Convenience Files.

(**Note**: An individual's social security number is an optional means of identification, which may be supplied in lieu of notarization. Social security numbers are used on these records as authorized under the provisions of Executive Order 9397, dated November 22, 1943.)

b. The notarized signature of the requester is required for requests by mail for notification and access to records in the following systems:

(1) OST 006 Confidential Statement of Employment and Financial Interests; and

(2) OST 037 Records of Confirmation Proceeding Requirements.

c. The number of the Federal Emergency Assignee Identification Card (SF 133) issued to the requester is required for requests by mail for notification and access to records in the following systems:

(1) OST 022 National Defense Executive Reserve File;

(2) OST 036 Planning Officials for Emergency Functions and;

(3) OST 050 Executive Team Cadre Listings.

d. The name of the applicable advisory committee is required for notification and access to records in the following system: OST 008 Departmental Advisory Committee Files.

PT. 10, APP. C

Appendix C—U.S. Coast Guard

1. *Introduction.* This appendix supplements the procedures set forth for the Department of Transportation in Subparts A through I of 49 CFR Part 10.

2. *Availability for Inspection and Copying.* a. Individuals who wish the Coast Guard to examine a system of records covered by this part to determine whether any records in the system contain information about them or who wish to gain access to or receive copies of records which contain information about them, should address written requests either to the appropriate system manager as listed in the annual description of Coast Guard record systems appearing in the **Federal Register** or to: Commandant (G-CMA), U.S. Coast Guard Headquarters, 400 Seventh Street SW., Washington, D.C. 20590. Requests may also be delivered in person to the above address between 7:30 A.M. and 4 P.M. (Monday through Friday, excluding holidays).

b. The Coast Guard acknowledges requests for notification of the existence of a record within ten working days (excluding Saturdays, Sundays and holidays) after receipt of a completed request. The Coast Guard makes every effort within 30 days of the receipt of a request for access to a record to:

(1) Make the record available;

(2) Notify the requester of the need for additional information; or

(3) Notify the requester of any denial, either in whole or in part, of access to a record. Para. 3 of this appendix sets forth the addresses of Coast Guard district offices and headquarters units where records in decentralized systems may be located.

3. *Systems of Records.* The annual notice of systems of records required by 5 U.S.C. 552a(e)(4) with respect to records maintained by the Coast Guard is set forth in the **Federal Register**. Assistance may be requested in exercising his or her rights by an individual addressing the Privacy Act Coordinator at one of the following U.S. Coast Guard offices nearest his residence:

a. Commander, 1st Coast Guard District, 150 Causeway Street, Boston, MA 02114.

b. Commander, 2nd Coast Guard District, Federal Building, 1520 Market Street, St. Louis, MO 63013.

c. Commander, 3rd Coast Guard District, Governors Island, New York, NY 10004.

d. Commander, 5th Coast Guard District, Federal Building, 431 Crawford Street, Portsmouth, VA 23705.

e. Commander, 7th Coast Guard District, Federal Building, 51 S.W. 1st Avenue, Miami, FL 33130.

f. Commander, 8th Coast Guard District, Customhouse, New Orleans, LA 70130.

g. Commander, 9th Coast Guard District, 1240 East 9th Street, Cleveland, OH 44199.

h. Commander, 11th Coast Guard District, Heartwell Building, 19 Pine Avenue, Long Beach, CA 90802.

i. Commander, 12th Coast Guard District, 630 Sansome Street, San Francisco, CA 94126.

j. Commander, 13th Coast Guard District, Federal Building, 915 Second Avenue, Seattle, WA 98174.

k. Commander, 14th Coast Guard District, P.O. Box 48, FPO San Francisco 96610.

l. Commander, 17th Coast Guard District, FPO Seattle 98771.

m. Superintendent, U.S. Coast Guard Academy, New London, CT 06320.

n. Commanding Officer, U.S. Coast Guard Yard, Curtis Bay, Baltimore, MD 21225.

o. Commanding Officer, U.S. Coast Guard Training Center, Governors Island, New York, NY 10004.

p. Commanding Officer, U.S. Coast Guard Training Center, Cape May, NJ 08204.

q. Commanding Officer, U.S. Coast Guard Training Center, Government Island, Alameda, CA 94501.

r. Commanding Officer, U.S. Coast Guard Supply Center, 830 3rd Avenue, Brooklyn, NY 11232.

s. Commanding Officer, U.S. Coast Guard Institute, P.O. Substation 18, Oklahoma City, OK 73169.

t. Commanding Officer, U.S. Coast Guard Aircraft Repair & Supply Center, Elizabeth City, NC 27909.

u. Commanding Officer, U.S. Coast Guard Aviation Training Center, Mobile, AL 36608.

v. Commanding Officer, U.S. Coast Guard Radio Station (NMH), 7223 Telegraph Road, Alexandria, VA 22310.

w. Commanding Officer, U.S. Coast Guard Reserve Training Center, Yorktown, VA 23490.

x. Officer in Charge, Record Depot, U.S. Coast Guard Air Station, Elizabeth City, NC 27909.

y. Commander, Coast Guard Activities, Europe, London, Box 50, FPO New York 09510.

z. Commanding Officer, U.S. Coast Guard Training Center, Petaluma, CA 94952.

aa. Commander, U.S. Coast Guard Air Base, Elizabeth City, NC 27909.

bb. Commanding Officer, U.S. Coast Guard Electronics, Engineering Center, Wildwood, NJ 08260.

cc. Commanding Officer, Research & Development Center, Avery Point, Groton, CT 06340.

dd. Commanding Officer, U.S. Coast Guard Oceanographic Unit, Building 159E, Navy Yard Annex, Washington, D.C. 20590.

4. *Access to Records.*

a. The Coast Guard honors only those requests for notification, access, or amendment made by:

(1) The individual to whom the record pertains;

(2) The parent or guardian of a minor to whom the record pertains;

(3) The legal guardian of a person to whom the record pertains when that person has been declared incompetent by reason of physical or mental disability by a court having jurisdiction of the matter; or

If made by a person other than the individual to whom the record pertains, the request must specify the relationship of the requester to that individual.

b. Written requests for information or amendment must be signed by the requester. Requests for access to records containing sensitive or detailed personnel information (including, but not limited to, earnings and tax statements, employee payroll records, employee grievance and appeal files, civilian, officer, and enlisted personnel files, and health and medical records (subject to the conditions of 49 CFR 10.33 (b)) may be required to contain the following notarized certification:

I, ————, do hereby certify that I am the individual to whom the record in question pertains.

(or)

I am the parent or guardian of the minor to whom the record in question pertains.

(or)

I am the legal guardian of the individual determined by a court to be incompetent to whom the record in question pertains.

(Notarization)

(Signature) ————————————

(Date)————————————

5. *Requests to Correct or Alter Records.* The official responsible for administering a system of records, in consultation as appropriate with the System Manager, Privacy Act Coordinator, and Privacy Act Officer, initially determines whether to grant requests under 49 CFR 10.41 to amend records. Requests must be made as provided in paragraph 2a. of this appendix. Requests for amendment must contain a complete description of the item sought to be changed and documentation to substantiate the grounds for the requested change. The Coast Guard acknowledges the receipt of completed requests for amendment within ten working days. As promptly as possible the Coast Guard advises the requester whether or not the change has been made, and in cases where a change has been made, transmits a copy of the amended record to the requester.

a. When a request for access to a record or amendment of a record is denied, in whole or in part, the manager of the system of records involved notifies the requester in writing, of the reasons for the denial and furnishes the requester a statement of the name and position or title of each person responsible for the denial. The requester also is advised of the right to file a written appeal of the adverse decision within 180 days of receipt of the initial denial. Appeals must be addressed to: Commandant (G-CMA), U.S. Coast Guard Headquarters, 400 Seventh Street, SW., Washington, D.C. 20590.

b. Within 30 working days of the receipt of a written appeal, the Commandant or his designee makes an independent review of the record and decides whether or not to make the requested disclosure or amendment. If the appeal is granted, the Coast Guard promptly notifies the requester of the decision in writing and transmits to the requester a copy of the record or amended record. If the appeal is denied, the Coast Guard promptly notifies the requester, in writing, of the reasons for the denial and furnishes the requester a statement of the name and position or title of each person responsible for the denial. The Coast Guard also informs the requester of the right to seek judicial review of the adverse decision pursuant to 5 U.S.C. 552a(g)(1).

c. In addition to appealing an adverse determination of a request to amend a record, the requester may file a concise "statement of disagreement" setting forth the reasons for disagreeing with the refusal of the Coast Guard to amend the record. The notification by the Coast Guard of the denial of an initial request for amendment or the denial of an administrative appeal for an amendment informs the requester of the right to file a statement of disagreement.

d. The Commandant of the Coast Guard, by Commandant Instruction 5212.11 (September 26, 1975), has redelegated to the Chief of Staff the authority under 49 CFR Part 10 to:

(1) Exempt systems of records from certain provisions of the Privacy Act;

(2) Make final administrative determinations not to disclose or amend a record; and

(3) Issue extensions of review time.

This authority may not be redelegated further.

6. *Personal Identification Requirements.*

a. When an individual requests notification, access, or amendment in person, he or she must show identification such as a driver's license, military or employment identification card, credit card, or medicare card. An individual requesting in person information about or amendment to a "sensitive" record may be required to complete the notarized certification set forth in paragraph 4.b of this appendix.

b. The Coast Guard may require more specific information in order to establish the identify of a requester. For example, the Coast Guard may require that a legal guardian or personal representative produce certified copies of court documents appointing him to his position. The Coast Guard may independently verify the identity of a requester by telephone contact with the requester, personal identification by Coast Guard employees who may know the requester, or any other lawful means considered appropriate under the circumstances.

c. An individual may be accompanied by a person of the individual's choosing while reviewing records to which he or she has been granted access, provided that the individual signs a statement authorizing the accompanying person to do so. An individual granted access to a record may be required to sign and notarize a statement authorizing the Coast Guard to release the record to a person (e.g., his attorney) designated by the individual.

d. No request for information or amendment is considered complete until all necessary identification material has been provided. No copies of records are provided to individuals until they pay appropriate fees as set forth in 49 CFR Subpart H.

PT. 10, APP. D

Appendix D—Federal Aviation Administration

1. *Introduction.* This appendix:

a. Describes the procedures for determining if an individual is the subject of a record maintained by the Federal Aviation Administration;

b. Describes the availability of records and prescribes requirements for identifying an individual who requests a record pertaining to him or her;

c. Prescribes procedures for granting access to an individual upon that individual's request for the record pertaining to him or her;

d. Prescribes procedures for reviewing a request from an individual concerning the amendment of any record pertaining to him or her;

e. Prescribes procedures for making a determination on the request of an individual for amendment of any record pertaining to him or her; and

f. Prescribes procedures for an appeal within the FAA of a determination not to grant access to or amendment of records.

2. *Availability for Inspection and Copying.* Records may be inspected at the FAA facility identified for the particular system of records appearing in the systems notices published in the **Federal Register.** These facilities are open to the public during regular business hours, except Saturdays, Sundays, and Federal holidays.

3. *Systems of Records.*

a. A list of FAA systems of records pertaining to the Privacy Act indicating the geographic locations and the responsible systems managers has been published in the **Federal Register** and appears as follows:

(1) September 19, 1977, on pages 47069–47088,

(2) August 28, 1978, on page 38511, and

(3) May 15, 1979, on pages 28439–28447

b. Any individual who is unable to determine in which FAA-maintained system the records pertaining to him or her may be found may submit a written request for assistance to the attention of the Privacy Act Coordinator located at the region or center nearest to his residence. The addresses for the regional and center facilities of the FAA are listed below:

(1) FAA Headquarters, 800 Independence Avenue SW., Washington, D.C. 20591;

(2) Alaskan Region, 632 Sixth Avenue, Anchorage, AK 99501;

(3) Central Region, 601 East 12th Street, Kansas City, MO 64106;

(4) Southern Region, 3400 Whipple Street, East Point, GA (Mailing address: P.O Box 20636, Atlanta, GA 30320);

(5) Southwest Region, 4400 Blue Mound Road (Mailing address: P.O. Box 1689, Fort Worth, TX 76101);

(6) Western Region, 5651 West Manchester Avenue (Mailing address: P.O. Box 92007, Los Angeles, CA 90009);

(7) Eastern Region, Federal Building, JFK International Airport, Jamaica, NY 11430;

(8) Pacific Region, 1833 Kalakaua Avenue (Mailing address: P.O. Box 4009, Honolulu, HI 96813);

(9) Aeronautical Center, 6400 South MacArthur Boulevard (Mailing address: P.O. Box 25082, Oklahoma City, OK 73125);

(10) National Aviation Facilities Experimental Center, Tilton Road, Route 563 (near Pomona, NJ), (Mailing address: Atlantic City, NJ 08405);

(11) New England Region, 12 New England Executive Park, Burlington, MA 01803;

(12) Great Lakes Region, 2300 East Devon, Des Plaines, IL 60018;

(13) Rocky Mountain Region, 10455 East 25th Avenue, Aurora, Colorado 80010; and

(14) Northwest Region, FAA Building, 9010 East Marginal Way South, King County International Airport (Boeing Field), Seattle, WA 98108.

4. *Access to Records.*

a. Any individual desiring to inspect a record or obtain a copy of a record pertaining to him or her must present a written request in accordance with the provisions of this section. An individual making a request under this section may either appear in person or submit a request by mail to the address and attention of the system manager as it appears in the list of systems of records published in the **Federal Register**. The individual must first determine in which system of records he or she believes the particular records pertaining to him or her are maintained by examining the categories of records and routine uses in the list of the systems of records published in the **Federal Register** and available at the addresses set forth in paragraph 3.b of this appendix.

b. The individual must include in the request the information necessary to identify the specific system of records as it appears in the list of the systems of records of the FAA published in the **Federal Register**.

c. Upon request by any individual to gain access to an FAA record that contains information pertaining to him or her, the FAA official responsible for the record informs the individual whether the requested record is exempt under Subpart G of this part.

d. An individual making a request under this section is permitted to inspect and have a copy made of any record pertaining to him or her in a form comprehensible to him or her, if:

(1) He or she has given identification in accordance with section 6 of this appendix;

(2) The record is not exempt under subpart G of this part; and

(3) The record was not compiled in reasonable anticipation of a civil action or proceeding. For medical records see § 10.35(d).

e. Notwithstanding paragraph d of this section, if an individual requesting a record pertaining to him or her is accompanied by a person of his or her own choosing to review the record, the individual making the request must submit a signed statement authorizing the discussion of the record in the presence of the accompanying person.

f. Each request for a record determined to be releasable under paragraph d of this section is complied with within ten days, excluding Saturdays, Sundays, and Federal holidays. If additional time is necessary to make the requested record comprehensible to the individual requesting it, the FAA official responsible for the record notifies the individual within ten days of the request of the estimated time required to fill the request.

g. Any individual whose request for access to a record pertaining to him or her is denied may file a written appeal to the Administrator, Federal Aviation Administration, 800 Independence Avenue SW., Washington, D.C. 20591. Appeals submitted under this section must comply with the requirements of § 10.51 of this part.

5. *Requests to Correct or Alter Records.*

a. Any individual may request an amendment of any record pertaining to him or her maintained by the FAA in a system of records, by submitting the request in writing to the attention of the FAA official responsible for the record at the address appearing in the list of systems of records published in the **Federal Register.**

b. Each request for an amendment of a record must be accompanied by a written explanation as to why the individual believes the present record is not accurate, timely, relevant, or complete. The individual making the request may submit any documentation he or she wishes in support of his request.

c. Upon receipt of a request for an amendment of a record, the FAA official responsible for the record reviews the record and supporting documentation and determines if there is a sufficient basis upon which to make a decision to make the requested amendment. In any case, the request must be acknowledged within 10 days.

d. If the FAA official responsible for the record determines under paragraph c. of this section that additional information is necessary before a decision can be made as to whether to make the requested amendment, the official notifies the individual making the request to amend specifying what additional information is necessary.

e. If the FAA official responsible for the record determines that the requested amendment should be made, the official amends the record, notifies the individual making the request, and sends to that individual a copy of the corrected record, as well as to other persons or agencies to whom the record may have been disclosed (See 49 CFR 10.23(d)).

f. If the FAA official responsible for the record determines that the requested amendment should be denied, the official forwards to his supervisor the request for amendment with all supporting documentation and reasons for the denial.

g. If the supervisor determines that the requested amendment should be made, the supervisor follows the procedures in paragraph e. of this section.

h. If the supervisor determines that the requested amendment should be denied, the supervisor notifies the individual making the request of the denial, the reasons therefor, and informs the individual of the FAA procedures for appealing the denial.

i. Any individual whose request for correction or alteration of a record pertaining to him or her is denied may file a written appeal to the Administrator, Federal Aviation Administration, 800 Independence Avenue SW., Washington, D.C. 20591. Appeals submitted under this section must comply with the requirements of § 10.51 of this part.

6. *Personal Identification Requirements.*

a. Each individual making a request under this appendix for a record pertaining to him or her must present appropriate identification before the requested record is released. Types of appropriate identification include:

(1) For requests made in person, a driver's license or employee identification card; and

(2) For requests made by mail, name (printed or typed, and signature) and date of birth, or the unique identifier used in the system of records.

b. If an individual cannot provide appropriate identification as required in paragraph 6.a of this appendix, or if the record requested is particularly sensitive, the FAA official responsible for the record may require the individual to sign a statement certifying his or her identity and understanding that knowingly and willfully to request or obtain any record concerning an individual from the FAA under false pretenses is a misdemeanor punishable by a fine of up to $5,000 as provided in 5 U.S.C. 552a(i)(3).

PT. 10, APP. E

Appendix E—Federal Highway Administration

1. *Introduction.* This appendix, with respect to the Federal Highway Administration (FHWA);

a. Describes the places and times at which records are available for inspection and copying;

b. Indicates the systems of records maintained in the FHWA;

c. Identifies the officials having authority to deny requests for access to records;

d. Describes the procedures to be followed in requesting correction of a record; and

e. Describes identification requirements which may be in addition to those delineated in paragraph 10.35 of these regulations.

2. *Availability for Inspection and Copy.* Places and times at which records are available for inspection and copying, and the system of records and systems managers having authority at each place.

a. *Headquarters:* The Federal Highway Administration, 400 7th Street SW., Washington, D.C. 20590. Time: 7:45 a.m.—4:15 p.m.

Systems of Records and Responsible Systems Managers:

1. Accounts Receivable DOT/FHWA-Chief General Ledger and Funds Control Section.

2. Applications for U.S. Government Motor Vehicle Operator's Identification Card (U.S. Government Drivers License) DOT/FHWA—Occupational Safety Engineer.

3. Driver Waiver File (BMCS) DOT/FHWA—Chief, Driver Requirements Branch.

4. Employee Utilization Monthly Report DOT/FHWA—Chief, Data Systems Division.

5. Investigation Case File DOT/FHWA—Chief, Investigations and Special Inquiry Division.

6. Medal of Honor File DOT/FHWA—Chief, Compliance Division.

7. Memorandum of Monthly Performance of Key Punch Operators DOT/FHWA—Chief, TCC Operation (Groups A and B).

8. Motor Carrier Accident File (BMCS) Property and Passenger—Chief, Accident Analysis Branch.

9. Occupational Safety and Health Accident Reporting System DOT/FHWA—Occupational Safety Engineer.

10. Payroll Administration DOT/FHWA—Chief, Payroll and Employee Records Section.

11. Personnel Records—(CSC Governmentwide) DOT/FHWA—Chief, Personnel Programs Division.

12. Travel Advance File DOT/FHWA—Chief, Voucher Review and Disbursement Section.

13. Travel Order (Change of Duty Station) DOT/FHWA—Chief, Voucher Review and Disbursement Section.

14. University and Industry Programs Coding and Filing Systems DOT/FHWA—Administrative Assistant—National Highway Institute.

15. Panel for Santa Monica Demonstration Project DOT/FHWA—Chief, Urban Planning Division.

b. *Regional Offices:* Region 1—Federal Highway Administration, Leo W. O'Brien Federal Building, Albany, New York 12207. Time: 8:00 a.m.–4:30 p.m.

Systems of Records and Responsible System Managers:

1. Applications for U.S. Government Motor Vehicle Operator's Identification Card (U.S. Government Drivers License)— DOT/FHWA—Executive Officer.

2. Motor Carrier Safety Proposed Civil and Criminal Enforcement Cases DOT/FHWA—Regional Counsel.

3. Travel Advance File— DOT/FHWA Executive Officer, Region 3—Federal Highway Administration, George H. Fallon Federal Office Building, 31 Hopkins Plaza, Baltimore, Maryland 21201. Time: 8:00 a.m.–4:30 p.m.

Systems of Records and Responsible Systems Managers:

1. Applications for U.S. Government Motor Vehicle Operator's Identification Card (U.S. Government Drivers License) DOT/FHWA—Executive Officer.

2. Motor Carrier Safety Proposed Civil and Criminal Enforcement Cases— DOT/FHWA—Regional Counsel.

3. Travel Advance File—DOT/FHWA—Executive Officer, Region 4—Federal Highway Administration, 1720 Peachtree Road, NW., Atlanta, Georgia 30309. Time: 7:45 a.m.–4:15 p.m.

Systems of Records and Responsible Systems Managers:

1. Applications for U.S. Government Motor Vehicle Operator's Identification Card (U.S. Government Drivers License) DOT/FHWA—Executive Officer.

2. Motor Carrier Safety Proposed Civil and Criminal Enforcement Cases—DOT/FHWA—Regional Counsel.

3. Travel Advance File—DOT/FHWA Executive Officer, Region 5—Federal Highway Administration, 18209 Dixie Highway, Homewood, Illinois 60430. Time: 7:30 a.m.–4:00 p.m.

Systems of Records and Responsible Systems Managers:

1. Applications for U.S. Government Motor Vehicle Operator's Identification Card (U.S. Government Drivers License) DOT/FHWA—Executive Officer.

2. Motor Carrier Safety Proposed Civil and Criminal Enforcement Cases—DOT/FHWA—Regional Counsel.

3. Travel Advance File—DOT/FHWA—Executive Officer. Region 6—Federal Highway Administration, 819 Taylor Street, Fort Worth, Texas 76102. Time: 8:00 a.m.–4:30 p.m.

Systems of Records and Responsible Systems Managers:

1. Applications for U.S. Government Motor Vehicle Operator's Identification Card (U.S. Government Drivers License) DOT/FHWA—Executive Officer.

2. Motor Carrier Safety Proposed Civil and Criminal Enforcement Cases—DOT/FHWA—Regional Counsel.

3. Travel Advance File—DOT/FHWA—Executive Officer, Region 7—Federal Highway Administration, 6301 Rockhill Road, Kansas City, Missouri 64131. Time: 7:45 a.m.–4:15 p.m.

Systems of Records and Responsible Systems Managers:

1. Applications for U.S. Government Motor Vehicle Operator's Identification Card (U.S. Government Drivers License) DOT/FHWA—Executive Officer.

2. Motor Carrier Safety Proposed Civil and Criminal Enforcement Cases—DOT/FHWA—Regional Counsel.

3. Travel Advance File—DOT/FHWA—Executive Officer. Region 8—Federal Highway Administration, P.O. Box 25246, Denver Federal Building Center, Denver, Colorado 80225. Time: 7:45 a.m.–4:15 p.m.

Systems of Records and Responsible Systems Managers:

1. Applications for U.S. Government Motor Vehicle Operator's Identification Card (U.S. Government Drivers License) DOT/FHWA—Executive Officer.

2. Motor Carrier Safety Proposed Civil and Criminal Enforcement Cases—DOT/FHWA—Regional Counsel.

3. Payroll Administration DOT/FHWA—Appropriate Finance Officer.

4. Travel Advance File—DOT/FHWA—Executive Officer. Region 9—Federal Highway Administration, 2 Embarcadero Center, P.O. Box 7616, San Francisco, California 94120. Time: 7:45 a.m.–4:15 p.m.

Systems of Records and Responsible Systems Managers:

1. Applications for U.S. Government Motor Vehicle Operator's Identification Card (U.S. Government Drivers License)—DOT/FHWA—Executive Officer.

2. Motor Carrier Safety Proposed Civil and Criminal Enforcement Cases—DOT/FHWA—Regional Counsel.

3. Travel Advance File DOT/FHWA—Executive Officer. Region 10—Federal Highway Administration, 222 SW. Morrison Street, Portland, Oregon 97204. Time: 8:00 a.m.–4:45 p.m.

Systems of Records and Responsible Systems Managers:

1. Applications for U.S. Government Motor Vehicle Operator's Identification Card (U.S. Government Drivers License)—DOT/FHWA—Executive Officer.

2. Travel Advance File—DOT/FHWA—Executive Officer. Region 15—Federal Highway Administration, 1000 North Glebe Road, Arlington, Virginia 22201. Time: 7:45 a.m.–4:15 p.m.

Systems of Records and Responsible Systems Managers:

Applications for U.S. Government Motor Vehicle Operator's Identification Card (U.S. Government Drivers License) DOT/FHWA—Executive Officer.

c. Division Offices (For location and hours of duty see 49 CFR Part 7).

Systems of Records and Responsible Systems Managers:

Applications for U.S. Government Motor Vehicle Operator's Identification Card (U.S. Government Drivers License) DOT/FHWA—Administrative Managers.

3. *Access to Records:*

a. Each individual desiring to determine whether a record pertaining to him or her is contained in a system of records, or desiring access to such record, or to obtain a copy of such record, shall make request to the appropriate System Manager. In appropriate circumstances, oral requests are acted upon. Each request must specify the name of the requesting individual and the system of records in which the subject record is located or thought to be located.

4. *Requests to Correct or Alter Records:*

a. The FHWA allows individuals to request amendment of their personal records to the extent that such amendment does not violate existing statutes, regulations, or administrative procedures. Requests to amend personnel records of active employees should be addressed to the responsible system managers specified in paragraph 2 above.

b. The System Managers provide written acknowledgment of the receipt of a request to amend a record to the individual within 10 days. However, if the request can be reviewed, processed and the individual notified of compliance or denial within the 10-day working period, no acknowledgment is required.

c. If the System Manager agrees with an individual's request to amend the person's record, the following steps are taken:

1. Correct the record accordingly.

2. Advise the individual in writing, and

3. If an accounting of disclosure has been made, advise all previous recipients of the record of the fact that the correction was made and the substance of the correction.

d. If the System Manager disagrees with all or any portion of the request to amend a record, he or she:

1. Proceeds as described above with respect to those portions of the record which will be amended.

2. Advises the individual of the refusal and the reason for not amending a record, indicating the name and title or position of each person responsible for the denial, and

3. Informs the individual of the right to appeal the decision not to amend a record to: Associate Administrator for Administration, Federal Highway Administration, Washington, D.C. 20590.

e. If after this review the FHWA refuses to amend the record on the individual requested, the FHWA advises the individual:

1. Of the refusal and the reason for it,

2. Of the individual's right to file a concise statement of the reasons for disagreeing with the decision of the FHWA,

3. The procedures for filing the statement of disagreement,

4. That the statement which is filed will be made available to anyone to whom the record is subsequently disclosed, and

5. Of the individual's right to seek judicial review of the FHWA's refusal to amend a record.

f. The final FHWA determination on the individual's request is concluded within 30 days of the receipt of the appeal unless for good cause shown, the Associate Administrator for Administration extends such period. Such final administrative decision addresses all information and arguments relied upon by the individual.

g. Each application for review by FHWA must indicate that it is an appeal from a denial of a request made under the Privacy Act. The envelope in which the application is sent should be marked prominently with the words "Privacy Act".

If these requirements are not met, the time limits described in § 10.43 do not begin until the application has been identified by an employee of the FHWA as an application under the Privacy Act and has been received by the appropriate office.

h. The Associate Administrator for Administration may require the person making a request to furnish additional information, or proof of factual allegations, and may order other appropriate proceedings. His or her decision as to the availability of a record or whether to amend a record is administratively final subject to the concurrence of the DOT General Counsel or his or her delegate. However, requests for review of denials of information contained in Government-wide systems of personnel records, which includes the FHWA Personnel Records System, are handled by the Civil Service Commission in accordance with 5 CFR 294.108 and 5 CFR 297.108.

i. If the Associate Administrator for Administration also refuses to grant access or to correct the individual's record, he or she advises the individual of:

1. The reason(s) for the refusal and the names, and titles or positions of each person responsible for the denial;

2. The individual's right to file a statement of disagreement; that the statement will be made available to anyone to whom the record is subsequently disclosed, and to prior recipients of the record (see § 10.23(d)), and

3. The right to bring suit in the District Court of the United States in the district in which the individual resides, the district in which his principal place of business is located, the district in which the record(s) is located, or the District of Columbia.

5. *Personal Identification Requirements:*

a. When a record is applied for in person, the person so applying must, unless personally known to the custodian of the records, furnish adequate identification. Such identification may consist of an employee identification card, Medicare Card, driver's license, or a similar document.

b. When a record is applied for by mail, sufficient information to identify the individual must be furnished, and a notarized statement as to the identity of the requester may be required in some instances when the record involved contains particularly sensitive information in the judgment of the systems manager.

PT. 10, APP. F

Appendix F—Federal Railroad Administration

1. *Introduction.* This appendix, with respect to the Federal Railroad Administration (FRA):

a. Describes the places and times at which records are available for inspection and copying;

b. Indicates the systems of records maintained in the Federal Railroad Administration;

c. Identifies the officials having authority to deny requests for access to records;

d. Describes the procedures to be followed in requesting correction of a record; and

e. Describes identification requirements which may be in addition to those delineated in § 10.35 of these regulations.

2. *Availability for Inspection and Copying.* Places and times at which records are available for inspection and copying and the systems of records and systems managers having authority to deny requests for disclosure at each facility.

a. Records in systems maintained in the Federal Railroad Administration are available at the Alaska Railroad, Anchorage, Alaska 99510, 9:00 a.m.–4:00 p.m.

Systems of Records and Responsible Systems Managers:

1. Alaska Railroad Examination of Operating Personnel; DOT/FRA Operations Officer (System Manager).

2. Alaska Railroad Personnel and Pay Management Information System; DOT/FRA—General Manager (System Manager).

3. Alaska Railroad Security and Freight Claims Investigatory Files; DOT/FRA—Chief, Security and Claims Office (Systems Manager).

b. *Places:* The Alaska Railroad, Anchorage, Alaska 99510. Hours: 9:00 a.m.–4:00 p.m.

Systems of Records and Responsible Systems Managers:

1. Application for (Vehicle) Operator's Identification Card; DOT/FRA—Director, Office of Administrative Operations (System Manager).

2. Confidential Statement of Employment and Financial Interest; DOT/FRA—Chief Counsel, Office of the Chief Counsel (System Manager).

3. Employee Travel Records; DOT/FRA—Accounting Officer, Accounting Division (System Manager).

4. Occupational Safety and Health Reporting System; DOT/FRA—FRA Safety Manager, Office of Administrative Operations (System Manager).

5. Office of Safety Past Employees Files; DOT/FRA—Deputy Associate Administrator for Safety (System Manager).

6. Personnel and Pay Management Information Systems; DOT/FRA—Director, Office of Personnel and Training (System Manager).

7. Travel Advance Records; DOT/FRA—Director, Office of Administrative Operations (System Manager).

8. Work Measurement System; DOT/FRA—Director, Office of Management Systems.

c. *Places: Regional Offices as follows:*

Region 2, Federal Railroad Administration, Philadelphia, Pa. 19106.

Region 3, Federal Railroad Administration, College Park, Ga. 30337.

Region 4, Federal Railroad Administration, Chicago, Illinois 60605.

Region 5, Federal Railroad Administration, Ft. Worth, Texas 76102.

Region 6, Federal Railroad Administration, Portland, Oregon 97204.

Region 7, Federal Railroad Administration, San Francisco, California 94102.

Region 8, Federal Railroad Administration, Kansas City, Missouri 64106

Hours: 9:00 a.m.–4:00 p.m.

Systems of Records and Responsible Systems Managers at each Region:

Regional Personnel Convenience Files; DOT/FRA—Regional Directors (Systems Manager)

d. *Place: Transportation Test Center* (TTC) Pueblo, Colorado 81001. Hours: 9:00 a.m.–4:00 p.m.

System of Records and Responsible System Manager:

Transportation Test Center Employee Service Record File—Director, TTC (System Manager)

Transportation Test Center Cost Tracking System—Director TTC (System Manager)

3. *Access to Records.*

a. Each individual desiring to determine whether a record pertaining to him or her is contained in a system of records or to obtain a copy of such a record, shall make his request in writing to the appropriate official listed as responsible system manager in this appendix. Each request shall specify the name of the requesting individual and the system of records in which the subject record is located or thought to be located.

b. FRA allows individuals to request amendment of their personal records to the extent that such amendment does not violate existing statutes, regulations, or administrative procedures. Requests to amend personal records of active employees should be addressed to the responsible system managers specified in 2.3A–D.

c. The system managers provide written acknowledgment of the receipt of a request to amend a record to the individual within ten days. However, if the request can be reviewed, processed and the individual notified of compliance or denial within the ten-day working period, no acknowledgment is required.

d. If FRA agrees with an individual's request to amend the person's record, the following steps are taken:

1. Advises the individual in writing;

2. Corrects the record accordingly; and

3. If a prior disclosure has been made, advises all previous recipients of the record of the correction and its substance.

e. If FRA, after an initial review by the system manager of a request to amend a personal record, disagrees with all or any portion of it, FRA:

1. Advises the individual of refusal and the reasons for it;

2. Informs the individual of procedures to request a further review;

f. If an individual disagrees with the initial determination, the individual may file a request for a further review of that determination. The request for a review should be addressed to:

Attn: Privacy Act of 1974, Office of the Chief Counsel, Federal Railroad Administration, Washington, D.C. 20590.

g. If after this review FRA refuses to amend the record as the individual requested, FRA advises the individual:

1. Of refusal and the reasons for it;

2. Of the individual's right to file a concise statement of the reasons for disagreeing with the decision of the Administration;

3. The procedures for filing the statement of disagreement;

4. That the statement which is filed will be made available to anyone to whom the record is subsequently disclosed;

5. Of the individual's right to seek judicial review of the refusal to amend a record.

h. The final FRA determination on the individual's request is concluded within thirty (30) working days unless the FRA Administrator determines that a fair and equitable review cannot be completed in that time-frame. If additional time is required, the individual is informed in writing of reasons for the delay and of the estimated date on which the review is expected to be completed.

4. *Procedures for Establishing Indentity of Individual Making a Request:*

a. Disclosure of personnel records requires that the individual produce an identification card: employee identification, annuitant identification, Medicare cards, or driver's license are examples. For records disclosed by mail, FRA requires identifying information to locate the record, i.e., employee identification number, name, date of birth or social security number. A comparison of the signature of the requester and those in the record is used to determine identity.

b. If an individual can provide no suitable documents for identification, FRA requires a signed statement asserting identity and stipulating that the individual understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine of up to $5,000 under 5 U.S.C. 552a(i)(3).

Appendix G—National Highway Traffic Safety Administration

1. *Introduction.* This appendix, with respect to the National Highway Traffic Safety Administration:

a. Describes the places and times at which records will be available for inspection and copying;

b. Indicates the systems of records maintained in the National Highway Traffic Safety Administration;

c. Identifies the officials having authority to deny requests for access to records;

d. Describes the procedures to be followed in requesting correction of a record; and

e. Describes identification requirements which may be in addition to those delineated in § 10.35 of these regulations.

2. *Availability for Inspection and Copying.* Records of the National Highway Traffic Safety Administration, hereafter referred to as NHTSA, are located at NHTSA headquarters, Washington, D.C., and at regional office locations, both described below. Records created, collected, maintained and used in various demonstration and research projects as contract requirements of NHTSA are located at various points in the several States and the Commonwealth of Puerto Rico.

a. All NHTSA Headquarters offices are open from 7:45 A.M. to 4:15 P.M., each day except Saturdays, Sundays, and Federal legal holidays. The main headquarters Office is located at 400 Seventh Street SW., Washington, D.C. 20590. The Office of Vehicle Safety Compliance, Enforcement Programs; the National Driver Register, Traffic Safety Programs, and the Office of Research and Development are located at the Trans Point Building, 2100 2nd Street SW., Washington, D.C. 20590.

b. NHTSA Regional offices are located at the following addresses and are open during the indicated hours each day, except for Saturdays, Sundays, and Federal legal holidays:

(1) Region I (Connecticut, Maine, Massachusetts, New Hampshire, Rhode Island, Vermont), 55 Broadway, Cambridge, Massachusetts 02142 (7:45 A.M.–4:15 P.M.).

(2) Region II (New Jersey, New York, Puerto Rico, Virgin Islands), 222 Mamaroneck Avenue (Room 204), White Plains, New York 10601 (7:45 A.M.–4:15 P.M.).

(3) Region III (Delaware, District of Columbia, Maryland, Pennsylvania, Virginia, West Virginia), Airport Plaza Building, 6701 Elkridge Landing Road, Linthicum, Maryland 21090 (8:00 A.M.–4:30 P.M.).

(4) Region IV (Alabama, Florida, Georgia, Kentucky, Mississippi, North Carolina, South Carolina, Tennessee), Suite 501, 1720 Peachtree Road, N.W., Atlanta, Georgia 30309 (7:45 A.M.–4:15 P.M.).

(5) Region V (Illinois, Indiana, Michigan, Minnesota, Ohio, Wisconsin), Suite 214, Executive Plaza, 1010 Dixie Highway, Chicago Heights, Illinois 60411 (8:00 A.M.–4:30 P.M.).

(6) Region VI (Arkanasas, Louisiana, New Mexico, Oklahoma, Texas), 819 Taylor Street, Room 11A26 Fort Worth, Texas 76102 (8:00 A.M.–4:30 P.M.).

(7) Region VII (Iowa, Kansas, Missouri, Nebraska), 6301 Rockhill Road, Kansas City, Missouri 64111 (7:45 A.M.–4:15 P.M.).

(8) Region VIII (Colorado, Montana, North Dakota, South Dakota, Utah, Wyoming), 330 South Garrison Street, Lakewood, Colorado 80226 (7:45 A.M.–4:15 P.M.).

(9) Region IX (American Samoa, Arizona, California, Guam, Hawaii, Nevada), Suite 610, Two Embarcadero Center, San Francisco, California 94111 (7:45 A.M.–4:15 P.M.).

(10) Region X (Alaska, Idaho, Oregon, Washington), 3140 Federal Building, 915 Second Avenue, Seattle, Washington 98174 (7:45 A.M.–4:15 P.M.).

c. NHTSA demonstration and research project records may be created, collected, maintained, and used for the purposes of NHTSA contract requirements. These records are maintained at various points in the several States and the Commonwealth of Puerto Rico. Since these project contractors only act as agents for NHTSA, and to prevent unauthorized dsclosure of information that may be subject to the provisions of the Privacy Act of 1974, management of the systems has been retained by appropriate officials of NHTSA. Access to the published systems may be obtained by corresponding with the systems manager indicated for the system of records found in the citations in paragraph 3 of this appendix. Appropriate personal identification must be furnished in accordance with paragraph 4. These officials should be notified of any inaccuracy of the record and, also, are responsible for considering requests for correction or alteration of the record.

3. *Systems of Records.* A list of NHTSA systems of records pertaining to the Privacy Act indicating the geographic locations and the responsible systems managers has been published in the **Federal Register** and appears as follows: Vol. 42, No. 181, September 19, 1977, beginning on page 47099.

4. *Access to Records.*

a. Individuals desiring to determine whether records pertaining to them are contained in systems of records covered by this appendix or desiring access to records covered by this appendix, or to obtain copies of such records, shall make written requests providing appropriate identification of the system and proof of their identity in the same manner as former employees described in 4.c below. When an individual is not capable of personally providing the required information, a second party request may be honored if a duly attested authorization, power of attorney, or appropriate court order is submitted with the request.

b. Decision to release or deny requested records is made by the system manager, identified in the citations of paragraph 3 of this appendix, within ten working days of the receipt of the request. A person seeking review of a denial of the disclosure of a record may appeal to the NHTSA Associate Administrator for Administration, 400 Seventh Street SW., Washington, D.C. 20590, preferably within 180 days of the initial denial. Decision on the request for review is made in writing within 30 working days from the receipt of the request for reconsideration of disclosure. For additional details see sections 10.45 and 10.51 of these rules.

c. Employees and former employees of NHTSA may obtain access to and consideration of the amendment of their records by providing a current Department of Transportation (DOT) identification card (Form D-1600.1.9), a DOT retired employee identification card (Form D-1680.2), Medicare card, attested signed request, or such other identification that may prove the validity of their claims.

d. Since nearly all NHTSA systems of records are maintained on electronic data processing equipment, it may require up to 48 hours to obtain individual records due to computer scheduling requirements. It is in the interest of the individual, therefore, to request information in writing rather than in person.

5. *Requests to Correct or Alter Records.*

a. Individuals may request correction or alteration of records pertaining to them by addressing such requests to the system managers or the NHTSA Privacy Act Coordinator, the addresses of whom are contained in the citation of paragraph 3 of this appendix.

b. Since the records of the National Driver Register merely contain partial records of the State's motor vehicle records, they are susceptible to correction or alteration only to the extent that such records are at variance with the State records. Persons seeking to correct their State motor vehicle records should address requests to their respective States' motor vehicle licensing authorities.

c. The system manager, in accordance with 49 CFR 10.41, provides written acknowledgment of the receipt of a request to amend a record to the individual within ten working days. If the request can be reviewed, processed, and the individual notified of compliance or denial of the request within the ten working day period, no acknowledgment is required.

d. When decision is made by the system manager to comply with an individual's request to amend the person's record, the following steps are taken within 30 working days from the date of acknowledgment of the request:

(1) Advises the individual of the decision in writing;

(2) Corrects the record accordingly; and

(3) Advises all previous recipients of the record, if an accounting of disclosure has been made, of the correction.

e. When decision is made, after initial review by the system manager of a request to amend a personal record, to disagree with all or any portion of the requested amendment, the following steps are taken within 30 working days from the date of acknowledgment of the request.

(1) Advises the individual of refusal and the reasons therefor; and

(2) Informs the individual of the procedures for appeal to the NHTSA Administrator for further review.

f. If the individual disagrees with the initial determination of the system manager, the individual may file a request for further review of that determination. This request for review should be addressed to the Chief Counsel, National Highway Traffic Safety Administration, 400 Seventh Street SW., Washington, D.C. 20590.

g. If after review the Administrator agrees to the amendment of the record, the procedures of subparagraph 5.d of this appendix are followed. If amendment of the record is refused as requested by the individual, the individual is advised:

(1) Of the refusal and reasons therefore, and the names and titles of positions of each person responsible for the determination;

(2) Of the individual's right to file, together with the appropriate procedures, a concise statement of the reasons for disagreeing with the decision of the Administrator;

(3) Of the fact that the statement which is filed by the requester is made available to prior recipients and anyone to whom the record is subsequently disclosed; and

(4) Of the individual's right to seek judicial review of the administrator's refusal to amend a record.

h. The final determination to refuse an individual's request for amendment of a record is concluded within 30 working days after the receipt of the appeal to the Administrator. If a fair and equitable review cannot be completed by the stipulated time, the Administrator informs the individual in writing of the reasons for delay and provides an estimated date on which completion of the review is expected.

6. *Personal Identification Requirements.* The NHTSA does not demand any personal identification beyond that specified by § 10.35 of this part.

PT. 10, APP. H

Appendix H—Urban Mass Transportation Administration

1. *Introduction.* This appendix, with respect to the Urban Mass Transportation Administration (UMTA):

a. Describes the places and times at which records are available for inspection and copying;

b. Indicates the systems of records maintained in the Urban Mass Transportation Administration;

c. Identifies the officials having authority to deny requests for access for records;

d. Describes the procedures to be followed in requesting correction of a record; and

e. Describes identification requirements which may be in addition to those delineated in paragraph 1035 of these regulations.

2. *Availability for Inspection and Copying.* In accordance with Title 49, Part 10, Subpart A, Section 10.1, dealing with the maintenance of an access to records pertaining to individuals under the Privacy Act of 1974 (Pub. L. 93-579), the following places and times at which individual's records are available for inspection and copying, and the titles of the officials who are reponsible system managers are submitted.

a. Regional Offices as follows:

(1) Region I, Urban Mass Transportation Administration, Cambridge, MA 02142;

(2) Region II, Urban Mass Transportation Administration, New York, NY 10007;

(3) Region III, Urban Mass Transportation Administration, Philadelphia, PA 19106;

(4) Region IV, Urban Mass Transportation Administration, Atlanta, GA 30309;

(5) Region V, Urban Mass Transportation Administration, Chicago, IL 60606;

(6) Region VI, Urban Mass Transportation Administration, Ft. Worth, TX 76102;

(7) Region VII, Urban Mass Transportation Administration, Kansas City, MO 64131;

(8) Region VIII, Urban Mass Transportation Administration, Denver CO 80202;

(9) Region IX, Urban Mass Transportation Administration, San Francisco, CA 94111; and

(10) Region X, Urban Mass Transportation Administration, Seattle, WA 98174.

b. Hours: 8:30 A.M. to 5 P.M., local time.

c. System of Records: Regional Personnel Convenience Files at each location.

d. System Managers: Regional Directors or Chiefs are System Managers

e. Headquarters: Urban Mass Transportation Administration, Washington Headquarters, Washington, D.C. 20590; Hours: 8:30 A.M. to 5 P.M.

3. *Systems of Records.*

a. Confidential Statement of Employment and Financial Interest—DOT/UMTA, Chief Counsel, Office of the Chief Counsel;

b. Occupational Safety and Health Reporting System, Director of Personnel Division;

c. Litigation and Claims File—Chief Counsel, Office of Chief Counsel;

d. Grant Applicants List, Director, Grant Management Division;

e. Contract Information System, Director, Procurement Division;

f. Unsolicited Research and Development Grants, Director, Grant Management Division;

g. Complaints of Discrimination, Director, Office of Civil Rights;

h. Employee Travel Vouchers, Chief, Accounting Branch;

i. Accounts Receivable, Chief, Accounting Branch;

j. Equal Employment Opportunity, Minority/Female Statistical Reporting System, Director, Office of Civil Rights;

k. Minority Recruitment File, Director, Office of Civil Rights;

l. UMTA Sponsored Reports—Authors File, Director, Office of Transit Management;

m. Blood Donors File, Director, Administrative Services Division;

n. Approved Grants, Director, Administrative Services Division;

o. Closed-Out Grants, Director, Administrative Services Division; and

p. Docket DOT/UMTA, Chief Counsel, Office of Chief Counsel.

4. *Access to Records.* Each individual desiring to determine whether a record pertaining to him or her is contained in a system of records or to obtain a copy of such a record, shall make request in writing to the official specified in paragraph 1 of this appendix. Each request shall specify the name of the requesting individual and the system of records in which the subject record is located or thought to be located.

5. *Requests to Correct or Alter Records.*

a. The Administration allows individuals to request amendment of their personal records to the extent that such amendment does not violate existing statutes, regulations, or administrative procedures. Requests to amend personal records of active employees should be addressed to the responsible system manager specified in paragraph 1.

b. The system manager provides a written acknowledment of the receipt of a request to amend a record to the individual within ten days. However, if the request can be reviewed and processed and the individual notified of compliance or denial within the ten-day working period, no separate acknowledgment is required.

c. If UMTA agrees with an individual's request to amend the person's record, the following steps are taken:

(1) Advises the individual in writing;

(2) Corrects the record accordingly; and

(3) Advises all previous recipients of the record which was corrected of the correction and its substance.

d. If UMTA, after an initial review by the system manager of a request to amend a personal record, disagrees with all or any portion of it, it:

(1) Advises the individual of refusal and the reasons for it; and

(2) Informs the individual of procedures to request a further review.

e. If an individual disagrees with the initial determination, the individual may file a request for a further review of that determination. This request for a review should be addressed to: Privacy Act Officer, UAD-60, 400 Seventh Street SW., Washington, D.C. 20590.

f. If after this review UMTA refuses to amend the record as the individual requested, UMTA advises the individual:

(1) Of refusal and the reasons for it;

(2) Of the individual's right to file a concise statement of the reasons for disagreeing with the decision;

(3) The procedures for filing the statement of disagreement;

(4) That the statement which is filed is made available to anyone to whom the record is subsequently disclosed; and

(5) Of the individual's right to seek judicial review of the Administration's refusal to amend a record.

g. The final determination on the individual's request is concluded within 30 working days unless the UMTA Administrator determines that a fair and equitable review cannot be completed in that period. If additional time is required, the individual is informed in writing of reasons for the delay and of the estimated date on which the review is expected to be completed.

h. For personnel-related records final Civil Service Commission determination may apply within 30 working days following the procedures explained above.

6. *Personal Identification Requirements.*

a. Disclosure of personal records requires that the individual produce an identification card; employee identification, annuitant identification, Medicare card, and driver's license are examples. For records disclosed by mail, UMTA requires identifying information to locate the record, *i.e.*, employee identification number, name, date of birth, or social security number. A comparison of the signature of the requester and those in the record is used to determine identity.

b. If an individual can provide no suitable documents for identification, UMTA requires a signed statement asserting identity and stipulating that the individual understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine of up to $5,000 under citation 3(i)3 of the Privacy Act.

PT. 10, APP. I

Appendix I—Saint Lawrence Seaway Development Corporation

1. *Introduction.* This appendix, with respect to the Saint Lawrence Seaway Development Corporation:

a. Describes the places and times at which records are available for inspection and copying;

b. Indicates the systems of records maintained;

c. Identifies the officials having authority to deny requests for access to records;

d. Describes the procedures to be followed in requesting correction of a record; and

e. Describes identification requirements which may be in addition to those delineated in § 10.35 of these regulations.

2. *Availability for Inspection and Copying.*

a. Place and time for records inspection and copying: Saint Lawrence Seaway Development Corporation, Administration Building, Andrews Street, Massena, New York 13662; Massena Office: 9:00 a.m.–4:00 p.m.

b. Systems of records located at each facility: *Administration Building:* Claimants under Federal Tort Claims Act, Data Automation Program Records, Employees' Compensation Records, Emergency Operating Records (Vital Records).

c. Official having authority to deny requests for disclosure of records under this part:

Resident Manager, Saint Lawrence Seaway Development Corporation, Administration Building, Andrews Street, Massena, New York 13662.

3. *Systems of Records:* A complete listing of the systems of records maintained by the Saint Lawrence Seaway Development Corporation has been published in the **Federal Register** as follows: September 19, 1977, pages 47138–47140.

4. *Access to Records:* Each individual desiring to determine whether a record pertaining to him or her is contained in a system of records or to obtain a copy of such record, shall make request in writing to the address provided in Section 2 of this appendix. Each request shall specify the name of the requesting individual and the system of records in which the subject record is located or thought to be located.

5. *Requests to Correct or Alter a Record:*

a. Any person who desires to have his or her own record corrected shall submit a written request.

b. Only the individual to whom the record pertains may make the written request and it shall be signed by that person.

c. Request should state the reasons that the record should be corrected and that the request is made pursuant to the Privacy Act; alternatively the requester may mark "Privacy Act Amendment Request" on the envelope in which the request is submitted.

d. Requests for correction of records shall be submitted to the Personnel Officer, Saint Lawrence Seaway Development Corporation, Administration Building, Andrews Street, Massena, New York 13662.

6. *Personal Identification Requirements:* Refer to § 10.35 for normal requirements. In those cases involving mail requests for sensitive records, *i.e.*—medical records, the requester's signature shall be notarized.

PT. 10, APP. J

Appendix J—Research and Special Programs Administration

The Research and Special Programs Administration (RSPA) will operate under the general rules of Part 10 (49 CFR Part 10) until specific procedures are deemed necessary for the RSPA.

DEPARTMENT OF THE TREASURY

DEPARTMENTAL OFFICES (DO)

DO .002—Treasury Payroll Information System
DO .003—Personnel Working Files
DO .004—Personnel Security System
DO .005—Grievance Records
DO .007—General Correspondence Files
DO .010—Office of Domestic Finance, Actuarial Valuation System
DO .052—Travel Records
DO .053—Treasury Emergency Preparedness Information Program
DO .060—Correspondence Files and Records on Employee Complaints and/or Dissatisfaction
DO .062—Executive Inventory File
DO .065—Appointment at Above the Minimum Rate of the Grade File
DO .066—Combined Applicant/Applicant Correspondence File
DO .067—Detailed Employee Files
DO .068—Time-In-Grade Exception Files
DO .070—Automated Systems Division, Work Assignment and Control Form
DO .111—Office of Foreign Assets Control Census Records
DO .114—Foreign Assets Control Enforcement Records
DO .118—Foreign Assets Control Licensing Records
DO .144—General Counsel Litigation Referral and Reporting System
DO .149—Foreign Assets Control Legal Files
DO .150—Disclosure Records
DO .154—Private Relief Bill System
DO .156—Tax Court Judge Applicants
DO .183—Private Relief Tax Bill Files—Office of the Assistant Secretary for Tax Policy
DO .190—General Allegations and Investigative Records System
DO .193—Treasury Employee Locator System
DO .194—Document Delivery Control Systems
DO .196—Physical Security Information System

BUREAU OF ALCOHOL, TOBACCO, AND FIREARMS

ATF 001—Administrative Record System
ATF 002—Correspondence Record System
ATF 003—Criminal Investigation Report System
ATF 004—Fiscal Record System
ATF 005—Freedom of Information Requests
ATF 006—Internal Security Record System
ATF 007—Personnel Record System
ATF 008—Regulatory Enforcement Record System
ATF 009—Technical and Scientific Services Record System

COMPTROLLER OF THE CURRENCY

CC .004—Consumer Complaint Information System (CCIS)
CC .012—Freedom of Information Index and Log
CC .013—Enforcement and Compliance Information System
CC .014—Investigation Files/Employee Reference File
CC .015—Chain Banking Organizations System
CC .016—Litigation Information System
CC .221—Professional Qualification Records for Municipal Securities Principals and Municipal Securities Representatives
CC .300—Administrative Personnel System
CC .310—Fiscal Personnel System
CC .320—General Personnel System
CC .500—Chief Counsel's Management Information System

CUSTOMS SERVICE

CS .001—Acceptable Level of Competence, Negative Determination
CS .002—Accident Reports
CS .005—Accounts Receivable
CS .009—Acting Customs Inspector (Excepted)
CS .014—Advice Requests (Legal) (Pacific Region)
CS .021—Arrest/Seizure/Search Report and Notice of Penalty File
CS .022—Attorney Case File
CS .028—Baggage Declaration
CS .030—Bankrupt Parties-In-Interest
CS .031—Bills Issued Files
CS .032—Biographical Files (Headquarters)
CS .037—Cargo Security File
CS .040—Carrier File
CS .041—Cartmen or Lightermen
CS .042—Case and Complaint File
CS .043—Case Files (Regional Counsel—South Central Region)
CS .044—Certificates of Clearance
CS .045—Claims Act File
CS .046—Claims Case File
CS .049—Claims (Receivable and Payable)
CS .050—Community Leader Survey
CS .051—Complaints Against Customs Personnel
CS .053—Confidential Source Identification File
CS .054—Confidential Statements of Employment and Financial Interests
CS .056—Congressional and Public Correspondence File
CS .057—Container Station Operator Files
CS .058—Cooperating Individual Files
CS .061—Court Case File
CS .064—Credit Card File
CS .067—Bank Secrecy Act Reports File
CS .069—Customhouse Brokers File
CS .077—Disciplinary Action and Resulting Grievance or Appeal Case Files
CS .078—Disclosure of Information File
CS .081—Dock Passes
CS .083—Employee Relations Case Files
CS .092—Exit Interview
CS .093—Federal & New York State Licenses for Commercial Importation of Alcoholic Beverages
CS .096—Fines, Penalties and Forfeiture Control and Information Retrieval System
CS .098—Fines, Penalties and Forfeitures Records
CS .099—Fines, Penalties, and Forfeiture Files (Supplemental Petitions)
CS .100—Fines, Penalties and Forfeiture Records (Headquarters)
CS .105—Former Employees
CS .109—Handicapped Employee File
CS .112—Immediate Delivery Violation Record
CS .122—Information Received File
CS .123—Injury Notice
CS .125—Intelligence Log
CS .127—Internal Security Records System
CS .129—Investigations Record System
CS .133—Justice Department Case File
CS .136—Liquidated Damage Cases; Prior Violators
CS .137—List of Vessel Agents Employees
CS .138—Litigation Issue Files
CS .144—Mail Protest File
CS .148—Military Personnel and Civilian Employees' Claims Act File
CS .151—Motor Vehicle Accident Reports
CS .152—Motor Vehicle Operator's Identification Card
CS .156—Narcotics Violator File
CS .159—Notification of Personnel Management Division when an Employee is placed under investigation by the Office of Internal Affairs
CS .161—Optional Retirement List
CS .162—Organization (Customs) and Automated Position Management System (COAPMS)
CS .163—Outside Employment Requests
CS .165—Overtime Earnings
CS .170—Overtime Reports
CS .172—Parking Permits File (N.Y. Region)
CS .180—Payroll Record of Employees NOT Covered by Automated System
CS .182—Penalty Case File
CS .186—Personnel Search
CS .190—Personnel Case File
CS .193—Operating Personnel Folder Files
CS .194—Treasury Payroll Information System (TPIS)
CS .196—Preclearance Costs
CS .197—Private Aircraft/Vessel Inspection Reporting System
CS .201—Property File, Non-Expendable
CS .206—Regulatory Audits of Customhouse Brokers
CS .207—Reimbursable Assignment System
CS .208—Restoration of Forfeited Annual Leave Cases
CS .209—Résumés of Professional Artists
CS .210.—Revocation of I.D. Privileges and "Cash Basis Only" for Reimbursable Services List
CS .211—Sanction List
CS .212—Search/Arrest/Seizure Report
CS .214—Seizure File
CS .215—Seizure Report File
CS .217—Set Off Files
CS .219—Skills Inventory Records
CS .220—Supervisory Notes and Files

CS .224—Suspect Persons Index
CS .226—Television System
CS .227—Temporary Importation Under Bond (TIB) Defaulter Control System
CS .228—Temporary Importation Violation Record
CS .232—Tort Claims Act File
CS .234—Tort Claims Act File
CS .238—Training and Career Individual Development Plans
CS .239—Training Records
CS .243—Travel Payment System
CS .244—Treasury Enforcement Communications System
CS .249—Uniform Allowances—Unit Record
CS .251—Unscheduled Overtime Report (Customs Form 31)
CS .252—Valuables Shipped Under the Government Losses in Shipment Act
CS .258—Violator's Case Files
CS .260—Warehouse Proprietor Files
CS .262—Warnings to Importers in Lieu of Penalty
CS .268—Military Personnel and Civilian Employees' Claims Act File
CS .269—Accounts Payable Voucher File
CS .270—Background—Record File on Non-Customs Employees
CS .271—Cargo Security Record System
CS .272—Currency Declaration File (Customs Form 4790)
CS .273—Employee Debts
CS .274—Importers, Brokers, Carriers, Individuals and Sureties Master Files
CS .277—Drivers License File
CS .278—Automated Commercial System (ACS)
CS .284—Personnel Verification System (PVS)
CS .285—Automated Index to Central Enforcement Files
CS .287—Customs Automated Licensing Information System (CALIS)

BUREAU OF ENGRAVING AND PRINTING

BEP .002—Personal Property Claim File
BEP .004—Counseling Records
BEP .005—Compensation Claims
BEP .006—Debt Files (Employees)
BEP .014—Employees Production Record
BEP .015—Executive Profiles
BEP .016—Employee Suggestions
BEP .020—Industrial Truck Licensing Records
BEP .021—Investigative Files
BEP .022—Monthly Equal Employment Opportunity Activity Report
BEP .023—Motor Vehicle Licensing Records
BEP .027—Programmable Access Security System (PASS)
BEP .029—Petition of Elections
BEP .035—Tort Claims Against the United States
BEP .037—Union Index
BEP .038—Unscheduled Absence Record
BEP .040—Freedom of Information and Privacy Act Requests
BEP .041—Record of Discrimination Complaints
BEP .042—Informal EEO Complaint Processing Records
BEP .043—Parking Program Records
BEP .044—Personnel Security Files and Indices

FEDERAL LAW ENFORCEMENT TRAINING CENTER

FLETC .001—FLETC Payroll/Personnel Records System
FLETC .002—FLETC Trainee Records
FLETC .003—FLETC Confidential Financial Records
FLETC .004—FLETC Administrative Employee Records

FINANCIAL MANAGEMENT SERVICE OPERATIONS

FMS .001—Administrative Records
FMS .002—Payment Issue Records for Regular Recurring Benefit Payments
FMS .003—Claims and Inquiry Records on Treasury Checks U.S. Currencies and International Claimants
FMS .005—FMS Personnel Records
FMS .007—Payroll and Pay Administration
FMS .008—Personnel Security Records
FMS .010—Records of Accountable Officers' Authority with Treasury
FMS .011—Individual Retirement Cards, SF2806
FMS .012—Precomplaint Counseling and Complaint Activities
FMS .013—Gifts to the United States

INTERNAL REVENUE SERVICE

IRS 00.001—Correspondence Files and Correspondence Control Files
IRS 00.002—Correspondence Files/Inquiries About Enforcement Activities
IRS 10.001—Biographical Files, Public Affairs
IRS 10.004—Subject Files, Public Affairs
IRS 21.001—Tax Administration Advisors Resources File
IRS 22.003—Annual Listing of Undelivered Refund Checks, D:R:T
IRS 22.011—File Erroneous Refunds
IRS 22.026—Form 1042S Index by Name of Recipient, D:R:R
IRS 22.027—Foreign Information System (FIS), D:R:R
IRS 22.032—Individual Microfilm Retention Register, D:R:R
IRS 22.034—Individual Returns Files, Adjustments and Miscellaneous Documents File
IRS 22.043—Potential Refund Litigation Case Files, D:R:R
IRS 22.044—P.O.W.-M.I.A. Reference File, D:R:T
IRS 22.054—Subsidiary Accounting Files, D:R
IRS 22.059—Unidentified Remittance File, D:R
IRS 22.060—Unit Ledger Cards
IRS 22.061—Wage and Information Returns Processing (IRP) File, D:R
IRS 24.013—Combined Account Number File, Returns and Information Processing, D:R:R
IRS 24.029—Individual Account Number File (IANF), Returns and Information Processing
IRS 24.030—Individual Master File (IMF), Returns and Information Processing, D:D:T
IRS 24.046—Business Master File (BMF), Returns and Information Processing, D:R:R
IRS 24.070—Debtor Master File (DMF)
IRS 26.001—Acquired Property Record, OP:C
IRS 26.006—Form 2209 Courtesy Investigations, OP:C
IRS 26.008—IRS and Treasury Employee Delinquency, OP:C
IRS 26.009—Lien Files (Open and Closed), OP:C
IRS 26.010—Lists of Prospective Bidders at Internal Revenue Sales of Seized Property, OP:C
IRS 26.011—Litigation Case Files, OP:C
IRS 26.012—Offer in Compromise (OIC) File, OP:C
IRS 26.013—One Hundred Percent Penalty Cases, OP:C
IRS 26.014—Record 21, Record of Seizure and Sale of Real Property, OP:C
IRS 26.016—Returns Compliance Program (RCP), OP:C
IRS 26.019—TDA (Taxpayer Delinquent Accounts) including subsystems: (a) Adjustments and Payment Tracers Files, (b) Collateral Files, (c) Seized Property Records, (d) Tax Collection Waiver, Forms 900, Files, (e) Accounts on child support obligations, OP:C
IRS 26.020—TDI (Taxpayer Delinquency Investigation Files)
IRS 26.021—Transferee Files
IRS 26.022—Delinquency Prevention Programs, OP:C
IRS 30.003—Requests for Printed Tax Materials Including Lists
IRS 30.004—Security Violations
IRS 32.001—Travel Expense Record
IRS 32.003—Schedules of Collections and Schedules of Cancelled Checks
IRS 34.003—Assignment and Accountability of Personal Property Files
IRS 34.005—Parking Space Application and Assignment
IRS 34.007—Record of Government Books of Transportation Requests
IRS 34.009—Safety Program Files
IRS 34.012—Emergency Preparedness Cadre Assignments and Alerting Rosters Files
IRS 34.013—Identification Media Files for Employees and Others issued IRS ID
IRS 34.014—Motor Vehicle Registration and Entry Pass Files
IRS 34.016—Security Clearance Files
IRS 34.018—Integrated Data Retrieval System (IDRS) Security Files
IRS 36.001—Appeals, Grievances and Complaints Records
IRS 36.002—Employee Activity Records
IRS 36.003—General Personnel and Payroll Records
IRS 36.005—Medical Records
IRS 36.008—Recruiting, Examining and Placement Records
IRS 36.009—Retirement, Life Insurance and Health Benefits Records
IRS 37.001—Abandoned Enrollment Applications
IRS 37.002—Files containing derogatory information about individuals whose applications for enrollment to practice before the IRS have been denied and Applicant Appeal Files

IRS 37.003—Closed Files Containing Derogatory Information About Individuals' Practice Before the Internal Revenue Service and Files of Attorneys and Certified Public Accountants Formerly Enrolled to Practice
IRS 37.004—Derogatory Information (No Action)
IRS 37.005—Present Suspensions and Disbarments Resulting from Administrative Proceedings
IRS 37.006—General Correspondence File
IRS 37.007—Inventory
IRS 37.008—Register of Docketed Cases and Applicant Appeals
IRS 37.009—Enrolled Agents and Resigned Enrolled Agents (Action pursuant to 31 CFR, Section 10.55(b))
IRS 37.010—Roster of Former Enrollees
IRS 37.011—Present Suspensions from Practice Before the Internal Revenue Service
IRS 38.001—General Training Records
IRS 42.001—Examination Administrative File
IRS 42.008—Audit Information Management System (AIMS)
IRS 42.012—Combined Case Control Files
IRS 42.013—Project Files for the Uniform Application of Laws as a result of technical determinations and court decisions
IRS 42.014—Internal Revenue Service Employees' Returns Control Files
IRS 42.016—Classification/Centralized Files and Scheduling Files
IRS 42.017—International Enforcement Program Files
IRS 42.021—Compliance Programs and Projects Files
IRS 42.027—Data on Foreign Corporations
IRS 42.029—Audit Underreporter Case Files
IRS 42.030—Discriminant Function File (DIF)
IRS 44.001—Appeals Case Files
IRS 44.003—Appeals Case Data
IRS 44.004—Artist File
IRS 44.005—Expert Witness and Fee Appraiser Files
IRS 46.002—Case Management and Time Reporting System, Criminal Investigation Division
IRS 46.003—Confidential Informants, Criminal Investigation Division
IRS 46.004—Controlled Accounts—Open and Closed
IRS 46.005—Electronic Surveillance File, Criminal Investigation
IRS 46.009—Centralized Evaluation and Processing of Information Items, Criminal Investigation Division
IRS 46.011—Land Trust Files, Criminal Investigation Division
IRS 46.015—Relocated Witnesses, Criminal Investigation Division
IRS 46.016—Secret Service Details, Criminal Investigation Division
IRS 46.022—Treasury Enforcement Communications System (TECS), Criminal Investigation Division
IRS 48.001—Disclosure Records
IRS 48.008—Defunct Special Service Staff File being retained because of Congressional Directive
IRS 49.001—Collateral and Information Requests
IRS 49.002—Competent Authority and Index Card-Microfilm Retrieval System
IRS 49.003—Financial Statements File
IRS 49.007—Overseas Compliance Projects System
IRS 49.008—Taxpayer Service Correspondence System
IRS 50.001—Employee Plans/Exempt Organizations Correspondence Control Records (Form 5961)
IRS 50.003—Employee Plan/Exempt Organizations, Reports of Significant Matters in Technical (M-5945)
IRS 60.001—Assault and Threat Investigation Files, Inspection
IRS 60.002—Bribery Investigation Files, Inspection
IRS 60.003—Conduct Investigation Files, Inspection
IRS 60.004—Disclosure Investigation Files, Inspection
IRS 60.005—Enrollee Applicant Investigation Files, Inspection
IRS 60.006—Enrollee Charge Investigation Files, Inspection
IRS 60.007—Miscellaneous Information File, Inspection
IRS 60.008—Security, Background, and Character Investigations Files, Inspection
IRS 60.009—Special Inquiry Investigation Files, Inspection
IRS 60.010—Tort Investigation Files, Inspection
IRS 70.001—Individual Income Tax Returns, Statistics of Income
IRS 90.001—Chief Counsel Criminal Tax Case Files
IRS 90.002—Chief Counsel Disclosure Litigation Division Case Files
IRS 90.003—Chief Counsel General Administrative Systems
IRS 90.004—Chief Counsel General Legal Services Case Files
IRS 90.005—Chief Counsel General Litigation Case Files
IRS 90.006—Chief Counsel Interpretative Division and Employee Plans and Exempt Organization Division, and Associate Chief Counsel (Technical and International) Case Files
IRS 90.007—Chief Counsel Legislation & Regulations Division, Employee Plans and Exempt Organizations Division, and Associate Chief Counsel (Technical and International) Correspondence & Private Bill Files
IRS 90.009—Chief Counsel Tax Litigation Case Files
IRS 90.010—Digest Room Files Containing Briefs, Legal Opinions, and Digests of Documents Generated Internally or by the Department of Justice Relating to the Administration of the Revenue Laws
IRS 90.011—Employee Recruiting Files Maintained by the Operations Division
IRS 90.013—Legal Case Files of the Chief Counsel, Deputy Chief Counsels (Policy and Programs) and (Management and Operations), Associate Chief Counsels [(Litigation) and (Technical and International)]
IRS 90.014—Management Files Maintained by Operations Division and the Deputy Chief Counsel (Management and Operations) other than the Office of Personnel Management's Official Personnel Files
IRS 90.015—Reference Records of the Library in the Office of Chief Counsel
IRS 90.016—Reports and Information Retrieval Activity Computer and Microfilm Records
IRS 90.017—Correspondence Control and Records, Associate Chief Counsel (Technical and International)
IRS Appendix A

UNITED STATES MINT

Mint .003—Cash Receivable Accounting Information System
Mint .005—Current Employee Security Identification Record
Mint .006—Employee and Former Employee Travel & Training Accounting Information System
Mint .007—Employee, Former Employee and Members of the Public, Occupational Safety and Health, Accident and Injury Records, and Claims for Injuries or Damage Compensation Records
Mint .009—Employee-Supervisor Performance, Evaluation, Counseling, and Time and Attendance Records
Mint .010—Examination Reports of Coins Forwarded to Mint from U.S. Secret Service
Mint .011—General Correspondence
Mint .012—Criminal Investigations Files
Mint .013—Numismatic Coin Operations System (NUCOS) Records, Customer Mailing List, Order Processing Record for Coin Sets, Medals and Numismatic Items, and records of undelivered orders
Mint .014—Purchases, Sales, Exchange and Assays of Precious Metal
Mint .015—Redemption of Uncurrent or Mutilated Coins
Mint .016—Grievances, Union/Agency Negotiated

BUREAU OF THE PUBLIC DEBT

BPD .001—Personnel and Administrative Records
BPD .002—United States Savings Type Securities
BPD .003—United States Securities (Other than Savings Type Securities)

UNITED STATES SAVINGS BOND DIVISION

USSBD .001—Savings Bonds Employee Records System
USSBD .002—Savings Bonds Sales Promotion/Volunteer Record System
USSBD .003—Savings Bond Sales Record System

SECRET SERVICE

USSS .001—Administrative Information System
USSS .002—Chief Counsel Record System
USSS .003—Criminal Investigation Information System
USSS .004—Financial Management Information System
USSS .005—Freedom of Information Request System
USSS .006—Non-Criminal Investigation Information System
USSS .007—Protection Information System
USSS .008—Public Affairs Record System
USSS .009—Training Information System

Treasury/DO .002

System name: Treasury Payroll Information System.

System location:

The Treasury Payroll Information System and PERMITS components of this system are located at the ICC Building, 1201 Constitution Avenue, NW., Room 7329, Washington, DC 20220 and at a contractor data processing facility, Johnstown Computing Resources, Inc., located at 90 Lulay Street, Johnstown, PA 15094. The Treasury Acquisition Career System is located at Main Treasury, 1500 Pennsylvania Avenue, NW., Washington, DC 20220.

Categories of individuals covered by the system:

(1) Current and former personnel data on all employees of the Treasury. (2) Payroll data on all Treasury employees except IRS. (3) Payroll data on Executive Offices of the President; Federal Emergency Management Agency; Federal Trade Commission; National Gallery of Art; National Labor Relations Board; Farm Credit Administration; Commodities Futures Trading Commission.

Categories of records in the system:

There are two basic components to the system, a personnel component (PERMITS Application) and a payroll component (TPIS), which provide current, year-to-date and historical data on the individuals covered by the system. The separate files in the system consist of payroll records, personnel records, and time and attendance records. Information contained in these records, include such data as:

(1) Employee identification and status data such as name, social security number, date of birth, sex, race and national origin designator, awards received, suggestions, work schedule, type of appointment, education, training courses attended, veterans preference, and military service.

(2) Employee date data such as service computation date for leave, date probationary period began, date of performance rating, and date of within-grade increases.

(3) Position and pay data such as position identification number, pay plan, grade, step, salary, and pay basis, occupational series, position skill codes, organization location and accounting classification codes.

(4) Payroll data such as earnings (overtime and night differential); deductions (Federal State and local taxes, bonds, and allotments); and time and attendance data.

(5) Tables of data for editing, reporting and processing any or all personnel pay actions. These include nature of action codes, civil service authority codes, standard remarks, signature table, position title table, financial organization table and salary table.

Authority for maintenance of the system:

The Office of Personnel Management Manual, 50 U.S.C. App. 1705–1707; 31 U.S.C. and Departmental Circulars 145 and 830. The Department of the Treasury Fiscal Requirement Manual; 5 U.S.C. 301; FPM Letter 298–10, Office of Personnel Management; Federal Personnel Manual (Chapter 713 Subchapter 3A); the Office of Federal Procurement Policy Act, as amended (41 U.S.C. 401 et. seq.) and Executive Order 12352 (March 17, 1982).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in these records may be used:

(1) To furnish the Internal Revenue Service and other jurisdictions which are authorized to tax the employee's compensation with wage and tax information in accordance with a withholding agreement with the Department of the Treasury pursuant to 5 U.S.C. 5516, 5217, and 5520.

(2) To provide records to the Office of Personnel Management, Merit Systems Protection Board, Equal Employment Opportunity Commission, and General Accounting Office for the purpose of properly administering Federal Personnel systems or other agencies' systems in accordance with applicable laws, Executive Orders, and applicable regulations.

(3) To furnish another federal agency information to effect interagency salary offset; to furnish another federal agency information to effect interagency administrative offset, except that addresses obtained from the Internal Revenue Service shall not be disclosed to other agencies; to furnish a consumer reporting agency information to obtain commercial credit reports; and to furnish a debt collection agency information for debt collection services. Current mailing addresses acquired from the Internal Revenue Service are routinely released to consumer reporting agencies to obtain credit reports and to debt collection agencies for collection services.

(4) To disclose information to a Federal, State, local, or foreign agency maintaining civil, criminal, or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit.

(5) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing Counsel or witnesses in the course of civil discovery, litigation or settlement negotiations in response to a subpoena, or in connection with criminal law proceedings.

(6) To disclose information to foreign governments in accordance with formal or informal international agreements.

(7) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains.

(8) To provide information to the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to civil and criminal proceedings.

(9) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

(10) To provide information to unions recognized as exclusive bargaining representatives under the Civil Service Reform Act of 1978, 5 U.S.C. 7111 and 7114.

(11) To provide wage and separation information to another agency such as the Department of Labor or Social Security Administration as required by law for payroll purposes.

(12) To provide information to a Federal, State, or local agency so that the agency may adjudicate an individual's eligibility for a benefit, such as a state unemployment compensation board, housing administration agency and Social Security Administration.

(13) To disclose pertinent information to appropriate Federal, State, local, or foreign agencies responsible for investigating or prosecuting the violation of, or for implementing a statute, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation.

(14) Disclosure of information about particular Treasury employees may be made to requesting Federal agencies or non-Federal entities under approved computer matching efforts, limited to only those data elements considered relevant to making a determination of eligibility under particular benefit programs administered by those agencies or entities or by the Department of the Treasury or any constituent unit of the Department, to improve program integrity, and to collect debts and other monies owed under those programs (i.e., matching for delinquent loans or other indebtedness to the government).

(15) To provide information to Treasury contractors who may be engaged to assist Treasury in the performance of a function associated with TRAC and who need to have access to TRAC records in the performance of contract work. Contractors would be required to maintain the records in accordance with the requirements of the Privacy Act.

Disclosure to consumer reporting agencies:

Disclosure pursuant to 5 U.S.C. 552a(b)(12) and section 3 of the Debt Collection Act of 1982; Debt information concerning a Government claim against an individual is also furnished, in accordance with 5 U.S.C. 552a(b)(12) and section 3 of the Debt Collection Act of 1982 (Pub. L. 97–365), to consumer reporting agencies to encourage repayment of an overdue debt.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Magnetic media, microfiche, and hard copy. Disbursement records are stored at the Federal Records Center.

Retrievability:

Records are retrieved generally by social security number, position identification number within a bureau and region, or by name. Secondary identifiers are used to assure accuracy of data accessed.

Safeguards:

Entrance to data center is restricted to only those employees whose work requires them to be there for the system to operate. ID cards are verified to ensure that only authorized personnel are present. Disclosure of information through remote terminals is restricted through the use of passwords and sign-on protocols which are periodically changed. Reports produced from the remote printers are in the custody of personnel officers and are subject to the same privacy controls as other personnel documents of like sensitivity. Only the Treasury Procurement Executive and other Treasury procurement personnel with responsibility for managing Treasury's Career Development Program will have access to TRAC data. Hardcopy files will be maintained in a locked cabinet.

Retention and disposal:

The Treasury Payroll Information System master file is kept on magnetic tape. Hard copies of reports are kept for a period of up to 3 years. Additional payroll data is maintained on microfiche. Employee records are retained in automated form as long as the employee is active on the system (separated employee records are maintained in an "inactive" status within PERMITS for 5 years). The master file is purged of inactive payroll records on a yearly basis. Files are purged in accordance with Treasury Directive 25–02, "Records Disposition Management Program". Treasury Acquisition Career System automated and hardcopy records will be purged from TRAC upon the employee's separation from the procurement organization.

System manager(s) and address:

The Treasury Payroll Information System (TPIS) and PERMITS System Manager is the Director, Office of Personnel/Payroll System, Department of the Treasury, Room 2426, Main Treasury, 1500 Pennsylvania Ave., NW., Washington, DC 20220. The TRAC System Manager is the Career Development Program Manager, Office of Procurement (MMK), Department of the Treasury, Room 1458 Main Treasury, 1500 Pennsylvania Avenue, NW., Washington, DC 20220.

Notification procedure:

Individuals wishing to be notified if they are identified in this system or gain access to records maintained in the system must submit a request containing the following elements: (1) Identification of the record system; (2) identification of the category and types of records sought; (3) at least two items of identification (e.g. name and date of birth, employee identification number, date of employment or similar information). Address inquiries to Disclosure Program Manager, Department of the Treasury, Room 1054 Main Treasury, 1500 Pennsylvania Avenue, NW., Washington, DC 20220.

Record access procedures:

(See notification procedures above).

Contesting record procedures:

(See notification procedures above).

Record source categories:

The information contained in these records is provided by or verified by the subject of the record, supervisors, and non-Federal sources such as private employers. TRAC records will also be developed from Treasury procurement or personnel officials and training institutions.

Systems exempted from certain provisions of the act:

None.

Treasury/DO .003

System name:

Personnel Working Files—Treasury/DO.

System location:

Office of General Counsel; Office of the Assistant Secretary for International Affairs; Deputy Assistant Secretary (Management) for Information Systems; Office of Foreign Assets Control; Facilities Management Division; and Office of the Assistant Secretary for Tax Policy. For addresses, see Systems Managers below.

Categories of individuals covered by the system:

Past, present, and prospective employees for the above-named offices.

Categories of records in the system:

Personnel-type records such as the following: SF 50 and 52 (Personnel Action); 171 (Employment Qualifications); Resumes; 1012 (Travel Voucher); 70–02.1 (Travel Authorization); Personnel Data Summary Sheet; employee training information; position descriptions; letters of appreciation, counseling, or reference; corrective actions; recommendations for promotions; suspensions; performance appraisals; evaluations; awards; certification and appointment; and worker's compensation forms.

Authority for maintenance of the system:

5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

(1) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains; (2) To provide information to the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings; (3) To provide information to unions recognized as exclusive bargaining representatives under the Civil Service Reform Act of 1978, 5 U.S.C. 7111 and 7114; and (4) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

For records maintained by the Deputy Assistant Secretary (Management) for Information Systems, disclosures are not made outside the agency.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File folders.

Retrievability:

Alphabetically by name.

Safeguards:

Secured file cabinet or locked safe with a limited number of authorized employees permitted access.

Retention and disposal:

In some offices, files on present and former employees are kept for duration of employment and thereafter for reference purposes. In other offices, files are given to employees upon resignation or are destroyed. For prospective employees, files may be kept three to five years, then destroyed.

System manager(s) and address:

Administrative Officer, Office of the General Counsel, Department of the Treasury, Room 3006–MT, 1500 Pennsylvania Ave., NW., Washington, DC 20220;

Administrative Officer, Administrative Office, OASIA, Department of the Treasury, Room 5116–MT, 1500 Pennsylvania Ave., NW., Washington, DC 20220;

Administrative Contact, Deputy Assistant Secretary (Management) for Information Systems, Department of the Treasury, Room 2426–MT, 1500 Pennsylvania Ave., NW., Washington, DC 20220;

Director, Office of Foreign Assets Control, Department of the Treasury, Room 504, 1331 G Street NW., Washington, DC 20226;

Director, Facilities Management Division, Department of the Treasury, Room 1209 MT, 1500 Pennsylvania Ave., NW., Washington, DC 20220.

Administrative Officer, Office of Tax Policy, Department of the Treasury, Room 1104–MT, 1500 Pennsylvania Ave., NW., Washington, DC 20220.

Notification procedure:

Individuals wishing to be notified if they are named in this system of records, or gain access to records maintained in the system must submit a written request containing the following elements: (1) Identify the record system; (2) provide at least two items of secondary identification (date of birth, employee identification number, dates of employment, or similar information). Address inquiries to Disclosure Program Manager (see "Record access procedures" below). In some offices, individuals may review their own record by verbal request to the system manager.

Record access procedures:

Disclosure Program Manager, Department of the Treasury, Room 1054 MT, 1500 Pennsylvania Ave., NW., Washington, DC 20220.

Contesting record procedures:

See "Record access procedures" above.

Record source categories:

Information in this system may have been provided by (1) the individual, (2) the Personnel office, (3) the employee's supervisors, (4) an interview, and (5) prior employers.

Systems exempted from certain provisions of the act:

None.

Treasury/DO .004

System name: Personnel Security System—Treasury/DO.

System location:

For individuals in category (a), Room 1306 Main Treasury Building, 1500 Pennsylvania Avenue, NW., Washington, DC 20220. For individuals in category (b), Room 1322 Main Treasury Building, 1500 Pennsylvania Avenue NW., Washington, DC 20220.

Categories of individuals covered by the system:

(a) Current and former senior officials of the Department and Treasury bureaus, and those within the Department who are involved in Personnel Security matters. (b) Current and former government employees or applicants occupying or applying for sensitive positions in the Department.

Categories of records in the system:

Background or limited background investigations and FBI and other agency name checks; investigative information relating to personnel investigations conducted by the Department of the Treasury and other Federal agencies and departments on preplacement and postplacement basis to make suitability and employability determinations and for granting security clearances. Card records comprised of Notice of Personnel Security Investigation (TD F 67-32.2) or similar, previously used card indexes, and an automated data system (mini computer) reflecting identification data on incumbents and former employees, and record type of E.O. 10450 investigations and degree and date of security clearance, if any.

Authority for maintenance of the system:

E.O. 10450, sections 2 and 3, and E.O. 12356, Part 4.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in these records may be used to disclose information to departmental officials or other Federal agencies relevant to, or necessary for, making suitability or employability retention or security clearance determinations.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File folders and index cards.

Retrievability:

Records are retrieved by name.

Safeguards:

Records are stored in locked metal containers and in locked rooms. They are limited to officials who have a need to know in the performance of their official duties and are required to sign an access form.

Retention and disposal:

Active files are retained during incumbent tenure and are subject to update personnel investigation. Files of employees who effect intra-agency transfers (between Treasury bureaus) are automatically transferred to the gaining bureaus. When an employee transfers to another government agency or leaves the Federal government, files are retained, separate from the active files, for five years. Background investigations completed by OPM may be returned to that agency or destroyed. Card indexes are periodically updated to reflect changes and maintained as long as needed.

System manager(s) and address:

For individuals in category (a), Director of Security, Room 1306 Main Treasury Building, 1500 Pennsylvania Avenue, NW., Washington, DC 20220. For individuals in category (b), Personnel Officer (Director, Office of Personnel Resources), Room 1322, Main Treasury Building, Washington, DC 20220.

Notification procedure:

Individuals wishing to be informed if they are named in this system or gain access to records maintained in the system must submit a written, signed request containing the following elements: (1) Identify the record system; (2) identify the category and type of records sought; and (3) provide at least two items of secondary identification (date of birth, employee identification number, dates of employment, or similar information). Address inquiries to Disclosure Program Manager (see "Record access procedures" below).

Record access procedures:

Disclosure Program Manager, Department of the Treasury, Room 1054 MT, 1500 Pennsylvania Avenue, NW., Washington, DC 20220.

Contesting record procedures:

See "Record access procedures" above.

Record source categories:

The information provided or verified by applicants or employees whose files are on record as authorized by those concerned, information obtained from current and former employers, co-workers, neighbors, acquaintances, educational records and instructors, and police and credit record checks.

Systems exempted from certain provisions of the act:

This system is exempt from 5 U.S.C. 552a (c)(3), (d), (e)(1), (e)(4)(G), through (e)(4)(I), and (f) of the Privacy Act pursuant to 5 U.S.C. 552a(k)(5).

Treasury/DO .005

System name:

Grievance Records—Treasury/DO.

System location:

These records are located in personnel or designated offices in the bureaus in which the grievances were filed.

Categories of individuals covered by the system:

Current or former Federal employees who have submitted grievances with their bureaus in accordance with Part 771 of the Office of Personnel Management's (OPM) regulations (5 CFR Part 771), the Treasury Employee Grievance System (TPM Chapter 771), or a negotiated procedure.

Categories of records in the system:

The system contains records relating to grievances filed by Treasury employees under Part 771 of the OPM's regulations. These case files contain all documents related to the grievance including statements of witnesses, reports of interviews and hearings, examiner's findings and recommendations, a copy of the original and final decision, and related correspondence and exhibits. This system includes files and records of internal grievance and arbitration systems that bureaus and/or the Department may establish through negotiations with recognized labor organizations.

Authority for maintenance of the system:

5 U.S.C. 1302, 3301, 3302; E.O. 10577; 3 CFR 1954-1958 Comp., p. 218; E.O. 10987; 3 CFR 1959-1963 Comp., p. 519; agency employees, for personal relief in a matter of concern or dissatisfaction which is subject to the control of agency management.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in these records may be used: (1) To disclose pertinent information to the appropriate Federal, state, or local agency responsible for investigating, prosecuting, enforcing, or implementing a statute, rule, regulation, or order, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (2) To disclose information to any source from which additional information is requested in the course of processing in a grievance, to the extent necessary to identify the individual, inform the source of the purpose(s) of the request, and identify the type of information requested. (3) To disclose information to a Federal agency, in response to its request, in connection with the hiring or retention of an individual, the issuance of a security clearance, the conducting of a security or suitability investigation of an individual, the classifying of jobs, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to requesting the agency's decision on the matter. (4) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains. (5) To disclose information to another Federal agency or to a court when the Government is party to a judicial proceeding before the court. (6) By the National Archives and Records Service (General Services Administration) in records management inspections conducted under authority of 44 U.S.C. 2904 and 2908. (7) By the bureau maintaining the records of the Department in the production of summary descriptive statistics and analytical studies in support of the function for which the records are collected and maintained, or for related work force studies. While published statistics and studies do not contain individual identifiers, in some instances the selection of elements of data included in the study may be structured in such a way as to make the data individually identifiable by inference. (8) To disclose information to officials of the Merit Systems Protection Board, including the Office of the Special Counsel, the Federal Labor Relations Authority and its General Counsel, the Equal Employment Opportunity Commission, or the Office of Personnel Management when requested in performance of their authorized duties. (9) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing Counsel or witnesses in the course of civil discovery, litigation or settlement negotiations in response to a subpoena, or in connection with criminal law proceedings. (10) To provide information to officials of labor organizations reorganized under the Civil Service Reform Act when relevant and necessary to their duties of exclusive representation concerning personnel policies, practices, and matters affecting work conditions.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File folders.

Retrievability:

By the names of the individuals on whom they are maintained.

Safeguards:

Lockable metal filing cabinets to which only authorized personnel have access.

Retention and disposal:

Disposed of 3 years after closing of the case. Disposal is by shredding or burning.

System manager(s) and address:

ATF (Alcohol, Tobacco and Firearms)

Chief, Personnel Division, 1200 Pennsylvania Avenue, NW., Room 1211, Washington, DC 20226.

Customs

Director, Office of Human Resources, 1301 Constitution Avenue, NW., Room 3417, Washington, DC 20229.

E&P (Engraving and Printing)

Chief, Office of Industrial Relations, 14th & C Streets, SW., Room 202-13A, E&P Annex, Washington, DC 20228.

FLETC (Federal Law Enforcement Training Center)

Personnel officer, Building 94, Room 1F-14, Glynco, GA 31524.

FMS (Financial Management Service—formerly BGFO)

Director, Personnel Management Division, Pennsylvania Avenue and Madison Place, NW., Room 112 Annex, Washington, DC 20226

IRS (Internal Revenue Service)

Director, Personnel Division, 1111 Constitution Avenue, NW., Room 3219, Washington, DC 20224

DO (Departmental Offices)

Director, Office of Personnel, Room 7115 ICC Building, 1201 Constitution Ave., NW., Washington, DC 20220

PD (Public Debt)

Personnel Officer, 1300 C Street, SW., Room 446-4, E&P Annex, Washington, DC 20239.

SB (Savings Bond)

Personnel Officer, 1111 20th Street, NW., Room 225, Vanguard Building, Washington, DC 20226

SS (Secret Service)

Chief, Personnel Division, 1800 G Street, NW., Room 941, Washington DC 20223

Mint

Assistant Director for Personnel, 501 13th Street, NW., Room 921, Warner Building, Washington, DC 20004

OCC (Office of Comptroller of the Currency)

Director, Human Resources, 490 L'Enfant Plaza East, SW., 2nd Floor, Washington, DC 20219

Records pertaining to administrative grievances filed at the Departmental level: Director of Personnel, Room 7115, ICC Building, 1201 Constitution Ave., NW., Washington, DC 20220.

Notification procedure:

It is required that individuals submitting grievances be provided a copy of the record under the grievance process. They may, however, contact the agency personnel or designated office where the action was processed, regarding the existence of such records on them. They must furnish the following information for their records to be located and identified: (1) Name, (2) date of birth, (3) approximate date of closing of the case and kind of action taken, (4) organizational component involved.

Record access procedures:

It is required that individuals submitting grievances be provided a copy of the record under the grievance process. However, after the action has been closed, an individual may request access to the official copy of the grievance file by contacting the bureau personnel or designated office where the action was processed. Individuals must provide the following information for their records to be located and identified: (1) Name, (2) date of birth, (3) approximate date of closing of the case and kind of action taken, (4) organizational component involved.

Contesting record procedures:

Review of requests from individuals seeking amendment of their records which have been the subject of a judicial or quasi-judicial action will be limited in scope. Review of amendment requests of these records will be restricted to determining if the record accurately documents the action of the agency ruling on the case, and will not include a review of the merits of the action, determination, or finding. Individuals wishing to request amendment to their records to correct factual errors should contact the bureau personnel or designated office where the grievance was processed. Individuals must furnish the following information for their records to be located and identified: (1) Name, (2) date of birth, (3) approximate date of closing of the case and kind of action taken, (4) organizational component involved.

Record source categories:

Information in this system of records is provided: (1) By the individual on whom the record is maintained, (2) by testimony of witnesses, (3) by agency officials, (4) from related correspondence from organizations or persons.

Systems exempted from certain provisions of the act:

None.

Treasury/DO .007

System name:

General Correspondence Files—Treasury/DO.

System location:

Departmental Offices, Department of the Treasury, 1500 Pennsylvania Ave., NW., Washington, DC 20220. Components of this record system are in the following offices within the Departmental offices:

Office of Foreign Assets Control
Office of Tax Policy
Office of the Assistant Secretary for International Affairs

Categories of individuals covered by the system:

Members of Congress, U.S. Foreign Service officials, officials of municipalities and state governments, and the general public.

Categories of records in the system:

Incoming correspondence and replies pertaining to the mission, function, and operation of the Department. This system of records also contains a list of individuals who have asked to be advised of amendments, announcements, etc., pertaining to regulations administered by the Office of Foreign Assets Control.

Authority for maintenance of the system:

5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in these records may be used: (1) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains. (2) To provide information to the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings. (3) To provide information to unions recognized as exclusive bargaining representatives under the Civil Service Reform Act of 1978, 5 U.S.C. 7111 and 7114. (4) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File folders and magnetic media.

Retrievability:

By name of individual or letter number.

Safeguards:

Some folders are stored in locked file cabinets in areas of limited accessibility except to employees. Others are stored in electronically secured areas and vaults. Access to electronic storage is by password.

Retention and disposal:

Some records are maintained for three years, then destroyed by burning. Other records are updated periodically and maintained as long as needed.

System manager(s) and address:

Director, Office of Foreign Assets Control, U.S. Treasury Department, Room 504, 1331 G Street, NW., Washington, DC 20220

Freedom of Information Act Officer, or Director, Correspondence Unit, Office of Tax Policy U.S. Treasury Department, Room 1124-MT, 1500 Pennsylvania Ave., NW., Washington, DC 20220

Director, OASIA Secretariat, U.S. Treasury Department, Room 5422-MT, 1500 Pennsylvania Ave., NW., Washington, DC 20220

Notification procedure:

Individuals wishing to be notified if they are named in this system of records, or to gain access to records maintained in this system, must submit a written request containing the following elements: (1) Identify the record system; (2) identify the category and type of records sought; and (3) provide at least two items of secondary identification (date of birth, employee identification number, dates of employment or similar information). Address inquiries to Disclosure Program Manager (see "Record access procedures" below).

Record access procedures:

Disclosure Program Manager, Department of the Treasury, Room 1054-MT, 1500 Pennsylvania Ave., NW., Washington, DC 20220.

Contesting record procedures:

See "Record access procedures" above.

Record source categories:

Individuals who have corresponded with the Departmental Offices, other governmental agencies (Federal, state and local), foreign individuals and official sources.

Systems exempted from certain provisions of the act:

None.

Treasury/DO .010

System name:

Office of Domestic Finance, Actuarial Valuation System—Treasury/DO.

System location:

Departmental Offices, Office of Government Financing, Office of the Government Actuary, 1500 Pennsylvania Avenue NW., Washington, DC 20220.

Categories of individuals covered by the system:

Participants and beneficiaries of the Foreign Service Retirement and Disability System and the Foreign Service Pension System. Covered employees are located in the following agencies: Department of State, Department of Agriculture, United States Information Agency, Agency for International Development, Peace Corps, and the Department of Commerce.

Categories of records in the system:

Information in the system is as follows: Active Records: Name; social security number; salary; category-grade; year of entry into system; service computation date; year of birth; year of resignation or year of death, and refund if any; indication of LWOP status (if any); Retired Records: Same as actives; annuity; year of separation; cause of separation (optional, disability, deferred, etc.); years and months of service by type of service; single or married; spouse's year of birth; principal's year of death; number of children on annuity roll; children's years of birth and annuities.

Authority for maintenance of the system:

22 U.S.C. 1101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Data regarding specific individuals is released only to the contributing agency for purposes of verification.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Data are on computer tapes and computer printouts.

Retrievability:

Alphabetically.

Safeguards:

Records are stored in the Actuary's office. Access is restricted to employees of the Office of the Government Actuary.

Retention and disposal:

Records are retained on a year-to-year basis. When agencies whose pension funds are valued forward new records for valuation, older records are discarded.

System manager(s) and address:

The Government Actuary, Departmental Offices, 1500 Pennsylvania Ave., NW., Washington, DC 20220.

Notification procedure:

Individuals wishing to be notified if they are named in this system of records, or gain access to records maintained in this system must submit a written request containing the following elements: (1) Identify the record system; (2) identify the category and type of records sought; and (3) provide at least two items of secondary identification (date of birth, employee identification number, dates of employment or similar information) address inquiries to Chief, Disclosure Program Manager (see "Record access procedures" below).

Record access procedures:

Disclosure Program Manager, Department of the Treasury, Room 1054–MT, 1500 Pennsylvania Ave., NW., Washington, DC 20220.

Contesting record procedures:

See "Record access procedures" above.

Record source categories:

Data for actuarial valuation are provided by organizations responsible for pension funds listed under "category of individual," namely the Department of State, Department of Agriculture, United States Information Agency, Agency for International Development, Peace Corps, and the Department of Commerce.

Systems exempted from certain provisions of the act:

None.

Treasury/DO .052

System name:

Travel Records—Treasury/DO.

System location:

Financial Management Division, Room 1010–MT, 1500 Pennsylvania Ave., NW., Washington, DC 20220.

Categories of individuals covered by the system:

All individuals authorized to perform travel for the Departmental offices.

Categories of records in the system:

Form OS–70–02–1, Authorization to Perform Travel, with the SF 1012, Travel Voucher, which details travel performed and expenses incurred with necessary receipts to support the claim for reimbursement to the traveler.

Authority for maintenance of the system:

5 U.S.C. 5701–5709.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in these records may be used: (1) To disclose pertinent information to appropriate Federal, state, local, or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (2) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains. (3) To provide information to the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings. (4) To provide information to unions recognized as exclusive bargaining representatives under the Civil Service Reform Act of 1978, 5 U.S.C. 7111 and 7114. (5) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation. (6) To furnish another federal agency information to effect inter-agency salary offset; to furnish another federal agency information to effect interagency administrative offset, except that no IRS address information will be disclosed to another agency from this system; to furnish a consumer reporting agency information to obtain commercial credit reports; and to furnish a debt collection contractor information for debt collection services. Current mailing addresses acquired from the Internal Revenue Service and which become a part of this system are routinely released to consumer reporting agencies to obtain credit reports and to debt collection agencies for collection services as necessary. (7) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing Counsel or witnesses in the course of civil discovery, litigation or settlement negotiations in response to a subpoena, or in connection with criminal law proceedings.

Disclosure to consumer reporting agencies:

Disclosures pursuant to 552a(b)(12). Disclosures of debt information concerning a government claim against an individual may be made from this system to consumer reporting agencies as defined in the Fair Credit Reporting Act (15 U.S.C. 1681a(f) or the Federal Claims Collection Act of 1966 (31 U.S.C. 3701(a)(3)).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Original document forms in file cabinet.

Retrievability:

Filed by name on a fiscal year basis.

Safeguards:

Non-sensitive material handled routinely in regular file cabinet. Access to system is limited to those agency officials who need to use this information as a part of their daily or periodic work assignments.

Retention and disposal:

Presently retained for three years and then forwarded to the Federal Records Center for an additional seven years, then burned or shredded.

System manager(s) and address:

Director, Financial Management Division, Room 1010 MT, 1500 Pennsylvania Ave., NW., Washington, DC 20220.

Notification procedure:

Individuals wishing to be notified if they are named in this system or gain access to records maintained in this system must submit a request containing the following elements: (1) Identify the record system; (2) identify the category and type of records sought; and (3) provide at least two items of secondary identification (date of birth, employee identification number, dates of employment or similar information). Address inquiries to Disclosure Program Manager (See "Record access procedures" below).

Record access procedures:

Disclosure Program Manager, Department of the Treasury, Room 1054, 1500 Pennsylvania Ave., NW., Washington, DC 20220.

Contesting record procedures:

See "Record access procedures" above.

Record source categories:

Facts and figures are presented by the individual who performed the authorized travel.

Systems exempted from certain provisions of the act:

None.

Treasury/DO .053

System name:

Treasury Emergency Preparedness Information Program—Treasury/DO.

System location:

Emergency Preparedness Division (EPD), 1500 Pennsylvania Ave., NW., Room 1306, Washington, DC 20220.

Categories of individuals covered by the system:

(1) Treasury Emergency Management Team Members (Teams Alpha, Bravo and Charlie), (2) Key Treasury Personnel.

Categories of records in the system:

(1) Emergency Management Team Member Lists (by Departmental Offices and by Treasury Bureau listing); Name, Position Title, Office/Agency. (2) Key Treasury Personnel Alert Notification Lists; Name, Telephone Numbers (Office and Home), Office/Agency. (3) Information by individual application for Permanent Badge for FEMA Special Facility; Name, Date of Birth, Physical Identification.

Authority for maintenance of the system:

Treasury Directive (TD) 23-01, Civil Emergency Preparedness Planning, January 29, 1987; Office of Emergency Preparedness (OEP) Circular 9100.2, April 12, 1972; Executive Order 11490; FEMA ORDER SF 1210.1, procedures for access to Areas A and B of the Federal Emergency Management Agency Special Facility, July 29, 1985; FEMA Form SF-86-12, July 1985, Request for Continual Access to the FEMA Special Facility.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in these records may be disclosed to the Federal Emergency Management Agency.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

(1) Magnetic tapes, punch cards and reports, and computer diskettes Emergency Management Team Lists and Alert Notification Lists: Master copies maintained in EPD office. Copies are prepositioned within the Departmental Offices, Telecommunications Center, Treasury Emergency Operating Facilities (TAOF and FEMA/SF). (2) Request for permanent badge for FEMA Special Facility: original filed with the Federal Emergency Management Agency (FEMA). Copy filed in EPD office.

Retrievability:

Indexed by name.

Safeguards:

Treasury Master Records are stored in lockable cabinets or secure rooms; access is limited to officials who have a need for the information; employees are trained to make only authorized disclosures.

Retention and disposal:

(1) Emergency Management Team Member List, and (2) Key Treasury Personnel Alert Notification Lists are updated upon resignation, retirement or transfer of assigned employee. Obsolete lists are destroyed by shredding or diskette erasure. (3) Badges are retrieved and returned to FEMA for accountability and destruction when employee no longer has official need for pass.

System manager(s) and address:

Emergency Coordinator, 1500 Pennsylvania Ave., NW., Room 1306, Washington, DC 20220.

Notification procedure:

Individuals wishing to be notified if they are named in this system or gain access to records maintained in this system must submit a request containing the following elements: (1) Identification of the record system; (2) identification of the category and type of records sought; and (3) at least two items of secondary identification (date of birth, employee identification number, dates of employment or similar information). Address inquiries to Disclosure Program Manager (See "Record access procedures" below).

Record access procedures:

Disclosure Program Manager, Department of the Treasury, Room 1054, 1500 Pennsylvania Avenue, NW., Washington, DC 20220.

Contesting record procedures:

See "Record access procedures" above.

Record source categories:

The information in these records was provided by or verified by the subject of the record, employers, and co-workers.

Systems exempted from certain provisions of the act:

None.

Treasury/DO .060

System name:

Correspondence files and records on employee complaints and/or dissatisfaction—Treasury/DO.

System location:

Office of Personnel, Room 7115, ICC Building, 1201 Constitution Ave., NW, Washington, DC 20220.

Categories of individuals covered by the system:

Former and current Department employees who have submitted complaints to the Office of Personnel or whose correspondence concerning a matter of dissatisfaction has been referred to the Office of Personnel.

Categories of records in the system:

Correspondence dealing with former and current employee complaints.

Authority for maintenance of the system:

5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in these records may be used: (1) To disclose pertinent information to appropriate Federal, state, and local, or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential civil or criminal law or regulation. (2) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains. (3) To provide information to unions recognized as exclusive bargaining representatives under the Civil Service Reform Act of 1978, 5 U.S.C. 7111 and 7114. (4) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File folders, file cabinets.

Retrievability:

By bureau and employee name.

Safeguards:

Maintained in filing cabinet and released only to Office of Personnel staff or other Treasury officials on a need-to-know basis.

Retention and disposal:

Records are maintained and disposed of in accordance with Department of the Treasury Directive 25-02, "Records Disposition Management Program" and the General Records Schedule.

System manager(s) and address:

The Director of Personnel, Department of the Treasury, Room 7115, ICC Building, 1201 Constitution Ave., NW., Washington, DC 20220.

Notification procedure:

Persons inquiring as to the existence of a record on themselves may contact: Assistant Director of Personnel, (Employee and Labor Relations) Department of the Treasury, Room 7119, ICC Building, 1201 Constitution Ave., NW., Washington, DC 20220. The inquiry must include the individual's name and employing bureau.

Record access procedures:

Persons seeking access to records concerning themselves may contact: The Director of Personnel, Department of the Treasury, Room 7115, ICC Building, 1201 Constitution Ave., NW., Washington, DC 20220. The inquiry must include the individual's name and employing bureau.

Contesting record procedures:

Individuals wishing to request amendment to their records to correct factual error should contact the Director of Personnel at the address shown in Access, above. They must furnish the following information: (a) Name; (b) employing bureau; (c) the information being contested; (d) the reason why they believe information is untimely, inaccurate, incomplete, irrelevant, or unnecessary.

Record source categories:

Current and former employees, and/or representatives, employees' relatives, Congressmen, the White House, management officials.

Systems exempted from certain provisions of the act:

None.

Treasury/DO .062

System name:

Executive Inventory Files—Treasury/DO.

System location:

Room 7102, ICC Building, 1201 Constitution Ave., NW, Washington, DC 20220.

Categories of individuals covered by the system:

All SES and GS-16, 17 and 18 employees of the Department of the Treasury.

Categories of records in the system:

A brief description of identifying biographical data, work experience, education, professional activities, honors, special qualifications and references.

Authority for maintenance of the system:

Executive Order 11315.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The records in this system may be disclosed to a Congressional office in order to compile statistical information on SES participants. Information in the records may also be shared with the Office of Personnel Management and other Federal agencies in compiling reports or to correct information maintained by OPM on Treasury Executives.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File cabinets.

Retrievability:

Numerically by bureau and position number.

Safeguards:

Access is limited to authorized Treasury personnel and management officials on a need-to-know basis.

Retention and disposal:

The records are kept as long as the employee is assigned to an SES or GS-16, 17, or 18 position, except for employees who retire. The records on retirees are kept for approximately one year from their date of retirement. The records are destroyed by burning.

System manager(s) and address:

Director of Personnel, Room 7115, ICC Building, 1201 Constitution Ave., NW., Washington, DC 20220.

Notification procedure:

Director of Personnel, Room 7115, ICC Building, 1201 Constitution Ave., NW., Washington, DC 20220. The individual needs to provide his/her name, present organizational assignment, position title and grade.

Record access procedures:

See notification above.

Contesting record procedures:

See notification procedure above.

Record source categories:

The SF-171 is provided by the employee to their servicing personnel office.

Systems exempted from certain provisions of the act:

None.

Treasury/DO .065

System name:

Appointment at Above the Minimum Rate of theGrade Files—Treasury/DO.

System location:

Room 7102, ICC Building, 1201 Constitution Ave., NW., Washington, DC 20220.

Categories of individuals covered by the system:

Persons proposed for employment by the Department of the Treasury at a salary rate above the minimum rate of the grade.

Categories of records in the system:

A collection of documents required for requesting approval of appointments at a salary rate above the minimum rate of the grade, including: Personal Qualifications Statement (SF-171); Position Description (OF-8); letters of justification; and general correspondence requesting approval of the action.

Authority for maintenance of the system:

5 U.S.C. 5333.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The information may be used for review/audit purposes by the Office of Personnel Management.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File cabinets.

Retrievability:

Indexed by name in log and filed chronologically.

Safeguards:

Access is limited to authorized Treasury personnel and management officials on a need-to-know basis.

Retention and disposal:

Records are retained for two years and are destroyed by standard destruction methods including burning.

System manager(s) and address:

Director of Personnel, Room 7115, ICC Building, 1201 Constitution Ave., NW., Washington, DC 20220.

Notification procedure:

Director of Personnel, Room 7115, ICC Building, 1201 Constitution Ave., NW., Washington, DC 20220. The individual is required to provide his/her name and the Treasury organizational assignment, position title, grade/salary, and date of most recent appointment above the minimum rate of the grade requested.

Record access procedures:

See "Notification procedure" above.

Contesting record procedures:

See "Notification procedure" above.

Record source categories:

The documents which constitute this system, and which are listed under Categories of Records, came from the individual applicant, his/her servicing personnel office, the Office of Personnel Management, and other concerned management officials within the Department of the Treasury.

Systems exempted from certain provisions of the act:

None.

Treasury/DO .066

System name:

Combined Applicant/Applicant Correspondence File—Treasury/DO.

System location:

Room 7102, ICC Building, 1201 Constitution Ave., NW., Washington, DC 20220.

Categories of individuals covered by the system:

Persons who have sent applications, or have asked questions about employment in the Department of the Treasury, or whose applications or questions have been referred to the Department of the Treasury by others for reply.

Categories of records in the system:

Standard Applications for Federal Employment (SF-171). Resumes providing a reflection of such personal or job-related experience as the writer elected to furnish. Correspondence from applicants and responses thereto, ranging from general inquiries to specific complaints about alleged practices, treatment, or requirements.

Authority for maintenance of the system:

5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records may be disclosed to a Congressional office in response to an inquiry made at the request of the individual to whom the record pertains.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File cabinets.

Retrievability:

Alphabetically by name of applicant.

Safeguards:

Access is limited to authorized Treasury personnel and management officials on a need-to-know basis.

Retention and disposal:

Files are maintained for two years, then burned.

System manager(s) and address:

Director of Personnel, Room 7115, ICC Building, 1201 Constitution Ave., NW., Washington, DC 20220.

Notification procedure:

Director of Personnel, Room 7115, ICC Building, 1201 Constitution Ave., NW., Washington, DC 20220. Since the system is filed alphabetically, only the applicant's name is required.

Record access procedures:

Director of Personnel, Room 7115, ICC Building, 1201 Constitution Ave., NW., Washington, DC 20220.

Contesting record procedures:

See "Record access procedures" above.

Record source categories:

Applications (SF-171, resumes) from the general public, including correspondence initially addressed to the President, Congressmen, or Senators are transmitted to this office because they deal with Treasury matters, issues, or employment.

Systems exempted from certain provisions of the act:

None.

Treasury/DO .067

System name:

Detailed Employee Files—Treasury/DO.

System location:

Room 7102, ICC Building, 1201 Constitution Ave., NW., Washington, DC 20220.

Categories of individuals covered by the system:

Department of the Treasury employees whose detail to other positions, or other Government employees whose details to the Department of the Treasury, require approval at the Departmental level.

Categories of records in the system:

Correspondence requesting approval of details and Request for Personnel Action (SF-52) which documents the detail and reflects approval of it. In some instances there may also be a Personal Qualifications Statement (SF-171), and attachments, Position Description (OF-8), and Request for Approval of Non-Competitive Action (SF-59).

Authority for maintenance of the system:

5 U.S.C. 3341-3349.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records may be disclosed to a Congressional office in response to an inquiry made at the request of the individual to whom the record pertains.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File cabinets.

Retrievability:

Indexed by name in log and filed chronologically.

Safeguards:

Access is limited to authorized Treasury personnel and management officials on a need-to-know basis.

Retention and disposal:

Records are retained for 2 years and are destroyed by standard destruction methods including burning.

System manager(s) and address:

Director of Personnel, Room 7115, ICC Building, 1201 Constitution Ave., NW., Washington, DC 20220.

Notification procedure:

Director of Personnel, Room 7115, ICC Building, 1201 Constitution Ave., NW., Washington, DC 20220. The individual is required to provide his/her name and the Treasury organizational assignment, position title, grade/salary, and approximate date of the detail requested requiring approval at the Departmental level.

Record access procedures:

Director of Personnel, Room 7115, ICC Building, 1201 Constitution Ave., NW., Washington, DC 20220.

Contesting record procedures:

See "Record access procedures" above.

Record source categories:

The documents which constitute this system, and which are listed under Categories of Records, came from the employee's servicing personnel office, and other concerned management officials within the Department of the Treasury.

Systems exempted from certain provisions of the act: None.

Treasury/DO .068

System name:

Time-In-Grade Exception Files—Treasury/DO.

System location:

Room 7102, ICC Building, 1201 Constitution Ave., NW., Washington, DC 20220.

Categories of individuals covered by the system:

Persons employed by, or proposed for employment by, the Department of the Treasury and for whom an exception to Time-In-Grade Restrictions is sought.

Categories of records in the system:

A collection of documents required for approval of exceptions to Time-In-Grade Requirements including: Request for Approval of Non-Competitive Action (SF-59); Personal Qualifications Statement (SF-171); Position Description (OF-8); and, in some instances, Request for Personnel Action (SF-52); and memoranda of justification.

Authority for maintenance of the system:

5 U.S.C. 301, and 5 U.S.C. 1104.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Information from these records may be disclosed to (1) the Office of Personnel Management for audit of exceptions granted, and (2) a Congressional office in response to an inquiry made at the request of the individual to whom the record pertains.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File cabinet.

Retrievability:

Indexed by name in log and filed chronologically.

Safeguards:

Access is limited to authorized Treasury personnel and management officials on a need-to-know basis.

Retention and disposal:

Records are retained for 2 years and are destroyed by standard destruction methods including burning.

System manager(s) and address:

Director of Personnel, Room 7115, ICC Building, 1201 Constitution Ave., NW., Washington, DC 20220.

Notification procedure:

Director of Personnel, Room 7115, ICC Building, 1201 Constitution Ave., NW., Washington, DC 20220.

The individual is required to provide his/her name and the Treasury organizational assignment, position title, grade/salary, and approximate date of the Time-In-Grade exception requested.

Record access procedures:

Director of Personnel, Room 7115, ICC Building, 1201 Constitution Ave., NW., Washington, DC 20220.

Contesting record procedures:

See "Record access procedures" above.

Record source categories:

The documents which constitute this system, and which are listed under Categories of Records, came from the individual employee or applicant, his servicing personnel office, and other concerned management officials within the Department of the Treasury.

Systems exempted from certain provisions of the act:

None.

Treasury/DO .070

System name:

Automated Systems Division, Work Assignment and Control Form—Treasury/DO.

System location:

Room B-91, Main Treasury, 1500 Pennsylvania Ave., NW., Washington, DC 20220.

Categories of individuals covered by the system:

Personnel in Automated Systems Division.

Categories of records in the system:

List of projects and time spent on each project. List of projected project milestone dates and actual dates completed.

Authority for maintenance of the system:

5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Disclosures are not made outside the Department.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper, magnetic media.

Retrievability:

Indexed by name or code identifier.

Safeguards:

Under supervision of responsible manager during working hours. Room locked at other times.

Retention and disposal:

Retained one year, then erased or discarded.

System manager(s) and address:

Assistant Director, (Planning and Coordination), Automated Systems Division, Room 1136, Main Treasury, 1500 Pennsylvania Ave., NW., Washington, DC 20220.

Notification procedure:

Assistant Director, (Planning and Coordination), Automated Systems Division, Room 1136, Main Treasury, 1500 Pennsylvania Ave., NW., Washington, DC 20220. Identifying information—name.

Record access procedures:

Written request to: Automated Systems Division, Room 1136, Main Treasury, 1500 Pennsylvania Ave., NW., Washington, DC 20220.

Contesting record procedures:

See Access above.

Record source categories:

Forms filled out by staff members.

Systems exempted from certain provisions of the act:

None.

Treasury/DO .111

System name:

Office of Foreign Assets Control Census Records—Treasury/DO.

System location:

Office of Foreign Assets Control, 1331 G Street, NW., Washington, DC 20220.

Categories of individuals covered by the system:

Although most reporters in the Census in this system of records are not individuals, such censuses reflect some small number of U.S. individuals as holders of assets subject to U.S. jurisdiction which are blocked under the various sets of Treasury Department regulations involved.

Categories of records in the system:

Reports of several censuses of U.S.-based, foreign-owned assets which have been blocked at any time since 1940 under Treasury Department regulations found at 31 CFR subpart B, chapter V. Regulations; Foreign Funds Control Regulations; Cuban Assets Control Regulations; Iranian Assets Control Regulations; or the Libyan Sanctions Regulations.

Authority for maintenance of the system:

50 U.S.C., App. 5(b); 22 U.S.C. 2370(a); 50 U.S.C. 1701 et seq.; and 31 CFR Chapter V.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

(1) To disclose information to appropriate state agencies which are concerned with or responsible for abandoned property; (2) to disclose information to foreign governments in accordance with formal or informal international agreements; (3) to provide information to a Congressional office in response to an inquiry made at the request of the individual to whom the record pertains; (4) to provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation; (5) to provide certain information to appropriate senior foreign-policy-making officials in the Department of State.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

1950 Census of Blocked Chinese Assets are stored in folders in file cabinets in the offices of Foreign Assets Control, and at the Federal Records Center; 1964 Census of Blocked Cuban Assets are stored in folders in file cabinets; 1970 Census of Blocked Chinese Assets are stored in folders and on computer printout in file cabinets; 1980 censuses of Iranian Assets and Iranian Claims are stored in folders and on magnetic tape in file cabinets; 1983 comprehensive update of blocked assets under Foreign Assets Control Regulations, Foreign Funds Control Regulations, and Cuban Assets Control Regulations are stored in Treasury computers and in folders in file cabinets; 1986 Libyan "mini-census" of blocked assets are stored in file folders and on computer diskettes.

Retrievability:

By name of holder or custodian or owner of blocked property.

Safeguards:

Locked room, or in locked file cabinets located in areas in which access is limited to Foreign Assets Control employees. Computerized records are password-protected.

Retention and disposal:

Records are periodically updated and maintained as long as needed. When no longer needed, records are retired to Federal Records Center or destroyed in accordance with established procedures.

System manager(s) and address:

Director, Office of Foreign Assets Control, Department of the Treasury, Room 504, 1331 G Street, NW., Washington, DC 20220.

Notification procedure:

Individuals wishing to be notified if they are named in this system of records, or to gain access to records maintained in the system, must submit a written request containing the following elements: (1) Identify the record system; (2) identify the category and type of record sought; and (3) provide at least two items of secondary identification (date of birth, employee identification number, dates of employment or similar information). Address inquiries to Disclosure Program Manager Branch (See "Record access Procedures" below.)

Record access procedures:

Disclosure Program Manager, Department of the Treasury, Room 1054, 1500 pennsylvania Ave., NW., Washington, DC 20220.

Contesting record procedures:

See "Record access procedures" above.

Record source categories:

Custodians or other holders of blocked assets.

Systems exempted from certain provisions of the act:

None.

Treasury/DO .114

System name:

Foreign Assets Control Enforcement Records—Treasury/DO.

System location:

Office of Foreign Assets Control, 1331 G Street, NW., Washington, DC 20220.

Categories of individuals covered by the system:

Individuals who have engaged or who are suspected of having engaged in transactions and activities prohibited by Treasury Department regulations found at 31 CFR subpart B, chapter V.

Categories of records in the system:

Documents related to suspected or actual violations of relevant statutes and regulations administered by the Office of Foreign Assets Control.

Authority for maintenance of the system:

50 U.S.C., App. 5(b); 50 U.S.C. 1701 et. seq.; 22 U.S.C. 287(c); 22 U.S.C. 2370(a); and 31 CFR Chapter V; 100 Stat. 1086, as amended by H.J. Res. 756, Pub. L. 99-631.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

(1) To disclose information to appropriate Federal agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order or license; (2) to disclose information to a Federal, state, or local agency, maintaining civil, criminal or other relevant enforcement or other pertinent information, which has requested information relevant to or necessary to the requesting agency's official functions; (3) to disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosure to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations or in response to a subpoena or in connection with criminal law proceedings; (4) to disclose information to foreign governments in accordance with formal or informal international agreements; (5) to provide information to a Congressional office in response to an inquiry made at the request of the individual to whom the record pertains; (6) to provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File folders and magnetic media.

Retrievability:

By name of individual.

Safeguards:

Folders in locked file cabinets are located in areas of limited accessibility. Computerized records are password-protected.

Retention and disposal:

Records are periodically updated and are maintained as long as necessary. When no longer needed, records are retired to Federal Records Center or destroyed in accordance with established procedures.

System manager(s) and address:

Director, Office of Foreign Assets Control, U.S. Treasury Department, Washington, DC.

Notification procedure:

This system of records may not be accessed for purposes of determining if the system contains a record pertaining to a particular individual.

Record access procedures:

This system of records may not be accessed for purposes of inspection or for contest of content of records.

Contesting record procedures:

See "Record access procedures" above.

Record source categories:

From the individual, from the Office of Foreign Assets Control investigations, and from other federal, state or local agencies.

Systems exempted from certain provisions of the act:

This system is exempt from 5 U.S.C. 552a (c)(3), (d), (e)(1), (e)(4), (G), (H), (I), and (f) of the Privacy Act pursuant to 5 U.S.C. 552a(k)(2).

Treasury/DO .118

System name:

Foreign Assets Control Licensing Records—Treasury/DO.

System location:

Office of Foreign Assets Control, 1331 G Street, NW., Washington, DC 20220.

Categories of individuals covered by the system:

Applicants for permissive and authorizing licenses issued Treasury Departments regulations under 31 CFR subpart B, chapter V.

Categories of records in the system:

Applications for Treasury licenses—together with related and supporting documentary material and copies of licenses issued.

Authority for maintenance of the system:

50 U.S.C., App. 5(b); 22 U.S.C. 2370(a); 22 U.S.C. 287(c); 50 U.S.C. 1701 et seq.; 31 CFR Chapter V; 100 Stat. 1086, as amended by H.J. Res. 756, Pub. L. 99-631.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

(1) To disclose information to appropriate Federal, state, local, or foreign agencies responsible for investigating or prosecuting the violation of, or for enforcing or implementing, a statute, rule, regulation, order, or license; (2) to disclose information to the Department of State, Commerce, Defense or other federal agencies, in connection with Treasury licensing policy or other matters of mutual interest or concern; (3) to disclose information to a Federal, State, or local agency, maintaining civil, criminal or other relevant enforcement or other pertinent information, which has requested information relevant to or necessary to the requesting agency's official functions; (4) to disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosure to opposing counsel or witnesses, in the course of civil discovery, litigation, or settlement negotiations in response to a subpoena or in connection with criminal law proceedings; (5) to disclose information to foreign governments in accordance with formal or informal international agreements; (6) to provide information to a Congressional office in response to an inquiry made at the request of the individual to whom the record pertains.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File folders and magnetic media.

Retrievability:

The records are retrieved by license or letter number.

Safeguards:

Folders in locked file cabinets are located in areas of limited accessibility. Computerized records are password-protected.

Retention and disposal:

Records are periodically updated to reflect changes and maintained as long as needed. When no longer needed, records are retired to Federal Records Center or destroyed in accordance with established procedures.

System manager(s) and address:

Director, Office of Foreign Assets Control, Department of the Treasury, Room 504, 1331 G Street, NW., Washington, DC 20220.

Notification procedure:

Individuals wishing to be notified if they are named in this system of records, or to gain access to records maintained in the system of records, must submit a written request containing the following elements: (1) Identify the record system; (2) identify the category and type of records sought; and (3) provide at least two items of secondary identification (date of birth, employee identification number, dates of employment or similar information). Address inquiries to Disclosure Program Manager (See "Record access procedures" below).

Record access procedures:

Disclosure Program Manager, Department of the Treasury, Room 1054, 1500 Pennsylvania Ave., NW., Washington, DC 20220.

Contesting record procedures:

See "Record access procedures" above.

Record source categories:

Applicants for Treasury Department licenses under regulations administered by the Office of Foreign Assets Control.

Systems exempted from certain provisions of the act:

None.

Treasury/DO .144

System name:

General Counsel Litigation Referral and Reporting System—Treasury/DO.

System location:

U.S. Department of the Treasury, Office of the General Counsel, 1500 Pennsylvania Avenue NW., Washington, DC 20220.

Categories of individuals covered by the system:

Persons who are parties, plaintiff or defendant, in civil litigation or administrative proceedings involving or concerning the Department of the Treasury or its officers or employees. The system does not include information on every civil litigation or administrative proceeding involving the Department of the Treasury or its officers and employees.

Categories of records in the system:

This system of records consists of index cards and a computer data base containing information related to litigation or administrative proceedings involving or concerning the Department of the Treasury or its officers or employees.

Authority for maintenance of the system:

5 U.S.C. 301; 31 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in these records may be used: (1) To disclose pertinent information to appropriate Federal, State, or foreign agencies responsible for investigating or prosecuting the violations of, or for implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation; (2) To disclose information to a Federal, State, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit; (3) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations in response to a subpoena or in connection with criminal law proceedings; (4) To disclose information to foreign governments in accordance with formal or informal international agreements; (5) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains; (6) To provide information to the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings; (7) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

The index cards are maintained in a file box. The computerized records are maintained in computer data banks and printouts.

Retrievability:

The index cards are filed alphabetically by the name of the non-government party involved in the case. The computer information is sorted by court level, by a date indicating whether the case record concerns a new or old case or by a date indicating whether the case record has been updated subsequent to the prior monthly report.

Safeguards:

Access is limited to employees who have a need for such records in the course of their work. Background checks are made on employees. All facilities where records are stored have access limited to authorized personnel.

Retention and disposal:

The index cards are maintained during the pending litigation and for approximately three years thereafter. They are then destroyed. The computer information is maintained during the pending litigation and is deleted from the system once the case is resolved.

System manager(s) and address:

Associate General Counsel (Legislation, Litigation, and Regulation), Office of the General Counsel, Department of the Treasury, 1500 Pennsylvania Ave., NW., Washington, DC 20220.

Notification procedure:

Individuals wishing to be notified if they are named in this system of records, or gain access to records maintained in this system must submit a written request containing the following elements: (1) An identification of the record system; and (2) an identification of the category and type of records sought. This system contains records that are exempt under 31 CFR 1.36; 5 U.S.C. 552a (j)(2); and (k)(2). Address inquiries to Disclosure Program Manager, Department of the Treasury, Room 1054 MT, 1500 Pennsylvania Ave., NW., Washington, DC 20220.

Record access procedures:

Disclosure Program Manager, Department of the Treasury, Room 1054, 1500 Pennsylvania Ave., NW., Washington, DC 20220.

Contesting record procedures:

See "Record access procedures" above.

Record source categories:

Treasury Department Legal Division, Department of Justice Legal Division.

Systems exempted from certain provisions of the Act:

This system is exempt from 5 U.S.C. 552a (d), (e)(1), (e)(3), (e)(4) (G), (H), (I), and (f) of the Privacy Act pursuant to 5 U.S.C. 552a(k)(2).

Treasury/DO .149

System name:

Foreign Assets Control Legal Files—Treasury/DO.

System location:

1331 G St. NW., Room 400, Washington, DC 20220.

Categories of individual covered by the system:

Person who are or who have been parties in litigation involving the Office of Foreign Assets Control or statutes and regulations administered by the agency found at 31 CFR subpart B, chapter V.

Categories of records in the system:

Information and documents relating to litigation involving the Office of Foreign Assets Control or statutes and regulations administered by the agency.

Authority for maintenance of the system:

31 U.S.C. 301; 50 U.S.C. App. 5(b); 50 U.S.C. 1701 et seq.; 22 U.S.C. 2370(a).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in these records may be used: (1) To prosecute, defend, or intervene in litigation related to the Office of Foreign Assets Control and statutes and regulations administered by the agency; (2) To disclose pertinent information to appropriate Federal, State, local, or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order or license; (3) To disclose information to a Federal, State, or local agency, maintaining civil, criminal, or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's official functions; (4) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations or in connection with criminal law proceedings; (5) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Folders in file cabinets and magnetic media.

Retrievability:

By name of private plaintiff or defendant.

Safeguards:

Folders in locked file cabinets are located in areas of limited accessibility. Computerized records are password-protected.

Retention and disposal:

Records are periodically updated and maintained as long as needed.

System manager(s) and address:

Administrative Officer, Room 3006-MT, U.S. Treasury Department, Washington, DC 20220.

Notification procedure:

Individuals wishing to be notified if they are named in this system of records, or gain access to records maintained in this system must submit a written request containing the following elements: (1) Identify the record system; (2) identify the category and type of records sought; and (3) provide at least two items of secondary identification (date of birth, employee identification number, dates of employment or similar information).

Record access procedures:

Address inquiries to Disclosure Program Manager, Department of the Treasury, Room 1054, 1500 Pennsylvania Ave., NW., Washington, DC 20220.

Contesting record procedures:

See "Record access procedures" above.

Record source categories:

Pleadings and other materials filed during course of a legal proceeding, discovery obtained pursuant to applicable court rules; materials obtained by Office of Foreign Assets Control investigation; material obtained pursuant to requests made to other Federal agencies; orders, opinions, and decisions of courts.

Systems exempted from certain provisions of the Act:

None.

Treasury/DO .150

System name:

Disclosure Records—Treasury/DO.

System location:

Departmental Offices, Department of the Treasury, 1500 Pennsylvania Ave., NW., Washington DC 20220.

Categories of individuals covered by the system:

Individuals who have submitted requests for information to the Departmental Offices or who have appealed initial denials to the requests.

Categories of records in the system:

Requests for records or information pursuant to the Freedom of Information Act, 5 U.S.C. 552, and/or the Privacy Act, 5 U.S.C. 552a, internal processing documents, memoranda, and referrals are kept by the Disclosure Office. Copies of requested records are kept by the program office responsible for fulfilling the request.

Authority for maintenance of the system:

5 U.S.C. 552, 5 U.S.C. 552a, 31 CFR Part 1.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in these records may be used: (1) To disclose information to other agencies when required for coordination of response or referral; (2) to disclose information to the Department of Justice for defending law suits.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper files.

Retrievability:

By name and case number.

Safeguards:

Stored in filing cabinets. Access limited to individuals with need to know or legitimate right to review.

Retention and disposal:

Retained in accordance with the provisions of the Act and Departmental records management procedures.

System manager(s) and address:

Disclosure Program Manager, Department of the Treasury, Room 1054, 1500 Pennsylvania Ave., NW., Washington, DC 20220.

Deputy Assistant Secretary (Law Enforcement), Department of the Treasury, Room 4328, 1500 Pennsylvania Ave., NW., Washington, DC 20220

Freedom of Information Act Officer or Director, Correspondence Unit, Office of Tax Policy, Department of the Treasury, Room 1124, 1500 Pennsylvania Ave., NW., Washington, DC 20220

Notification procedure:

Individuals wishing to be notified if they are named in this system of records, or gain access to records maintained in this system must submit a written request containing the following elements: (1) Identify the record system; (2) identify the category and type of records sought; and (3) provide at least two items of secondary identification (date of birth, employee identification number, dates of employment or similar information). Address inquiries to Disclosure Program Manager at the above address.

Record access procedures:

See "System Manager" above.

Contesting record procedures:

See "System Manager" above.

Record source categories:

Individuals who make Freedom of Information Act requests, federal officials responding to Freedom of Information Act requests, and documents from official records.

Systems exempted from certain provisions of the Act:

None.

Treasury/DO .154

System name:

Private relief bill system—Treasury/DO.

System location:

Office of the General Counsel, Room 1417 MT, Treasury Department, 1500 Pennsylvania Ave., NW., Washington, DC 20220.

Categories of individuals covered by the system:

Individuals who have had private relief bills introduced in Congress on their behalf.

Categories of records in the system:

Congressional committee or OMB request for Treasury views on proposed legislation plus comments on proposals from offices or bureaus of Treasury.

Authority for maintenance of the system:

5 U.S.C. 301. A function of the Office of the General Counsel is to handle and coordinate legislative work that concerns Treasury.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Information in this system may be used to furnish reports on proposed legislation to Congress or OMB.

Policies and practices for storing, retrieving, accessing, retaining, disposing of records in the system:

Storage:

Indexed on 5" by 8" card by bill number and cross-indexed by individual's name. Complete file is kept by bill number and Congress.

Retrievability:

By name and bill number.

Safeguard:

Limited number of authorized employees permitted access.

DRetention and disposal:

Records are periodically updated to reflect changes and maintained as long as needed.

System manager(s) and address:

Administrative Officer, Room 3006 MT, Department of the Treasury, Office of the General Counsel, 1500 Pennsylvania Ave., NW., Washington, DC 20220.

Notification procedure:

Individuals wishing to be notified if they are named in this system of records, or gain access to records maintained in this system must submit a written request containing the following elements: (1) Identify the record system; (2) identify the category and type of records sought; and (3) provide at least two items of secondary identification (date of birth, employee identification number, dates of employment or similar information). Address inquiries to Disclosure Program Manager (See "Record access procedures" below).

Record access procedures:

Disclosure Program Manager, Department of the Treasury, Room 1054, 1500 Pennsylvania Ave., NW., Washington, DC 20220.

Contesting record procedures:

See "Record access procedures" above.

Record source categories:

Sources of the request are usually Congressional committees or OMB. Other information comes from the Treasury bureau or office concerned in the matter and from the individual concerned.

Systems exempted from certain provisions of the Act:

None.

Treasury/DO .156

System name:

Tax Court Judge Applicants—Treasury/DO.

System locaton:

Department of the Treasury, Office of the General Counsel, Room 3000 MT, 1500 Pennsylvania Ave., NW., Washington, DC 20220.

Categories of individuals covered by the system:

Individuals requesting consideration for appointment to Tax Court judgeships.

Categories of records in the system:

Information concerning the qualification of individuals for appointment to the Tax Court.

Authority for maintenance of the system:

26 U.S.C. 7443.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Information from this system may be disclosed to the White House with recommendations to the President on appointments to the Tax Court.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the syrtem:

Storage:

File cabinets.

Retrievability:

By name of individual.

Safeguards:

The files are kept in locked cabinets with a limited number of employees permitted access.

Retention and disposal:

The records relating to individuals date from 1981 and are destroyed at the end of each administration.

System manager(s) and address:

Administrative Officer, Office of the General Counsel, Room 3006-MT, 1500 Pennsylvania Ave., NW., Washington, DC 20220.

Notification procedure:

Individuals wishing to be notified if they are named in this system of records, or gain access to records maintained in this system must submit a written request containing the following elements: (1) Identify the record system; (2) Identify the category and type of records sought; (3) Provide at least two items of secondary identification (date of birth, employee identification number, dates of employment or similar information). Address inquiries to Disclosure Program Manager (See "Record access procedures" below).

Record access procedures:

Disclosure Program Manager, Department of the Treasury, Room 1054 MT, 1500 Pennsylvania Ave., NW., Washington, DC 20220.

Contesting record procedures:

See "Record access procedures" above.

Record source categories:

Individual concerned and letters of recommendation from other individuals submitted at the request of the individual and/or the Department.

Systems exempt from certain provisions of the Act:

None.

Treasury/DO .183

System name:

Private Relief Tax Bill Files—Office of the Assistant Secretary for Tax Policy—Treasury/DO.

System location:

Room 4028-MT, 1500 Pennsylvania Ave., NW., Washington, DC 20220.

Categories of individuals covered by the system:

Individuals who have had private relief tax bills introduced in Congress on their behalf.

Categories of records in the system:

Congressional Committee or OMB request for Treasury views on proposed legislation, plus comments on proposal from offices or bureaus of Treasury, plus the Internal Revenue Service data concerning the issues involved and that unit's recommendation, and the report of the Treasury on the Bill.

Authority for maintenance of the system:

5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Information from this system may be disclosed to OMB and Congress.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File folders.

Retrievability:

By bill numbers or name of person for whom relief is sought.

Safeguards:

Access limited to Tax Policy personnel.

Retention and disposal:

Records are periodically updated to reflect changes and maintained as long as needed until shipped to National Archives and Records Administration.

System manager(s) and address:

Tax Legislative Counsel, Room 4028-MT, 1500 Pennsylvania Ave., NW., Washington, DC 20220.

Notification procedure:

Individuals wishing to be notified if they are named in this system of records, or gain access to records maintained in this system must submit a written request containing the following elements: (1) Identify the record system; (2) identify the category and type of records sought; and (3) provide at least two items of secondary identification (date of birth, employee identification number, dates of employment or similar information). Address inquiries to Disclosure Program Manager (See "Record access procedures" below).

Record access procedures:

Disclosure Program Manager, Department of the Treasury, Room 1054-MT, 1500 Pennsylvania Ave., NW., Washington, DC 20220.

Contesting record procedures:

See Access above.

Record source categores:

Principally the Congress and the Internal Revenue Service.

Systems exempted from certain provisions of the Act:

None.

Treasury/DO .190

System name:

General Allegations and Investigative Records—Treasury/DO.

System location:

Office of the Inspector General, ICC Building, 1201 Constitution Ave., NW., Washington, DC 20423

Categories of individuals covered by the system:

(A) Current and former employees of the Department of the Treasury and persons whose association with current and former employees relate to the alleged violations of the Department's rules of conduct, the Office of Personnel Management merit system, or any other criminal or civil misconduct, which affects the integrity or facilities of the Department of Treasury. The names of individuals and the files in their names may be: (1) Received by referral; or (2) initiated at the discretion of the Office of the Inspector General in the conduct of assigned duties. (B) Individuals who are: Witnesses; complainants; confidential or nonconfidential informants; suspects; defendants; parties who have been identified by the Office of the Inspector General, constituent units of the Department of Treasury, other agencies, or members of the general public in connection with the authorized functions of the Inspector General. (C) Current and former senior Treasury and bureau officials who are the subject of investigations initiated and conducted by the Office of the Inspector General.

Categories of records in the system:

(A) Letters, memoranda, and other documents citing complaints of alleged criminal or administrative misconduct. (B) Investigative files which include: (1) Reports of investigations to resolve allegations of misconduct or violations of law with related exhibits, statements, affidavits, records or other pertinent documents obtained during investigations; (2) transcripts and documentation concerning requests and approval for consensual (telephone and consensual non-telephone) monitoring; (3) reports from or to other law enforcement bodies; (4) prior criminal or noncriminal records of individuals as they relate to the investigations; and (5) reports of actions taken by management personnel regarding misconduct and reports of legal actions resulting from violations of statutes referred to the Department of Justice for prosecution.

Authority for maintenance of the system:

31 U.S.C. 321.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in these records may be used: (A) To disclose information to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation; (B) to disclose pertinent information to appropriate Federal, State, local, or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing a statute, rule, regulation, order, or license, or where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation; (C) to disclose information to a Federal, State, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an employee, or the issuance of a security clearance, license, contract, grant, or other benefit; (D) to disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations in response to a subpoena or in connection with criminal law proceedings; (E) to provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains; (F) to provide information to the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings; (G) to provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file jackets and magnetic media maintained in locked safes.

Retrievability:

Alphabetically by name and by case number.

Safeguards:

Records and word processing disks are maintained in locked safes and all access doors are locked when office is vacant. The records are available to Office of the Inspector General personnel who have an appropriate security clearance on a need-to-know basis.

Retention and disposal:

Investigative files are stored on-site for three years and indices to those files are stored on-site for five years. The word processing disks will be retained indefinitely; however, they will be updated periodically to reflect changes and will be purged when the information is no longer required. Upon expiration of their respective retention periods, the investigative files and their indices are transferred to the Federal Records Center, Suitland, Maryland, for storage and in most instances destroyed by burning, maceration or pulping when 20 years old.

System manager(s) and address:

Inspector General, Room 2412-MT, 1500 Pennsylvania Ave., NW., Washington, DC 20220.

Notification procedure:

Pursuant to 5 U.S.C. 552a(j)(2) and (k)(2), this system of records may not be accessed for purposes of determining if the system contains a record pertaining to a particular individual.

Record access procedures:

See "Notification Procedures" above.

Contesting record procedures:

See "Notification Procedures" above.

Record source categories:

See "Categories of Individuals" above. This system contains investigatory material for which sources need not be reported.

Systems exempted from certain provision of the Act:

This system is exempt from 5 U.S.C. 552(a)(c)(3)(4), (d)(1)(2)(3)(4), (e)(1)(2)(3), (4)(G), (H), and (I), (e)(5) and (8), (f) and (g) of the Privacy Act pursuant to 5 U.S.C. 552a(j)(2) and (k)(2).

Treasury/DO .193

System name:

Treasury Employee Locator System—Treasury/DO.

System location:

Main Treasury Building, 1500 Pennsylvania Ave., NW., Washington, DC 20220.

Categories of individuals covered by the system:

Information on all employees of the Department is maintained in the system if the proper locator card is provided.

Categories of records in the system:

Name, office telephone number, bureau, office symbol, building, room number, home address and phone number, and person to be notified in case of emergency.

Authority for maintenance of the system:

5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Disclosures are not made outside of the Department.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Hard copy and magnetic media.

Retrievability:

Indexed by name and/or block code numbers.

Safeguards:

All records, including computer system and all terminals are located within secure space. Only authorized personnel have access.

Retention and disposal:

Records are kept as long as needed, updated periodically and destroyed by burning.

System manager(s) and address:

Chief, Telecommunications Operations Branch, Room 1121-MT, 1500 Pennsylvania Ave., NW., Washington, DC 20220.

Notification procedure:

See "System Manager" above.

Record access procedures:

See "System Manager" above.

Contesting record procedures:

See "System Manager" above.

Record source categories:

Information is provided by individual employees. Necessary changes made if requested.

Systems exempted from certain provisions of the Act:

None.

Treasury/DO .194

System name:

Document Delivery Control System—Treasury.

System location:

Department of the Treasury, Information Services Division, Room 5030-MT, 1500 Pennsylvania Avenue, NW., Washington, DC 20220.

Categories of individuals covered by the system:

Department employees who are library users.

Categories of records in the system:

Employees who borrow library materials or receive current news publications or library material on distribution.

Authority for maintenance of the system:

5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Disclosures are not made outside the Department.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records of items borrowed from the Treasury Library collection, distribution lists for publications and subscription control lists are maintained in computer disk and tape files. Hard copy printouts of data are used for working copies to update computer data bases. Computer files are maintained by name of subscriber or borrower, office locator information, office billing code (for subscription control module) and title of publication.

Retrievability:

Data can be retrieved from the system by borrower name, office or organization, and publication title.

Safeguards:

Access to the computerized systems online requires knowledge of identification codes and protocols for calling up the data files; printed lists of borrower names are kept in a locked file. Access to the necessary protocols and identification codes is limited to staff of the Readers Services Branch and Acquisitions Unit responsible for maintenance and oversight of the circulation, subscription control, and distribution functions.

Retention and disposal:

Only current data are maintained on-line; hard copy of computer data for the circulation and distribution functions is kept on a current basis only; hard copy of the subscription control data is kept for current and preceding fiscal years only.

System manager(s) and address:

Manager, Information Services Division, Department of the Treasury, Room 5030–MT, 1500 Pennsylvania Ave., NW., Washington, DC 20220.

Notification procedure:

Inquiries should be addressed to Disclosure Program Manager, Department of the Treasury, Room 1054–MT, 1500 Pennsylvania Ave., NW., Washington, DC 20220.

Record access procedures:

See "Notification procedure" above.

Contesting record procedures:

See "Notification procedure" above.

Record source categories:

Charge-out records completed by borrowers. Requests for subscriptions or distribution submitted by Treasury officials and employees.

Systems exempted from certain provisions of the Act:

None.

Treasury/DO .196

System name:

Physical Security Information System—Treasury/DO.

System location:

Room 1306 MT, 1500 Pennsylvania Ave., NW., Washington, DC 20220.

Categories of individuals covered by the system:

Department of the Treasury officials who classify documents with a national security classification, i.e., Top Secret, Secret, or Confidential.

Each Department of the Treasury official, by name and position title, who has been delegated the authority to downgrade and declassify national security information and who is not otherwise authorized to classify a document at its present classification level. The authority is delegated only by the Secretary or the Assistant Secretary of the Treasury (Management).

Each Department of the Treasury official, by name and position title, who has been delegated the authority for original classification of national security information, exclusive of officials specifically authorized original classification authority by 31 CFR Part 2. Delegations of top secret original classification authority require that the authorizing official be the Secretary or the Assistant Secretary of the Treasury (Management).

Each Department of the Treasury official by name and position title delegated the authority to derivatively classify national security information in accordance with an approved classification guide on the basis of source documents.

Each Department of the Treasury official who does not have original classification authority for national security information and who is not authorized to downgrade and declassify national security information, but who may control and/or decontrol officially limited information.

An alphabetical listing of Department of the Treasury employees who have valid security violations as a result of the improper handling, safeguarding, or storage of classified national security and officially limited information.

Department of the Treasury personnel concerned with classified national security and officially limited information who have participated in a security orientation program regarding the significant features of the security requirements and procedures for the handling and safeguarding of classified national security and officially limited information.

Categories of records in the system:

(1) Report of Authorized Downgrading and Declassification Officials, (2) Report of Authorized Classifiers, (3) Report ofAuthorized Derivative Classifiers, (4) Designation of Controlling/Decontrolling Officials, (5) Record of Security Violation, and (6) Physical Security Orientation Acknowledgment.

Authority for maintenance of the system:

Executive Order No. 12356, dated April 2, 1982, Title 31 Subtitle A Part 2, and Treasury Directives 71–02.A, dated January 29, 1981, and 71–04.A, dated February 26, 1982.

Routine uses of records maintained in the system, including categories of users and the purpose of such uses:

These records and information in these records may be used to disclose information to appropriate Federal agencies; e.g., the Information Security Oversight Office, General Services Administration, responsible for enforcing or implementing a statute, rule, regulation or order. The system is designed to (1) oversee compliance with Executive Order No. 12356 and Departmental programming and Implementation, (2) prevent improper classification of national security information, (3) record details of valid security violations and (4) assist in determining the effectiveness of physical security programs.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Hard copy paper files.

Retrievability:

Manually filed and indexed by office or bureau, date, name of official and position title, where appropriate.

Safeguards:

Secured in security equipment to which access is limited to personnel with the need to know.

Retention and disposal:

With the exception of the Record of Security Violation, which is maintained for a period of two years, and the Physical Security Orientation Acknowledgement, the remaining records are destroyed and/or updated on an annual basis. Destruction is effected by shredding or other comparable means.

System manager(s) and address:

Director, Office of Security, 1306 Main Treasury Building, 1500 Pennsylvania Avenue NW., Washington, DC 20220.

Notification procedure:

Individuals wishing to be notified if they are named in this system of records, or to gain access to records maintained in this system, must submit a written request containing the following elements: (1) Identify the record system; (2) identify the category and types of records sought; and (3) provide at least two items of secondary identification (date of birth, employee identification number, dates of employment or similar information) to the Disclosure Program Manager. (See "Record access procedures" below).

Record access procedures:

Disclosure Program Manager, Department of the Treasury, Room 1054 MT, 1500 Pennsylvania Ave., NW., Washington, DC 20220.

Contesting record procedures:

See "Record access procedures" above.

Record source categories:

The sources of the information are office and bureau employees of the Department of the Treasury. The information concerning any security violation is reported by Department of the Treasury security officials and the U.S. Department of State security officials as concerns Department of the Treasury personnel attached to U.S. diplomatic posts or missions.

Systems exempted from certain provisions of the Act:

None.

Treasury/ATF .001

System name:

Administrative Record System—Treasury/ATF.

System location:

Bureau of Alcohol, Tobacco and Firearms, 1200 Pennsylvania Avenue, NW., Washington, DC 20226. Components of this record system are geographically dispersed throughout the Bureau's field offices. A list of field offices is available by writing to the Chief, Disclosure Branch, Room 4412, 1200 Pennsylvania Avenue, NW., Washington, DC 20226.

Categories of individuals covered by the system:

(1) Present employees of the Bureau of ATF. (2) Former employees of the Bureau of ATF. (3) Claimants against the Bureau of ATF.

Categories of records in the system:

(1) Accident Report—non-vehicle. (2) Accident Report—vehicle. (3) Accountability records for Government property. (4) Credit card purchases. (5) Disability reports. (6) Fatality reports. (7) Motor pool

records. (8) Injury reports. (9) Motor vehicle operator's records. (10) Chief Counsel and Regional Counsel memoranda and opinions.

Authority for maintenance of the system:

(1) Federal Claims Collection Act. (2) Federal Employees Compensation Act. (3) Federal Property and Administration Services Act of 1949, as amended. (4) Federal Tort Claims Act. (5) Military Personnel and Federal Employees Claim Act. (6) Occupational Safety and Health Act of 1970. (7) Small Claims Act. (8) 5 U.S.C. 1302, 3301, 3302.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

A record in this system may be disclosed as a routine use to: (a) Employees of government agencies when required or authorized to be released by statute, regulations or Executive Order. (b) Any third party, to the extent necessary, to collect relevant information from the third party, provided that the information is needed by the Bureau to render a decision in regard to an administrative matter. (c) Appropriate Federal, state, local or foreign agencies responsible for enforcing administrative, civil or criminal laws; hiring or retention of an employee; issuance of a security clearance, license, contract, grant or other benefit. (d) A court, magistrate or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of or in preparation for civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (e) Unions recognized as exclusive bargaining representatives under the Civil Service Reform Act of 1978, 5 U.S.C. 7111 and 7114. (f) A congressional office in response to an inquiry made at the request of the individual to whom the record pertains. (g) Provide information to the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings.

Policies and practices for storing, retrieving, accessing, retaining, disposing of records in the system:

Storage:

Active records stored in file folders in security filing cabinets. Inactive records stored in file folders at Federal Records Centers.

Retrievability:

Records are retrievable by name of individual.

Safeguards:

Direct access restricted to personnel in Department of the Treasury in the performance of their duty. Transmitted to routine users on a "need to know" basis or where "a right to access" is established, and to others upon verification of the substance and propriety of the request. Stored in lockable metal file cabinets in rooms locked during non-duty hours.

Retention and disposal:

Records are retained in accordance with General Records Schedules Numbers 1 through 20 issued by the National Archives and Records Administration, and Bureau of Alcohol, Tobacco and Firearms records control schedules numbers 101 and 201 and disposed of by shredding or burning.

System manager(s) and address:

Chief, Administrative Services Division Bureau of Alcohol, Tobacco and Firearms, 1200 Pennsylvania Avenue, NW., Washington, DC 20226.

Notification procedure:

Inquiries should be addressed to: privacy Act Request, Bureau of Alcohol, Tobacco and Firearms, 1200 Pennsylvania Avenue, NW., Washington, DC 20226. Requests may be delivered personally to Room 4412, Bureau of Alcohol, Tobacco and Firearms, 1200 Pennsylvania Avenue, NW., Washington, DC 20226.

Record access procedures:

Requests for access to records made by mail should be addressed to: Privacy Act Request, Bureau of Alcohol, Tobacco and Firearms, 1200 Pennsylvania Avenue, NW., Washington, DC. Requests may be delivered personally to Room 4412, Bureau of Alcohol, Tobacco and Firearms, 1200 Pennsylvania Avenue, NW., Washington, DC 20226. Appeals of determinations refusing amendment of records should be addressed to: Privacy Act Appeal, Bureau of Alcohol, Tobacco and Firearms, 1200 Pennsylvania Avenue, NW., Washington, DC 20226. Appeals may be delivered personally to Room 4412, Bureau of Alcohol, Tobacco and Firearms, 1200 Pennsylvania Avenue, NW., Washington, DC 20226.

Contesting record procedures:

See Access above.

Record source categories:

(1) Administrative records. (2) Claimants. (3) Doctors. (4) Employee records. (5) Fiscal records. (6) Former employees of the Bureau of ATF. (7) Former employers. (8) General Services Administration. (9) Individuals who have information relevant to claims. (10) Inspections records. (11) Internal Investigation reports. (12) Police reports. (13) Present employees of the Bureau of ATF. (14) Supervisors. (15) Witnesses.

System exempted from certain provisions of the Act:

None.

Treasury/ATF .002

System name:

Correspondence Record System—Treasury/ATF.

System location:

Bureau of Alcohol, Tobacco and Firearms, 1200 Pennsylvania Avenue, NW., Washington, DC 20226. Components of this record system are geographically dispersed throughout the Bureau's field offices. A list of field offices is available by writing to the Chief, Disclosure Branch, Room 4412, 1200 Pensylvania Avenue, NW., Washington, DC 20226.

Categories of individuals covered by the system:

(1) Persons who correspond with the Bureau requesting information relating to Bureau personnel. (2) Persons who correspond with the Bureau requesting information relating to Bureau activities. (3) Persons who correspond with the Bureau requesting rulings, interpretations, or technical and scientific matters of a general nature. (4) Persons who correspond with others and whose correspondence is referred to ATF for response. (5) Persons referred to in correspondence with the Bureau. (6) Authors and publishers of technical and scientific matters relating to Bureau activities.

Categories of records in the system:

Correspondence with individuals who contact the Bureau requesting information relating to Bureau personnel and/or activities, Chief Counsel and Regional Counsel memoranda and opinions.

Authority for maintenance of the system:

5 U.S.C. 301, Executive Order 11222.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

A record in this system may be disclosed as a routine use to: (a) Employees of government agencies when required or authorized to be released by statute, regulations or Executive Order. (b) Any third party, to the extent necessary, to collect relevant information from the third party, provided that the information is needed by the Bureau to render a decision in regard to an administrative, fiscal or personnel matter. (c) Appropriate Federal, state, local or foreign agencies responsible for enforcing administrative, civil or criminal laws; hiring or retention of an employee; issuance of a security clearance, license, contract, grant or other benefit. (d) A court, magistrate or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of or in preparation for civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (e) A congressional office in response to an inquiry made at the request of the individual to whom the record pertains. (f) Provide information to the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings.

Policies and practices for storing, retrieving, accessing, retaining, disposing of records in the system:

Storage:

Active records stored in file folders in security filing cabinets. Inactive records stored in file folders at Federal Records Centers.

Retrievability:

Records are retrieved by name, subject matter and date of correspondence.

Safeguards:

Transmitted to routine users on a "need to know" basis. Stored in lockable file cabinets in rooms locked during non-duty hours.

Retention and disposal:

Records are retained in accordance with General Records Schedules numbers 1 through 20 issued by the National Archives and Records Administration, and Bureau of Alcohol, Tobacco and Firearms Records Control Schedules numbers 101 and 201 and disposed of by shredding or burning.

System manager(s) and address:

Assistant Director (Congressional and Media Affairs), Bureau of Alcohol, Tobacco and Firearms, 1200 Pennsylvania Avenue, NW., Washington, DC 20226.

Notification procedure:

Inquiries should be addressed to: Privacy Act Request, Bureau of Alcohol, Tobacco and Firearms, 1200 Pennsylvania Avenue, NW., Washington, DC 20226. Requests may be delivered personally to Room 4412, Bureau of Alcohol, Tobacco and Firearms, 1200 Pennsylvania Avenue, NW., Washington, DC 20226.

Record access procedures:

Requests for access to records made by mail should be addressed to: Privacy Act Request, Bureau of Alcohol, Tobacco and Firearms, 1200 Pennsylvania Avenue, NW., Washington, DC 20226. Requests may be delivered personally to Room 4412, Bureau of Alcohol, Tobacco and Firearms, 1200 Pennsylvania Avenue, NW., Washington, DC 20226. Appeals of determinations refusing amendment of records should be addressed to: Privacy Act Appeal, Bureau of Alcohol, Tobacco and Firearms, 1200 Pennsylvania Avenue, NW., Washington, DC 20226. Appeals may be delivered personally to Room 4412, Bureau of Alcohol, Tobacco and Firearms, 1200 Pennsylvania Avenue, NW., Washington, DC 20226.

Contesting record procedures:

See Access above.

Record source categories:

Persons who correspond with the Bureau on general, technical or scientific matters.

System exempted from certain provisions of the Act:

None.

Treasury/ATF .003

System name:

Criminal Investigation Report System—Treasury/ATF.

System location:

Bureau of Alcohol, Tobacco and Firearms, 1200 Pennsylvania Avenue, NW., Washington, DC 20226. Components of this record system are geographically dispersed throughout Bureau of Alcohol, Tobacco and Firearms' field offices. A list of field offices is available by writing to the Chief, Disclosure Branch, Room 4412, 1200 Pennsylvania Avenue, NW., Washington, DC 20226.

Categories of individuals covered by the system:

(1) Criminal offenders or alleged criminal offenders acting alone or in concert with other individuals and suspects who have been or are under investigation for a violation or suspected violation of laws enforced by the Bureau. (2) Criminal offenders or alleged criminal offenders acting alone or in concert with individuals who have been referred to the Bureau of Alcohol, Tobacco and Firearms by other law enforcement agencies, governmental units and the general public. (3) Informants. (4) Persons who come to the attention of the Bureau in the conduct of criminal investigations. (5) Persons who have been convicted of a crime punishable by imprisonment for a term exceeding one year and who have applied for relief from disabilities under Federal law with respect to the acquisition, receipt, transfer, shipment, or possession of firearms and explosives and whose disability was incurred by reason of such conviction. (6) Victims of crimes. (7) Witnesses.

Categories of records in the system:

(a) Records containing information compiled for the purpose of identifying individual criminal offenders and alleged offenders and consisting only of identifying data and notations of arrest, the nature and disposition of criminal charges, sentencing, confinement, release, and parole and probation status; (b) Records containing information compiled for the purpose of a criminal investigation, including reports of informants and investigators, and associated with an identifiable individual; (c) Records containing reports identifiable to an individual compiled at various stages of the process of enforcement of criminal laws from arrest or indictment through release from supervision; (d) Records compiled and maintained by the Bureau as generally described in (a), (b), and (c) above including the following: (1) Abandoned property reports. (2) ATF Criminal Investigation Reports (not resulting informal prosecution reports). (3) AFT referrals to foreign Federal, state, and local law enforcement agencies. (4) Chief and Regional Counsel opinions. (5) Contemporaneous investigative notes. (6) Criminal investigatory correspondence from and to foreign, Federal, state and local law enforcement agencies. (7) Criminal intelligence information on individuals suspected to be violating ATF laws and regulations. (8) Documentary proof of defendant's criminal record, identity, or lack of registration of N.F.A. (as amended) firearm(s). (9) FBI Criminal Record Reports. (10) Fingerprints and palmprints. (11) Fugitive arrest warrants. (12) Handwriting exemplars. (13) Index cards, violation and reputation. (14) Illicit liquor and raw material surveys. (15) Laboratory reports of evidence analysis. (16) Memoranda of expected testimony of witnesses. (17) Organized crime members violating or suspected of violating ATF laws. (18) Parole and pardon reports. (19) Personal histories (address, employment, social security number, financial background, physical description, etc.). (20) Photographs. (21) Purchase of evidence records. (22) Records of electronic surveillance by ATF. (23) Records received in response to summons and subpoenas. (24) Reliefs from disability. (25) Reports of interview with witnesses. (26) Search warrants and affidavits for search warrants. (27) Seized property reports. (28) Significant criminals, armed and dangerous, firearms, explosives, liquor, and wagering. (29) Special agent's daily activity diary (accessible by date only). (30) State and local law enforcement criminal investigative reports. (31) Statements of defendants. (32) Statements of witnesses. (33) Summons and subpoenas issued pursuant to criminal investigations. (34) Voice prints. (35) Wagering tax suspected violators. (36) Warning and demand letters. (37) Criminal violation reports (a formal report compiling all or portions of the foregoing for prosecutive purposes).

Authority for maintenance of the syste,:

(1) 26 U.S.C. Chapters 35 and 40. (2) 26 U.S.C. Chapters 51 and 52. (3) 26 U.S.C. Chapters 53, as amended. (4) 26 U.S.C. Chapters 61 through 80, as amended. (5) 27 U.S.C. Chapter 8, as amended (Federal Alcohol Administration Act). (6) 18 U.S.C. Chapter 40. (7) 18 U.S.C. Chapter 44. (8) 18 U.S.C. Chapter 59. (9) 18 U.S.C. App. 1201–1203 (Title VII of the Omnibus Crime Control and Safe Streets Act of 1968, as amended by Title III of the Gun Control Act of 1968). (10) 22 U.S.C. section 414, (Mutual Security Act of 1954, as amended). (11) 5 U.S.C. sections 901 and 903, 5 U.S.C. App. (Reorganization Plan of 1950), Treasury Order 221, 5 U.S.C. section 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The purpose of this system is to suppress traffic in illicit untaxpaid distilled spirits; to enforce the Federal laws relating to the illegal possession and use of firearms, destructive devices, explosives, explosive materials, and wagering activities; and to assist Federal, state, local and foreign law enforcement agencies in reducing crime and violence. A record in this system may be disclosed as a routine use to: (a) Employees of other government agencies when required or authorized to be released by statute, regulations or Executive Order. (b) To third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation. (c) Appropriate Federal, state, local and foreign agencies for the purpose of enforcing and investigating administrative, civil or criminal laws relating to the hiring or retention of an employee; issuance of security clearance, license, contract, grant or other benefit. (d) A court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of or in preparation for civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (e) INTERPOL and similar criminal intelligence gathering organizations for the purpose of identifying and suppressing the activities of international and national criminals and terrorists. (f) Appropriate Federal, state, local or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (g) Insurance companies making determinations regarding claims in cases that the Bureau has conducted or is conducting an arson investigation. (h) A congressional office in response to an inquiry of the individual to whom the record pertains. (i) Unions recognized as exclusive bargaining representatives under the Civil Service Reform Act of 1978, 5 U.S.C. 7111 and 7114. (j) provide information to the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Active records stored in file folders in security filing cabinets. Inactive records stored in file folders at Federal Records Centers. Records also stored on magnetic tape at ADP Division, Technical and Scientific Services Branch of Bureau Headquarters and at the IRS Data Center, Detroit, MI. Records are stored in on-line mass computer storage at San Diego, CA (Treasury Enforcement Communications System).

Retrievability:

Records are retrievable by name, date of birth, social security number, unique identifier, investigation number, serial number of firearm, or a combination of any of these; plus date and geographical location of incident giving rise to investigation.

Safeguards:

Direct access restricted to personnel in Department of Treasury in the performance of their duty. Transmitted to routine users on a "need to know" basis and to others upon verification of the substance and propriety of the request. Stored in lockable file cabinets in rooms locked during non-duty hours.

Retention and disposal:

Records are retained in accordance with General Records Schedules numbers 1 through 20 issued by the National Archives and Records Administration, and Bureau of Alcohol, Tobacco and Firearms Records Control Schedules numbers 101 and 201 and disposed of by shredding or burning. Records on tape or on-line mass storage are disposed of by degaussing.

System manager(s) and address:

Associate Director (Law Enforcement), Bureau of Alcohol, Tobacco and Firearms, 1200 Pennsylvania Avenue, NW., Washington, DC 20226.

Notification procedure:

The Director of the Bureau of Alcohol, Tobacco and Firearms has exempted this system of records from compliance with the provisions of 5 U.S.C. 552a(e)(4)(G).

Record access procedures:

The Director of the Bureau of Alcohol, Tobacco and Firearms has determined this system of records to be exempted from compliance with the provisions of 5 U.S.C. 552a(e)(4)(H).

Contesting record procedures:

The Director of the Bureau of Alcohol, Tobacco and Firearms has determined this system of records to be exempted from compliance with the provisions of 5 U.S.C. 552a(e)(4)(H).

Record source categories:

The Director of the Bureau of Alcohol, Tobacco and Firearms has determined this system of records to be exempt from compliance with the provisions of 5 U.S.C. 552a(e)(4)(I).

Systems exempted from certain provisions of the act:

Exempt under 5 U.S.C. 552a(j) and 31 CFR 1.36.

Treasury/ATF .004

System name:

Fiscal Record System—Treasury/ATF.

System location:

Bureau of Alcohol, Tobacco and Firearms, 1200 Pennsylvanina Avenue, NW., Washington, DC 20226. Components of this record system are geographically dispersed throughout the Bureau's field offices. A list of field offices is available by writing to the Chief, Disclosure Branch, Room 4412, 1200 Pennsylvania Avenue, NW., Washington, DC 20226.

Categories of individuals covered by the system:

(1) Present employees. (2) Former employees. (3) Recipients of rewards. (4) Vendors furnishing goods and services to the Bureau.

Categories of records in the system:

(1) Advance of Funds. (2) Agreements. (3) Contracts. (4) Designated Agents or recommended Designated Agents. (5) Designated timekeepers and alternates. (6) Employee pay records. (7) Purchase orders. (8) Payment vouchers. (9) Time and attendance records. (10) Travel and moving vouchers. (11) Travel request and authorization. (12) Chief Counsel and Regional Counsel memoranda and opinions.

Authority for maintenance of the system:

(1) 5 U.S.C. sections 901 and 903, 5 U.S.C. App. (Reorganization Plan No. 26 of 1950), Treasury Order 221; 5 U.S.C. section 301. (2) Executive Order 6166 (amended).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

A record in this system may be disclosed as a routine use to: (a) Employees of government agencies when required or authorized to be released by statute, regulations or Executive Order. (b) Provide information to the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings. (c) Any third party, to the extent necessary, to collect relevant information from the third party, provided that the information is needed by the Bureau to render a decision in regard to an administrative, fiscal or personnel matter. (d) Appropriate Federal, state, local or foreign agencies responsible for enforcing administrative, civil or criminal laws; hiring or retention of an employee; issuance of a security clearance, license, contract, grant or other benefit. (e) A court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of or in preparation for civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (f) Unions recognized as exclusive bargaining representatives under the Civil Service Reform Act of 1978, 5 U.S.C. 7111 and 7114. (g) A congressional office in response to an inquiry made at the request of the individual to whom the record pertains.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Active records stored in file folders in security filing cabinets. Inactive records stored in file folders at Federal Records Centers. Records also stored on magnetic tape at the IRS Data Center, Detroit, MI.

Retrievability:

Records are retrievable by name, date of birth, social security number, employee identification number, or a combination of any of these four.

Safeguards:

Direct access restricted to personnel in Department of Treasury in the performance of their duty. Transmitted to routine users on a "need to know" basis or where "a right to access" is established, and to others upon verification of the substance and propriety of the request. Stored in lockable file cabinets in rooms locked during non-duty hours.

Retention and disposal:

Records are retained in accordance with General Records Schedules numbers 1 through 20 issued by the National Archives and Records Administration, and Bureau of Alcohol, Tobacco and Firearms records Controls Schedules numbers 101 and 201 and disposed of by shredding or burning. Records stored on tapes, discs or in online mass storage, are disposed of by degaussing.

System manager(s) and address:

Chief, Fiscal Division, Bureau of Alcohol, Tobacco and Firearms, 1200 Pennsylvania Avenue, NW., Washington, DC 20226.

Notification procedure:

Inquiries should be addressed to: Privacy Act Request, Bureau of Alcohol, Tobacco and Firearms, 1200 Pennsylvania Avenue, NW., Washington, DC 20226. Requests may be delivered personally to Room 4412, Bureau of Alcohol, Tobacco and Firearms, 1200 Pennsylvania Avenue, NW., Washington, DC 20226.

Record access procedures:

Requests for access to records made by mail should be addressed to: Privacy Act Request, Bureau of Alcohol, Tobacco and Firearms, 2200 Pennsylvania Avenue, NW., Washington, DC 20226. Requests may be delivered personally to Room 4412, Bureau of Alcohol, Tobacco and Firearms, 1200 Pennsylvania Avenue, NW., Washington, DC 20226. Appeals of determinations refusing amendment of records should be addressed to: Privacy Act Appeal, Bureau of Alcohol, Tobacco and Firearms, 1200 Pennsylvania Avenue, NW., Washington, DC 20226. Appeals may be delivered personally to Room 4412, Bureau of Alcohol, Tobacco and Firearms, 1200 Pennsylvania Avenue, NW., Washington, DC 20226.

Contesting record procedures:

See Access above.

Record source categories:

(1) Former employees of the Bureau of ATF. (2) IRS Data Center. (3) Present employees of the Bureau of ATF. (4) Surviving spouse of deceased personnel. (5) Vendors of necessary goods and services for operations of Bureau of ATF.

Systems exempted from certain provisions of the act:

None.

Treasury/ATF .005

System name:

Freedom of Information Requests—Treasury/ATF.

System location:

Bureau of Alcohol, Tobacco and Firearms, 1200 Pennsylvania Avenue, NW., Washington, DC 20226.

Categories of individuals covered by the system:

Individuals who are requesting information.

Categories of records in the system:

Correspondence pursuant to the Freedom of Information Act, internal processing documents and memoranda, referrals and copies of requested records, and Chief Counsel and Regional Counsel memoranda and opinions.

Authority for maintenance of the system:

Freedom of Information Act, 5 U.S.C. 552.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in these records may be used: (a) To disclose information to other agencies when required for coordination of response or referral. (b) To disclose information to the Department of Justice for defending law suits. (c) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File folders.

Retrievability:

By name of requester(s) and date of request.

Safeguards:

Filed in filing cabinet and released only to individuals with legitimate right to review.

Retention and disposal:

In accordance with the provisions of the Act and Departmental records management procedures.

System manager(s) and address:

Chief, Disclosure Branch, Bureau of Alcohol, Tobacco and Firearms, 1200 Pennsylvania Avenue, NW., Washington, DC 20226.

Notification procedure:

See System manager.

Record access procedures:

See System manager.

Contesting record procedures:

See System manager.

Record source categories:

Individuals who make Freedom of Information Act requests. Federal officials responding to Freedom of Information Act requests and documents from official records.

Systems exempted from certain provisions of the act:

None.

Treasury/ATF .006

System name:

Internal Security Record System—Treasury/ATF.

System location:

Bureau of Alcohol, Tobacco and Firearms, 1200 Pennsylvania Avenue, NW., Washington, DC 20226.

Categories of individuals covered by the system:

(1) Present employees of the Bureau of ATF. (2) Former employees of the Bureau of ATF. (3) Applicants for employment.

Categories of records in the system:

(1) Records containing investigative material compiled for law enforcement purposes including reports relating to: (a) Conduct of employees. (b) Integrity of employees. (2) Records containing investigative material compiled solely for the purpose of determining suitability, eligibility, or qualifications for Federal civilian employment or access to classified information including reports relating to security clearances of employees.

Authority for maintenance of the system:

18 U.S.C. 201, Executive Order 10450, Executive Order 11222.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

This system is used to assure the Bureau Director, the Department of the Treasury, and the public that the Bureau is taking strong and vigorous steps to maintain the highest standards of integrity, loyalty, conduct, and security among Bureau personnel. When a criminal investigation results in a compilation of information contained in this system, the information so compiled shall be transferred to the ATF Criminal Investigation Report System and shall become a part of that system for all purposes of the Privacy Act of 1974. A record in this system may be disclosed as a routine use to: (a) Employees of other government agencies when required or authorized to be released by statute, regulations or Executive Order. (b) Third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation. (c) Appropriate Federal, state, local and foreign agencies for the purpose of enforcing and investigating administrative, civil or criminal law relating to the hiring or retention of an employee; issuance security clearance, license, contract, grant or other benefit. (d) A court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of or in preparation for civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (e) Appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (f) A congressional office in response to an inquiry made at the request of the individual to whom the record pertains. (g) Unions recognized as exclusive bargaining representatives under the Civil Service Reform Act of 1978, 5 U.S.C. 7111 and 7114. (h) Provide information to the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Active records stored in file folders in security filing cabinets. Inactive records stored in file folders at Federal Records Center.

Retrievability:

Records are retrievable by name.

Safeguards:

Direct access restricted to personnel in Department of the Treasury in the performance of their duty. Transmitted to routine users on a "need to know" basis and to others upon verification of the substance and propriety of the request. Stored in lockable metal file cabinets in rooms locked during non-duty hours.

Retention and disposal:

Records are retained in accordance with General Records Schedules Numbers 1 through 20 issued by the National Archives and Records Administration, and Bureau of Alcohol, Tobacco and Firearms Records Control Schedules numbers 101 and 201 and disposed of by shredding or burning.

System manager(s) and address:

Assistant Director (Internal Affairs), Bureau of Alcohol, Tobacco and Firearms, 1200 Pennsylvania Avenue, NW., Washington, DC 20226.

Notification procedure:

The Director of the Bureau of Alcohol, Tobacco and Firearms has determined this system of records to be exempt from compliance with the provisions of 5 U.S.C. 552a(e)(4)(G).

Record access procedures:

The Director of the Bureau of Alcohol, Tobacco and Firearms has determined this system of records to be exempt from compliance with the provisions of 5 U.S.C. 552a(e)(4)(H).

Contesting record procedures:

See Access above.

Record source categories:

(1) Employees of this Bureau. (2) Internal Investigative report forms. (3) witnesses. (4) informants. (5) Federal, state and local enforcement agencies. (6) Employers. (7) Educational institutions. (8) Credit agencies. (9) Neighbors. (10) References. (11) Professional Organizations. (12) Other government agencies.

Systems exempted from certain provisions of the act:

Portions exempt under 5 U.S.C. 552a (k) (relating to security clearances) and 5 U.S.C. 552a(k)(2) (relating to conduct and integrity) and 31 CFR 1.36.

Treasury/ATF .007

System name:

Personnel Record System—Treasury/ATF.

System location:

Bureau of Alcohol, Tobacco and Firearms, 1200 Pennsylvania Avenue, NW., Washington, DC 20226. Components of this record system are geographically dispersed throughout the Bureau's field offices. A list of field offices is available by writing to the Chief, Disclosure Branch, Room 4412, 1200 Pennsylvania Avenue, NW., Washington, DC 20226.

Categories of individuals covered by the system:

(1) Present Employees of the Bureau of ATF. (2) Former Employees of the Bureau of ATF. (3) Applicants for employment with ATF.

Categories of records in the system:

(1) Allotment and Dues. (2) Annual Tax Reports. (3) Applicants for employment. (4) Applications for reassignment. (5) Awards, honors, and fellowship records. (6) Classification appeal records. (7) Death claim records. (8) Educational history. (9) Employee indebtedness records. (10) Employees qualified as Grievance Examiners. (11) Employee Suggestions. (12) Employee history. (13) Employee relations case file. (14) Equal employment opportunity case file. (15) Health maintenance records. (16) Insurance records. (17) Military history. (18) Occupational injuries, disabilities, and Worker's Compensation Records. (19) Official personnel folder. (20) Outside employment and identification numbers, business or professional records. (21) Outside employment. (22) Outside financial interests. (23) Overtime and/or premium pay records. (24) Performance evaluation records. (25) Personal history. (26) Position description records. (27) Promotion/Selection Certificates Records. (28) Property custody records. (29) Retirement records. (30) Security clearance records. (31) Statement of career goals. (32) Supervisory or managerial potential records. (33) Temporary assignments and details. (34) Time application reports and records. (35) Training record. (36) U.S. Savings Bond participation records. (37) Upward mobility applications. (38) Vehicle accidents. (39) Withholding tax records. (40) Work schedule records. (41) Chief Counsel and Regional Counsel memoranda and opinions.

Authority for maintenance of the system:

(1) 5 U.S.C. Chapter 29, Subchapter II. (2) 5 U.S.C. Chapters 31 and 33. (3) 5 U.S.C. Chapter 43. (4) 5 U.S.C. Chapter 45. (5) 5 U.S.C. Chapter 51. (6) 5 U.S.C. Chapter 55, Subchapter III. (7) 5 U.S.C. Chapter 61. (8) 5 U.S.C. Chapter 75. (9) 5 U.S.C. Chapter 83. (10) 5 U.S.C. Section 301. (11) 5 U.S.C. 4503. (12) 5 U.S.C. Section 5101–5115. (13) 5 U.S.C. Section 7151–7154. (14) 5 U.S.C. Section 7901. (15) Pub. L. 92–261 (Equal Employment Act of 1972). (16) Pub. L. 93–579. (17) Federal Employees Compensation Act. (18) Occupational Safety and Health Act of 1970. (19) Executive Order 10561. (20) Executive Order 11222. (21) Executive Order 11478. (22) Executive Order 11491.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

A record in this system may be disclosed as a routine use to: (a) Employees of government agencies when required or authorized to be released by statute, regulations or Executive Order. (b) Any third party, to the extent necessary, to collect relevant information from the third party, provided that the information is needed by the Bureau to render a decision in regard to a personal matter. (c) Appropriate Federal, state, local or foreign agencies responsible for enforcing administrative, civil, or criminal laws; hiring or retention of an employee; issuance of a security clearance, license, contract, grant or other benefit. (d) A court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of or in preparation for civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (e) Unions recognized as exclusive bargaining representatives under the Civil Service Reform Act of 1978, 5 U.S.C. 7111 and 7114. (f) A congressional office in response to an inquiry made at the request of the individual to whom the record pertains. (g) Provide information to the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Active records stored in file folders in security filing cabinets. Inactive records stored in file folders at Federal Records Centers. Records also stored on magnetic tape at the IRS Data Center, Detroit, MI. Records are stored in on-line mass computer storage at San Diego, CA (Treasury Enforcement Communications System).

Retrievability:

Records are retrievable by name, date of birth, social security number, employee identification number, or a combination of any of these four.

Safeguards:

Direct access restricted to personnel in Department of the Treasury in the performance of their duty. Transmitted to routine users on a "need to know" basis or where "a right to access" is established, and to others upon verification of the substance and propriety of the request. Stored in lockable file cabinets in rooms locked during non-duty hours.

Retention and disposal:

Records are retained in accordance with General Records Schedules numbers 1 through 20 issued by the National Archives and Records Administration, and Bureau of Alcohol, Tobacco and Firearms Records Control Schedules numbers 101 and 201 and disposed of by shredding, burning or by degaussing.

System manager(s) and address:

Comptroller, Bureau of Alcohol, Tobacco and Firearms, 1200 Pennsylvania Avenue, NW., Washington, DC 20226.

Notification procedure:

The Director of the Bureau of Alcohol, Tobacco and Firearms has exempted this system of records from compliance with the provisions of 5 U.S.C. 552a(e)(4)(G).

Record access procedures:

The Director of the Bureau of Alcohol, Tobacco and Firearms has exempted this system of records from compliance with the provisions of 5 U.S.C. 552a(e)(4)(H).

Contesting record procedures:

See Access above.

Record source categories:

(1) Administrative Records. (2) Applicants for employment with Bureau. (3) Acquaintances. (4) Business and professional associates. (5) Creditors. (6) Criminal records. (7) Educational Institutions attended. (8) Employee records. (9) Equal Employment Opportunity Commission. (10) Financial institutions. (11) Fiscal records. (12) Former employees. (13) Former employers. (14) Inspection records. (15) Internal investigation reports. (16) Internal Revenue Service. (17) Military records. (18) Outside employers. (19) Physicians. (20) Police reports. (21) Position classification specialists. (22) Psychiatrists. (23) References. (24) Supervisors. (25) Training officers. (26) Unions, accredited. (27) Office of Personnal Management. (28) Witnesses.

Systems exempted from certain provisions of the act:

Exempt under 5 U.S.C. 552a(k) and 31 CFR 1.36.

Treasury/ATF .008

System name:

Regulatory Enforcement Record System—Treasury/ATF.

System location:

Bureau of Alcohol, Tobacco and Firearms, 1200 Pennsylvania Avenue, NW., Washington, DC 20226. Components of this system of records are also geographically dispersed throughout ATF's regional and field offices.

A list of field offices is available by writing to the Chief, Disclosure Branch, Room 4412, 1200 Pennsylvania Avenue, NW., Washington, DC 20226.

Categories of individuals covered by the system:

(1) Individuals who have been issued permits or licenses, have filed applications with ATF, or have registered with ATF as: (a) Brewers. (b) Claimants for refund, abatement, credit, allowance or drawback of excise or special occupational taxes. (c) Collectors of firearms or ammunition. (d) Importers or wholesalers of beer, wine or distilled spirits; distillers, rectifiers, bottlers, or warehousemen of distilled spirits; or wine producers. (e) Individuals who produce, receive, blend, store or treat wine or distilled spirits for experimental or research purposes. (f) Individuals who establish experimental distilled spirits plants. (g) Liquor bottle manufacturers. (h) Manufacturers of stills. (i) Manufacturers, importers, or dealers of firearms or ammunition. (j) Manufacturers, importers, dealers, or users of explosive materials. (k) Manufacturers, proprietors of export warehouses or importers of tobacco products. (l) Non-beverage drawback claimants. (m) Operators of pilot brewing plants. (n) Possessors of stills and related equipment. (o) Proprietors of vinegar plants, fruit—flavor concentrate plants or class 6 bonded warehouses. (p) Proprietors of bonded wine cellars, bonded wineries, tax paid wine bottling houses, or bonded wine warehouses. (q) Reprocessors or rebottlers of specially denatured spirits. (r) Retailers of beer, wine or distilled spirits. (s) Users of tax-free alcohol, dealers or users of specially denatured spirits, or recoverers of specially denatured or completely denatured spirits. (t) Individuals who establish alcohol fuel plants. (u) Exporters of beer, wine and distilled spirits subject to drawback. (2) Individuals who are employed by businesses engaged in the activities specified in paragraph 1 and who are officers, directors, holders of 10 percent or

more of the outstanding stock, designated agents, or responsible persons. (3) Individuals who are not qualified to engage in any of the activities listed in paragraph 1, but who are assessed excise or special occupational taxes. (4) Individuals who submit Offers in Compromise.

Categories of records in the system:

Records containing investigative material compiled for law enforcement purposes which may consist of the following: (1) Abstracts of offers in compromise. (2) Administrative law judge decisions. (3) Assessment records: (a) Notices of proposed assessments. (b) Notices of shortages or losses. (c) Notices to IRS to assess taxes. (d) Recommendation for assessments. (4) Claim records: (a) Claims. (b) Letters of claim rejection. (c) Sample reports. (d) Supporting data. (e) Vouchers and schedules of payment. (5) Comments on proposed rulemakings. (6) Complaints from third parties. (7) Correspondence concerning records in this system and related matters. (8) Financial statements. (9) Inspection and investigation reports. (10) Joint demands on principals and sureties for payment of excise tax liabilities. (11) Letters of reprimand. (12) Lists of permittees and licensees. (13) Lists of officers, directors and principal stockholders. (14) Mailing lists and addressograph plates. (15) Notices of delinquent reports. (16) Offers in compromise. (17) Operation records: (a) Operating reports. (b) Reports of required inventories. (c) Reports of thefts or losses of firearms—who maintains records. (d) Reports of thefts of explosive materials—who maintains records. (e) Transaction records. (f) Transaction reports. (18) Orders of revocation, suspension or annulment of permits or licenses. (19) Regional and Chief Counsel opinions and memoranda. (20) Reports of violations. (21) Permit status records. (22) Qualifying records: (a) Access authorizations. (b) Advertisement records. (c) Applications. (d) Bonds. (e) Business histories. (f) Criminal records. (g) Diagrams of premises. (h) Educational histories. (i) Employment histories. (j) Environmental records. (k) Financial data. (l) Formula approvals. (m) Label approvals. (n) Licenses. (o) Notices. (p) Permits. (q) Personal references. (r) Plant profiles. (s) Plant capacities. (t) Plats and plans. (u) Registrations. (v) Sample reports. (w) Signature authorities. (x) Special permissions and authorizations. (y) Statements of process. (23) Show cause orders. (24) Tax records: (a) Control cards relating to periodic payment and prepayment of taxes. (b) Excise and special tax returns. (c) Notices of tax discrepancy or adjustment.

Authority for maintenance of the system:

(1) 26 U.S.C. 5172. (2) 26 U.S.C. 5271 (b)(1). (3) 26 U.S.C. 5356. (4) 26 U.S.C. 5401. (5) 26 U.S.C. 5417. (6) 26 U.S.C. 5502(b). (7) 26 U.S.C. 5511 (3). (8) 26 U.S.C. 5521(a). (9) 26 U.S.C. 5179(a). (10) 22 U.S.C. 204(c). (11) 26 U.S.C. 5105. (12) 26 U.S.C. 5275. (13) 26 U.S.C. 5301(b). (14) 26 U.S.C. 5132. (15) 26 U.S.C. 5042 (a)(2). (16) 26 U.S.C. 7011. (17) 26 U.S.C. 5712. (18) 18 U.S.C. 9230(a). (19) 18 U.S.C. 923(b). (20) 18 U.S.C. 8430(a). (21) 22 U.S.C. 414. (22) 26 U.S.C. 4401(a). (23) 26 U.S.C. 6001. (24) 26 U.S.C. 6011(a). (25) 26 U.S.C. 5001.(26) 26 U.S.C. 5021–5023. (27) 26 U.S.C. 5041. (28) 26 U.S.C. 5051. (29) 26 U.S.C. 6201. (30) 26 U.S.C. 5008. (31) 26 U.S.C. 5044. (32) 26 U.S.C. 5056. (33) 26 U.S.C. 5705. (34) 26 U.S.C. 6423 (b). (35) 26 U.S.C. 5009(a). (36) 26 U.S.C. 5006(a). (37) 26 U.S.C. 5055. (38) 26 U.S.C. 5062(c). (39) 26 U.S.C. 5106. (40) 26 U.S.C. 5131(c). (41) 26 U.S.C. 5064. (42) 26 U.S.C. 7122. (43) 27 U.S.C. 207. (44) 18 U.S.C. 843(d). (45) 18 U.S.C. 923 (f). (46) 27 U.S.C. 204(e). (47) 26 U.S.C. 5312(a). (48) 26 U.S.C. 5042(a)(3). (49) Reorganization Act of 1949, 5 U.S.C. Sections 901 et seq.; Revenue Act of 1951, Section 616; Treasury Department Order 221 (37 FR 11696, dated June 19, 1972). (50) 5 U.S.C. 301. (51) 26 U.S.C. 5181.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The purpose of this system is to determine suitability, eligibility or qualifications of individuals who are engaged or propose to engage in activities regulated by ATF; achieve compliance with laws under ATF's jurisdiction; assure full collection of revenue due from legal industries; eliminate commercial bribery, consumer deception and other improper trade practices in the distilled spirits, beer and wine industries; interact with Federal, state and local governmental agencies in the resolution of problems relating to industrial development, revenue protection, public health, ecology, and other areas of joint jurisdictional concern. When a criminal investigation results a compilation of information contained in this system of records, the information shall be transferred to the Treasury ATF—Criminal Investigation Report System and shall become part of that system for all purposes of the Privacy Act of 1974. A record in this system may be disclosed as a routine use to: (a) Employees of other governmental agencies when required or authorized to be released by statute, regulations or Executive Order. (b) Any third party to the extent necessary to collect or verify information pertinent to the Bureau's decision to grant, deny or revoke a license or permit; to initiate or complete an investigation of violations or alleged violations of laws and regulations administered by the Bureau. (c) Appropriate Federal, state, local or foreign agencies for the purpose of enforcing administrative, civil or criminal laws; hiring or retention of an employee; issuance of a security clearance, license, contract, grant or other benefit. (d) A court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of or in preparation for civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (e) INTERPOL and similar national and international intelligence gathering organizations for the purpose of identifying international and national criminals involved in consumer fraud, revenue evasion or crimes. (f) Foreign governments in accordance with formal or informal international agreements. (g) Appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (h) A congressional office in response to an inquiry made at the request of the individual to whom the record pertains. (i) Provide information to the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Active records stored in file folders in filing cabinets; card forms in card filing cabinets; and on magnetic tapes or microfiche at IRS Service Centers, ATF Headquarters, or Department of the Treasury.

Retrievability:

Records are retrievable by name, permit or license number, or by document locator number.

Safeguards:

Direct access restricted to personnel in the Department of Treasury in the performance of their duty. Transmitted to routine users on a "need to know" basis and others upon verification of the substance and propriety of the request. Stored in file cabinets in rooms locked during non-duty hours.

Retention and disposal:

Records are retained in accordance with General Records Schedules numbers 1 through 20 issued by the National Archives and Records Administration, and Bureau of Alcohol, Tobacco and Firearms Records Control Schedules numbers 101 and 201 and disposed of by shredding, burning or by degaussing.

System manager(s) and address:

Associate Director (Compliance Operations), Bureau of Alcohol, Tobacco and Firearms, 1200 Pennsylvania Avenue, NW., Washington, DC 20226.

Notification procedure:

The Director of the Bureau of Alcohol, Tobacco and Firearms has determined this system of records to be exempt from compliance with the provisions of 5 U.S.C. 522a(e)(4)(G).

Record access procedures:

The Director of the Bureau of Alcohol, Tobacco and Firearms has determined this system of records to be exempt from compliance with the provisions of 5 U.S.C. 522a(e)(4)(H).

Contesting record procedures:

See Access above.

Record source categories:

(1) Acquaintances. (2) Bureau Personnel. (3) Business and Professional Associates. (4) Creditors. (5) Criminal Records. (6) Financial Institutions. (7) Former Employers. (8) Internal Revenue Service. (9) Military Records. (10) Physicians. (11) Psychiatrists. (12) References. (13) Police Reports. (14) Witnesses. (15) Federal Law Enforcement Agencies. (16) State Law Enforcement Agencies. (17) Local Law Enforcement Agencies. (18) State Regulatory Agencies. (19) Federal Regulatory Agencies. (20) Local Regulatory Agencies. (21) Chief Counsel's Opinions. (22) Regional Counsel's Opinions. (23) Chief Counsel's Memoranda. (24) Regional Counsel's Memoranda. (25) Field investigation Reports. (26) Third Parties.

Systems exempted from certain provisions of the act:

Exempt under 5 U.S.C. 552a(k)(2) and 31 CFR 1.36.

Treasury/ATF .009

System name:

Technical and Scientific Services Record System—Treasury/ATF.

System location:

Bureau of Alcohol, Tobacco, and Firearms, 1200 Pennsylvania Avenue, NW., Washington, DC 20226. Components of this record system are geographically dispersed throughout Bureau of Alcohol, Tobacco and Firearms' field offices. A list of field offices is available by writing to the Chief, Disclosure Branch, Room 4412, 1200 Pennsylvania Avenue, NW., Washington, DC 20226.

Categories of individuals covered by the system:

(1) Applicants to register firearms under the National Firearms Act. (2) Applicants for Surplus Military Firearms under the Director of Civilian Marksmanship Program. (3) Importers of implements of war as defined under the Mutual Security Act of 1954 and the Arms Export Control Act of 1976. (4) Licensed importers registered under the Mutual Security Act of 1954 and the Arms Export Control Act of 1976. (5) Manufacturers of National Firearms Act who are exempt from payment of Special (Occupational) tax provisions. (6) Non-Bureau chemists certified to make analysis of alcoholic beverages. (7) Persons involved in explosives tagging and detection program. (8) Registered owners of National Firearms Act firearms. (9) Special (Occupational) taxpayers as defined under Title II of the Gun Control Act of 1968. (10) Victims of explosives. (11) Individuals involved in Government funded research projects.

Categories of records in the system:

(1) Alterations of registered National Firearms Act firearms. (2) Applications for surplus military firearms. (3) Applications to register firearms and destructive devices under the National Firearms Act. (4) Applications to import articles on the United States Munitions list. (5) Blueprints. (6) Certifications of payment of Special (occupational) tax payments. (7) Changes of address for owner of firearms registered under the National Firearms Act. (8) Claims for erroneous Special (Occupational) taxes payments. (9) Descriptions of Inventions. (10) Delinquency notices regarding proof of importation of National Firearms Act Firearms. (11) Explosive reports. (12) Non-Bureau chemists' statements of qualification. (13) Patent information. (14) Registrations of firearms and destructive devices under the National Firearms Act. (15) Registration of war trophy firearms. (16) Requests and authorizations for temporary movement and/or temporary storage of National Firearms Act firearms. (17) Technical and scientific data. (18) Transaction records concerning National Firearms Act firearms. (19) Trade secrets. (20) United States Government contracts to manufacturers of National Firearms Act firearms. (21) Chief Counsel and Regional Counsel memoranda and opinions.

Authority for maintenance of the system:

(1) 18 U.S.C. Chapter 40; (2) 18 U.S.C. Chapter 44; (3) 18 U.S.C. Section 3056; (4) 26 U.S.C. Sections 6001(a), 5001, 5008, 5009(a), 5006(a), 5021–5023, 5041, 5042 (a)(2), 5051, 5053, 5056, 5062(c), 5705, 6201, 6423(b), 5105, 5106, 5131(c), 5132, 5172, 5172(b)(1), 5275, 5301(b), 5356, 5401, 5417, 5502(b), 5511(3), 5521(a), 5179(a), 5712, 7011; (5) 27 U.S.C. Section 204 (c); (6) 26 U.S.C. Chapter 35; (7) Executive Order 10973, as amended by Executive Order 11432.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The purpose of this system is to provide technical and scientific support and expertise to Criminal and Regulatory Enforcement activities of the Bureau; to other Federal, state, local and foreign law enforcement agencies; and to industries involved in activities regulated by the Bureau. When a criminal investigation results in a compilation of information contained in this system, the information so compiled shall be transferred to the ATF Criminal Investigation Report System and shall become a part of that system for all purposes of the Privacy Act of 1974. A record in this system may be disclosed as a routine use to: (a) Employees of other governmental agencies when required or authorized to be released by statute, regulations or Executive order. (b) Any third party to the extent necessary to collect or verify information pertinent to the Bureau's decision to grant, deny or revoke a license or permit; to initate or complete an investigation of violations or alleged violations of laws and regulations administered by the Bureau. (c) Appropriate Federal, state, local or foreign agencies, for the purpose of enforcing administrative, civil, criminal laws; hiring or retention of an employee; issuance of a security clearance, license, contract, grant or other benefit. (d) A court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (e) INTERPOL and similar national and international intelligence gathering organizations for the purpose of identifying international and national criminals involved in consumer fraud, revenue evasion or crimes. (f) Foreign governments in accordance with formal or informal international agreements. (g) Appropriate Federal, state, local or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (h) Insurance companies making determinations regarding claims in cases that the Bureau has conducted or is conducting an arson investigation. (i) A congressional office in response to an inquiry made at the request of the individual to whom the record pertains. (j) Provide information to the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Active records stored in file folders in filing cabinets; on 3 x 5 and 5 x 8 cards stored in card file cabinets; on microfilm reels; magnetic tape reels and discs; and on keypunch cards.

Retrievability:

Records are retrievable by name, by unique identifier, control number, serial number of National Firearms Act firearms.

Safeguards:

Stored in file cabinets locked during non-duty hours.

Retention and disposal:

Records are retained in accordance with General Records Schedules numbers 1 through 20 issued by the National Archives and Records Administration, and Bureau of Alcohol, Tobacco and Firearms Records Control Schedules numbers 101 and 201 and disposed of by shredding or burning. Records stored on tape discs or on-line mass storage are disposed of by degaussing.

System manager(s) and address:

Associate Director (Compliance Operations), Bureau of Alcohol, Tobacco and Firearms, 1200 Pennsylvania Avenue NW., Washington, DC 20226.

Notification procedure:

The Director of the Bureau of Alcohol, Tobacco and Firearms has determined this system of records to be exempt from compliance with the provisions of U.S.C. 552a(e)(4)(G).

Record access procedures:

The Director of the Bureau of Alcohol, Tobacco and Firearms has determined this system of records to be exempt from compliance with the provisions of 5 U.S.C. 552a(e)(4)(H).

Contesting record procedures:

See Access above.

Record source categories:

(1) Individuals. (2) Companies. (3) Corporations. (4) Firearms Licensees. (5) Explosive Licensees. (6) Explosive Permittees. (7) Bureau personnel. (8) Federal law enforcement agencies. (9) State law enforcement agencies. (10) Local law enforcement agencies. (11) Foreign law enforcement agencies. (12) Federal Regulatory agencies. (13) State Regulatory agencies. (14) Local Regulatory agencies. (15) Non-Bureau Chemists.

Systems exempted from certain provisions of the act:

Exempt under 5 U.S.C. 552a(k)(2) and 31 CFR 1.36.

Treasury/Comptroller .004

System name:

Consumer Complaint Information System (CCIS)—Treasury/Comptroller.

System location:

Office of the Comptroller of the Currency, 490 L'Enfant Plaza SW., Washington, DC 20219. Components of the CCIS are geographically dispersed throughout six (6) district offices. (See addresses listed in Appendix of OCC District Offices.)

Categories of individuals covered by the system:

Persons who file complaints against banks either directly or through second parties, e.g. attorneys, Congressional representatives.

Categories of records in the system:

The records are maintained in three general categories: Correspondence; computer tapes; and hard copies of computer generated reports. Data contained in these records are: The name and address of the complainant or their representative; the name and charter number of bank; the date of incoming letter; the date letter received by the OCC; numerical codes identifying the nature of the complaint, the source of the complaint, and the type of resolution; the name of person assigned to examine the complaint; the resolution date; and, if appropriate, the amount of reimbursement.

Authority for maintenance of the system:

12 U.S.C. 1, 12 U.S.C. 9, 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Sanitized copies of the files may be used in response to Congressional inquiries on specific subjects. Hard copy computerized reports are used to monitor the system, provide data for the Annual Report to Congress and inquiries from other agencies, public and private.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records in active use are stored in file cabinets in the processing office. Resolved complaints are stored in the office having primary responsibility for the subject's banks, generally the field office. Complaints against banks with over one billion dollars in assets are stored in the appropriate district office. Complaints which appeal the district office's resolution and complaints received from Congressional sources are stored in Central Files in the Washington Office. Active computer tapes are secured in the Information Systems and Technology Division and the computerized reports are stored in file cabinets.

Retrievability:

Correspondence records are retrieved from the appropriate office using the bank and complainant's name. Other records are retrieved using the complainant's name or the identification number assigned to each complaint.

Safeguards:

Entrance to the floors where active complaint files are located is a controlled access system. Computer tapes are also located in a controlled access location. Inactive files are located in locked file rooms.

Retention and disposal:

(a) Consumer complaint correspondence generating administrative action is part of the permanent bank record set that is retained at OCC for three calendar years, then transferred to Washington National Records Center and offered to National Archives and Records Administration when 20 years old. (b) Consumer complaints of a routine nature are held for three years, transferred to WNRC, and destroyed when seven years old. (c) Computer tapes and one record copy of reports are retained in OCC for three years, then transferred to WNRC, and offered to NARA when 20 years old.

System manager(s) and address:

Director, Consumer Activities Division, Comptroller of the Currency, 490 L'Enfant Plaza SW., Washington, DC 20219.

Notification procedure:

Individuals may write or call the Director of Consumer Activities Division to obtain this information. They must provide their name, address, name of subject bank, complaint identification number, if available, and the approximate date. The requesting individual will only be provided an affirmative or negative answer. If additional information is requested, procedures under access must be followed.

Record access procedures:

Access to a record can be requested by writing to the Director of Communications, Comptroller of the Currency, 490 L'Enfant Plaza SW., Washington, DC 20219.

Contesting record procedures:

Decisions by the district offices can be appealed to the Director of Consumer Activities Division. Such an appeal is the final level of administrative action available to persons filing complaints.

Record source categories:

The initial source is from the person filing a complaint against a national bank. Subsequent sources are from bank correspondence, bank files, or from reports based on on-site investigations.

Systems exempted from certain provisions of the act:

None.

Treasury/Comptroller .012

System name:

Freedom of Information Index and Log—Treasury/Comptroller.

System location:

Comptroller of the Currency, 490 L'Enfant Plaza, SW., Washington, DC 20219.

Categories of individuals covered by the system:

Persons making requests under the Freedom of Information Act (FOIA).

Categories of records in the system:

List of names of persons making requests under the Freedom of Information Act.

Authority for maintenance of the system:

12 U.S.C. 1 and 12 U.S.C. 9, 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Any party within or outside of the office of the Comptroller of the Currency or the Department of Treasury who wishes to review the Freedom of Information Act request log may do so by contacting or writing to the Director of Communications.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File cabinet.

Retrievability:

Log is arranged by date of receipt of a Freedom of Information Act request; index is arranged alphabetically by name of requester.

Safeguards:

Unlocked file cabinet.

Retention and disposal:

Records are updated periodically to reflect changes and are maintained as long as needed.

System manager(s) and address:

Director, Communications, 490 L'Enfant Plaza, SW., Washington, DC 20219.

Notification procedure:

Individuals wishing to be notified if they are named in this system or gain access to records maintained in this system must submit a request containing the following elements: (l) Identify the record system; (2) Identify the category and type of records sought; (3) Indicate the location of the Comptroller of the Currency Office where the record might be stored; and (4) Provide at least two items of secondary identification (date of birth, employee identification number, date(s) of employment or similar information).

Record access procedures:

Persons wishing to review the FOIA log/index should contact the Director, Communications, 490 L'Enfant Plaza, SW., Washington, DC 20219.

Contesting record procedures:

Submit requests to the Director, Communications at the above address.

Record source categories:

Persons making requests under Freedom of Information Act.

Systems exempted from certain provisions of the act: None.

Treasury/Comptroller .013

System name: Enforcement and Compliance Information System—Treasury/Comptroller.

System location:

Comptroller of the Currency, Sixth Floor, 490 L'Enfant Plaza, SW., Washington, DC 20219.

Categories of individuals covered by the system:

Individuals and entities involved in actual or suspected fraudulent activities, and bank directors, officers and shareholders named in administrative enforcement actions.

Categories of records in the system:

These records contain information identifying the individual, describing the known or suspected criminal activity or enforcement action in which the individual is involved or named, giving the bank name and location, and where applicable, the law enforcement agency to which referred, date referred, indicating if a grand jury subpoena has been issued, indicating other action taken, and identifying the OCC attorney. The name of the individual is the only identifier used.

Authority for maintenance of the system:

12 U.S.C. 481, 1818, 1820.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in the records may be used: (a) To provide the Department of Justice with periodic reports which indicate the number, place and individual identity of outstanding potential criminal violations of the law which have been referred to the

best copy available

Department. (b) To provide the Comptroller of the Currency's offices with statistical information and thereby enable it to respond to general information requests from the Congress. (c) To disclose information to foreign governments in accordance with formal or informal international agreements. (d) To provide information to the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings. (e) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records will be maintained in general correspondence files, files of enforcement actions, in card files and on computer discs.

Retrievability:

All records will be indexed by bank name and location. In addition, records on computer discs will be indexed by name of individual, known or suspected criminal code provision violated.

Safeguards:

Correspondence files are stored in the Comptroller's Central File room and may only be retrieved by authorized personnel. Enforcement files are accessible only to authorized personnel. Card files will be stored in lockable file cabinets. computer discs will be accessible only to authorized personnel.

Retention and disposal:

Records are periodically updated to reflect changes and maintained as long as needed.

System manager(s) and address:

Director, Enforcement and Compliance Division, Law Department, Comptroller of the Currency, 490 L'Enfant Plaza, SW, Washington, DC 20219.

Notification procedure:

This system is exempt from notification requirements under 5 U.S.C. 552a (k)(2) of the Act as relating to investigatory material compiled for law enforcement purposes.

Record access procedures:

Same as notification above.

Contesting record procedures:

Same as notification above.

Record source categories:

Examinations of national banks by national bank examiners; investigations performed by agency attorneys and notifications from the Department of Justice, other Federal and State law enforcement agencies, and other Federal and State bank regulatory agencies.

Systems exempted from certain provisions of the act:

Components of this system have been designated as exempt from 5 U.S.C. 552a (j)(4). To the extent that the exemption under 5 U.S.C. 552a (j)(4) does not apply, the exemption under 5 U.S.C. 552a (k)(2) applies.

Treasury/Comptroller .014

System name:

Investigation Files/Employee Reference File— Treasury/Comptroller.

System location:

Comptroller of the Currency, Human Resources Division, 490 L'Enfant Plaza, SW, Washington, DC 20219.

Categories of individuals covered by the system:

Employees of Comptroller of the Currency.

Categories of records in the system:

Compilation of material for a determination regarding Security Clearance.

Authority for maintenance of the system:

12 U.S.C. 1 and 12 U.S.C. 9 / 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Disclosures are not made outside the Department.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Locked steel file cabinets and a safe with combination lock.

Retrievability:

Filed in alphabetical order.

Safeguards:

Combination locks are changed once a year and only security-cleared employees within the Human Resources Division have access.

Retention and disposal:

Materials are retained for three months after employee leaves and the records are disposed by shredding.

System manager(s) and address:

Deputy Comptroller for Resource Management, comptroller of the Currency, 490 L'Enfant plaza, SW, Washington, DC 20219.

Notification procedure:

Individuals wishing to be notified if they are named in this system or gain access to records maintained in this system must submit a request containing the following elements: (1) Identify the record system; (2) Identify the category and type of records sought; (3) Provide at least two items of secondary identification (date of birth, employee identification number, dates of employment or similar information).

Record access procedures:

Director, Communications, 490 L'Enfant Plaza, SW, Washington, DC 20219.

Contesting record procedures:

Submit requests to the Director, Communications at the above address.

Record source categories:

The information contained in these records is provided by subject of the record—employers, co-workers, friends, neighbors and associates, and finances.

Systems exempted from certain provisions of the act:

Portions of this system have been designated as exempt fromcertain provisisons of the Privacy Act pursuant to 5 U.S.C.552a (k)(5).

Treasury/Comptroller .015

System name: Chain Banking Organizations System—Treasury/Comptroller.

System location:

Office of the Comptroller of the Currency, 490 L'Enfant Plaza East, SW, Washington, DC 20219; 1211 Avenue of the Americas, Suite 4250, New York, NY 10036; Marquis One Tower, Suite 600, 245 peachtree Center Avenue N.E., Atlanta, GA 30303; Sears Tower, Suite 5750, 233 South Wacker Drive, Chicago, IL 60606; 2345 Grand Avenue, Suite 700, Kansas City, MO 64108; 1201 Elm Street, Suite 3800, Dallas, TX 75270; 50 Fremont Street, Suite 3900, San Francisco, CA 94105.

Categories of individuals covered by the system:

Individuals who directly, indirectly, or in concert with others, own and/or control a chain banking organization.

Categories of records in the system:

The Chain Banking Organizations System consists of word processing and microprocessing programs which perform editing, updating and reporting functions on two types of data: (1) Name of an individual (or group of individuals acting in concert) that owns or controls a chain banking organization and (2) information concerning individual chain banks, such as; name, location, charter number, charter type, date of last examination, percentage of outstanding stock owned by controlling individual or group and, if applicable, name of intermediate holding entity and percentage of it held by controlling individual or group.

Authority for maintenance of the system:

12 U.S.C. 1, 12 U.S.C. 481, 12 U.S.C. 1817(j).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The System may be used: (1) To disclose information about specific chain banking organizations to other financial institution supervisory authorities for: (a) Coordination of examining resources when the chain banking organization is composed of banks or financial institutions subject to multiple supervisory jurisdiction; (b) coordination of evaluations and analysis of the condition of the consolidated chain group; (c) coordination of supervisory, corrective or enforcement actions. (2) To disclose information to the extent provided by law or regulation and as necessary to report any apparent violations of law to appropriate law enforcement agencies. (3) To disclose pertinent information to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (4) To disclose information to a Federal, State, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit. (5) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (6) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

These records are maintained in a computer data base and on computer floppy disks or hard copy printouts stored in file cabinets.

Retrievability:

All retrievable records are indexed by district location, state, alphabetically by surname of the individual(s) and/or entity controlling the chain banking organization.

Safeguards:

Access to records in electronic storage systems is restricted by user identification procedures and passwords which limit access to authorized employees of the Office. Computer disks and hard copy printouts will be stored in locked file cabinets when the Office is vacant.

Retention and disposal:

Records are generally maintained in electronic storage disks in an on-line capacity until needed. Certain records are archived in off-line storage. All records, including those in printout form, are periodically updated to reflect changes and maintained as long as needed.

System manager(s) and address:

Senior Deputy Comptroller for Bank Supervision Operations, Office of the Comptroller of the Currency, 490 L'Enfant Plaza East, SW., Washington, DC 20219. District Offices—The Deputy Comptroller for each District is responsible for assuring the accuracy and routine maintenance of that portion of the System applicable to the district.

Notification procedure:

Individuals who wish to be notified if they are named in the system shall submit a signed, written request to the appropriate District Office (or to the System Manager at the address listed). The request must contain: (1) The requestor's name and address; (2) the name of the system of records; and (3) the name and location of the bank(s) which they control individually or in concert with others.

In order to avoid excessive delay and unneeded correspondence, individuals requesting notification should simultaneously request access to records pertaining to them.

Record access procedures:

Portions of this system of records may be accessed under the Privacy Act for purposes of inspection by identified controlling individuals for the express purpose of verifying that their relationships are accurately recorded.

Contesting record procedures:

Individuals who wish to contest a record in the system must submit a signed written request to the Senior Deputy Comptroller for Bank Supervision Operations, Office of the Comptroller of the Currency, 490 L'Enfant Plaza East, SW., Washington, DC 20219.

The requests should contain: (1) The name and address of the individual contesting the record; (2) the name of the system of records; (3) the name and location of the chain bank(s) which they reportedly control individually or in concert with others; and (4) the specific information being contested and the reason for contesting (it is believed to be inaccurate, irrelevant, incomplete, etc.).

Record source categories:

Information that identifies chain banking groups primarily is gathered from: (1) Examination reports and related materials; (2) regulatory filings; and (3) Change in Bank Control Notices filed pursuant to 12 U.S.C. 1817 (j).

Systems exempted from certain provisions of the act:

None.

Treasury/Comptroller .016

System name: Litigation Information System (LIS)—Treasury/Comptroller.

System location:

Office of the Comptroller of the Currency, 490 L'Enfant Plaza East, SW., Washington, DC 20219.

Categories of individuals covered by the system:

LIS will cover: (a) Individuals who file administrative or judicial claims against the OCC and/or officials or employees of the OCC in their capacity as such, against whom the OCC files claims, or who are parties to claims in which the OCC participates, but is not a party. (b) All other individuals, including actual or potential witnesses, involved in litigation brought by or against the OCC or in which the OCC participates as a nonparty.

Categories of records in the system:

All records generated in connection with the litigation including evidentiary material, transcripts of testimony, documents prepared for administrative or judicial proceedings, correspondence, and staff memoranda.

Authority for maintenance of the system:

12 U.S.C. 1 and 481; 15 U.S.C. SS78c(a)(34), 781(i), 78o–4.

Routine Uses of records maintained in the system, including categories of users and the purposes of such uses:

The information contained in these records may be used: (a) To provide the Department of Justice with pleadings, memoranda, correspondence, litigation reports, and other documents that will assist it in the preparation of litigation involving the OCC. (b) To disclose information to the news media in accordance with guidelines contained in 28 CFR 50.2, which covers the release of information relating to civil and criminal proceedings. (c) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosure to opposing counsel or potential or actual witnesses in the course of discovery, in litigation or settlement negotiations, or in response to a subpoena, where relevant or potentially relevant to the proceeding. (d) To provide information or records to any other appropriate domestic or foreign governmental agency or self-regulatory organization charged with the responsibility of administering law or investigating or prosecuting violations of law or charged with enforcing or implementing statutes, rules, regulations or orders pursuant thereto. (e) To disclose information to bank and consumer groups. (f) To disclose information to any person with whom the OCC contracts to reproduce, by typing, photocopy or other means, any record within the system of records for use by the OCC and its staff in connection with their official duties or to any person who is utilized by the OCC to perform clerical or stenographic functions relating to the official business of the OCC.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records comprising this system are maintained in file folders kept in lockable file cabinets.

Retrievability:

Access to the records is by name of theindividual litigant(s).

Safeguards: Records are accessible only to authorized personnel.

Retention and disposal: Records are updated periodically to reflect changes and are maintained as long as needed.

System manager(s) and address:

Director, Litigation Division, Law Department, Comptroller of the Currency, 490 L'Enfant Plaza East, SW., Washington, DC 20219.

Notification procedure:

Individuals wishing to be notified if they are named in the system or to gain access to records maintained in the system must submit a request containing the following elements: (1) Identity of the record system; (2) identity of the category and type of records sought; (3) the location of the Comptroller of the Currency office where the record might be stored; and (4) at least two items of secondary identification (date of birth, employee identification number, dates of employment or similar information).

Record access procedures:

Submit requests to Director, Public Affairs, 490 L'Enfant Plaza East, SW., Washington, DC 20219.

Contesting record procedures: Submit comments to Director, Public Affairs, 490 L'Enfant Plaza East, SW., Washington, DC 20219.

Record source categories:

Individuals who file claims against or otherwise are involved in legal proceedings with the OCC and/or an official or employee thereof in his or her capacity as such; communications and documents generated or received by the OCC, its officials or employees in the course of the legal proceedings; applications and other filings made with the OCC pursuant to law.

Systems exempted from certain provisions of the act:

None.

Treasury/Comptroller .221

System name: Professional Qualifications Records for Municipal Securities Principals and Municipal Securities Representatives—Treasury/Comptroller.

System location:

Office of the Comptroller of the Currency, 490 L'Enfant Plaza East SW., Washington, DC 20219. Records stored in computerized files are maintained off-premises at the National Association of Securities Dealers, 1735 K Street NW., Washington, DC 20006.

Categories of individuals covered by the system:

Persons who are or seek to be associated with a municipal securities dealer which is a national or District of Columbia bank, or a department, division, or subsidiary of any such bank, in the capacity of municipal securities principals or municipal securities representatives.

Categories of records in the system:

These records contain identifying information, detailed educational and occupational histories, certain professional qualifications, examination information, disciplinary histories, and information concerning the termination of employment of individuals covered by the system. Identifying information includes names, address history, date and place of birth, and may include Social Security number.

Authority for maintenance of the system:

Section 15B(c) (5), 17 and 23 of the Securities Exchange Act of 1934(15 U.S.C. 78o–4(c) (5), 78q and 78w) and the general authority of the National Banking Laws, 12 U.S.C. 1 et seq.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The information contained in these records may be subject to the following uses:

(a) Referral to the appropriate governmental authority, whether Federal, State, local, or foreign, or to the appropriate self-regulatory organization, of such information as may indicate a violation or potential violation of law, regulation or rule. (b) Referral to the appropriate court, magistrate, or administrative law judge of such information as may be relevant to proceedings before any such court or judicial officer. (c) Disclosure of such information as may aid in the resolution of any action or proceeding: (1) In which the Federal securities or banking laws are at issue; (2) In which the propriety of any disclosure of information contained in the system is at issue; or (3) To which the Comptroller of the Currency or a past or present member of its staff is a party or otherwise involved in an official capacity. (d) Disclosure to a Federal, State, local, or foreign governmental authority, or to a self-regulatory organization, of such information as may be necessary to obtain from such authority or organization additional information concerning the qualifications of an individual covered by the system. (e) Disclosure of such information as may be necessary to respond to a request from a Federal, State, local, or foreign governmental authority, or from a self-regulatory organization, for information needed in connection with the issuance of a license, granting of a benefit, or similar action by such authority or organization affecting an individual covered by the system. (f) Disclosure of such information as may be necessary to respond to any Congressional inquiry undertaken at the request of an individual covered by the system.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are maintained in file folders and on magnetic media.

Retrievability:

Records are indexed by name of individual.

Safeguards:

File folders are stored in lockable metal cabinets and computer memory discs are accessed only by Authorized Personnel.

Retention and disposal:

Records are updated periodically to reflect changes and maintained as long as needed.

System manager(s) and address:

Director, Investment Securities Division, 490 L'Enfant Plaza East SW., Washington, DC 20219.

Notification procedure:

Inquiries, including name, date and place of birth, should be addressed to the System Manager. Inquirers may be required to include a notarized statement attesting to identity.

Record access procedures:

Same as notification procedure.

Contesting record procedures:

Same as notification procedure.

Record source categories:

Those individuals and municipal securities dealers described in the section entitled "Categories of Individuals Covered by the System," provide the bulk of the information in the system. Additional input is provided by Federal, State, local, and foreign governmental authorities, and by self-regulatory organizations, which regulate the securities industry.

Systems exempted from certain provisions of the act:

None.

Treasury/Comptroller 300

System name: Administrative Personnel System—Treasury/Comptroller.

System location:

Office of the Comptroller of the Currency, 490 L'Enfant Plaza, SW., Washington, DC 20219. Components of this system are geographically dispersed throughout six (6) district offices. Contact District Offices for addresses of field offices within their jurisdiction. (See addresses listed in Appendix of OCC District Offices.)

Categories of records in the system:

Employment related administrative records. This system contains internal control type information about employees. The type of records found within this system are: List of individuals who are issued drivers' licenses, building passes, credit or identification cards, parking permits, accountable property and travel documents; lists of individuals who perform specialized duties (building wardens, relocation teams, safety officers, and civil defense officers); reports about individuals who are involved in accidents while employed.

Authority for maintenance of the system:

General authority—12 U.S.C. 1 and 9, 5 U.S.C. 301. Specific authority is derived from a number of laws, regulations and Executive Orders. Individuals wishing to obtain more detailed information should write to the Director, Communications, 490 L'Enfant Plaza, SW., Washington, DC 20219.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

A record in this system may be disclosed as a routine use to: (1) The Office of Personnel Management (OPM) for the purpose of complying with regulations issued by the OPM; (2) the General Services Administration (GSA) for the purpose of complying with regulations issued by the GSA; and (3) the Department of Labor for the purpose of investigating claims for work related injuries.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File folders, magnetic tape, lists and forms.

Retrievability:

Records are retrieved primarily by name (filed alphabetically by category of records); secondary identifiers are used to assure accuracy (date of birth, social security number or employee identification number).

Safeguards:

Records are stored in lockable cabinets or secure rooms; access is limited to officials who have a need for the information; employees are trained to make only authorized disclosures.

Retention and disposal:

Personnel-type records are retained for thirty (30) days after termination. All other records are retained and destroyed in accordance with published disposition and retention schedules. Individuals wishing more detailed information should write to the Director, Communications, 490 L'Enfant Plaza, SW., Washington, DC 20219.

System manager(s) and address:

Deputy Comptroller for Resource Management, 490 L'Enfant Plaza, SW., Washington, DC 20219.

Notification procedure:

Individuals wishing to be notified if they are named in this system of records, or gain access to records maintained in this system must submit a written request containing the following elements: (1) Identify the record system; (2) Identify the category and type of records sought; (3) Indicate the location of the Comptroller of the Currency office where last employed; (4) Provide at least two items of secondary identification (date of birth, employee identification number, dates of employment or similar information).

Record access procedures:

Director, Communications, 490 L'Enfant Plaza, SW., Washington, DC 20219.

Contesting record procedures:

Submit requests to the Director, Communications at the above address.

Record source categories:

The information in these records was provided by or verified by the subject of the record, employers and co-workers.

Systems exempted from certain provisions of the act: None.

Treasury/Comptroller 310

System name:

Financial System—Treasury/Comptroller.

System location:

Office of Comptroller of the Currency, Systems and Financial Management Division, 490 L'Enfant Plaza East, SW, Washington, DC 20219. Components of this System are geographically dispersed throughout six (6) district offices as well as Washington, DC (See addresses listed in Appendix of OCC District Offices.)

Categories of individuals covered by the system:

Present and past employees of the Office of the Comptroller of the Currency.

Categories of records in the system:

This system contains payroll and disbursement type records including: Travel records, debt information, and information about employees. The types of records found within this system are: Award, allowance, salary, fund advancement justification and disbursement records; personnel information; leave information; payroll deductions for taxes, life and health insurance, financial institutions, retirement funds including the Federal Employees Retirement System and the Civil Service Retirement System, Thrift Savings Plan, and charitable groups.

Authority for maintenance of the system:

General Authority—12 U.S.C. 1, 5 U.S.C. 301. Individuals wishing to obtain more detailed information should write to the Director, Communications, Office of the Comptroller of the Currency, 490 L'Enfant Plaza East, SW, Washington, DC 20219.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in these records may be used:

(1) To furnish the Internal Revenue Service and other jurisdictions which are authorized to tax the employee's compensation, with wage and tax information in accordance with a withholding agreement with the Department of the Treasury pursuant to 5 U.S.C. 5516, 5517, and 5520;

(2) To furnish the Office of Personnel Management (OPM) with data to update the Central Personnel Data File and other statistical reports as required for the purpose of complying with regulations issued by OPM;

(3) To furnish another federal agency information to effect interagency salary offset; to furnish another federal agency information to effect interagency administrative offset, except that addresses obtained from the Internal Revenue Service shall not be disclosed to other governmental agencies; and to furnish a debt collection agency information for debt collection services. Current mailing addresses acquired from the Internal Revenue Service are routinely released to debt collection agencies for collection services;

(4) To the General Services Administration (GSA) for the purpose of complying with regulations issued by GSA;

(5) To the General Accounting Office for the purpose of conducting audits;

(6) To entities designated to receive payroll deductions;

(7) To the Department of Labor to determine eligibility for unemployment benefits;

(8) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing Counsel or witnesses in the course of civil discovery, litigation or settlement negotiations in response to a subpoena, or in connection with criminal law proceedings.

Disclosure to consumer reporting agencies:

Disclosures pursuant to 5 U.S.C. 552a(b)(12) and section 3 of the Debt Collection Act of 1982: Debt information concerning a government claim against an individual is also furnished, in accordance with 5 U.S.C. 552a(b)(12) and section 3 of the Debt Collection Act of 1982 (Pub. L. 97-365), to consumer reporting agencies to encourage repayment of an overdue debt.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders, magnetic media including computer discs and tapes, microfiche, and hard copy print-out. Disbursement records are stored at the Federal Records Center.

Retrievability:

Records are retrieved primarily by name (filed alphabetically) or an assigned identification number (Social Security Number or an assigned identification number). Secondary identifiers are used to assure accuracy of data accessed, including date of birth, Social Security Number or Employee Identification Number.

Safeguards:

File folders are stored in lockable file cabinets or secure rooms; access is limited to officials who have a need for the information; employees are trained to make only authorized disclosures; Computer records are accessed only by authorized personnel.

Retention and disposal:

Payroll and disbursement records are retained by the Office in accordance with the Comptroller of the Currency's Comprehensive Records Disposition Schedule. Individuals wishing further information should write to the Director, Communications, 490 L'Enfant Plaza East, SW, Washington, DC 20219.

System manager(s) and address:

Deputy Comptroller for Systems and Financial Management, 490 L'Enfant Plaza East, SW, Washington, DC 20219.

Notification procedure:

Individuals wishing to be notified if they are named in this system, gain access to records maintained in the system or contest any record contained in the system must submit a request containing the following elements: (1) Identify the record system; (2) Identify the category and types of records sought; (3) Indicate the location of the Comptroller of the Currency Office where last employed; (4) Provide at least two items of secondary identification (date of birth), Employee Identification Number, dates of employment or similar information.

Record access procedures:

Submit request to Director, Communications, Office of the Comptroller of the Currency, 490 L'Enfant Plaza East, SW, Washington, DC 20219.

Contesting record procedures:

Submit request to Director, Communications, Office of the Comptroller of the Currency, 490 L'Enfant Plaza East, SW, Washington, DC 20219.

Record source categories:

The information contained in these records is provided by or verified by the subject of the record and OCC employees.

Systems exempted from certain provisions of the act:

None.

Treasury/Comptroller 320

System name: General Personnel System—Treasury/Comptroller.

System location:

Office of the Comptroller of the Currency, 490 L'Enfant Plaza, SW., Washington, DC 20219. Components of this system are geographically dispersed throughout six (6) District Offices. (See addresses listed in Appendix of OCC District Offices.)

Categories of individuals covered by the system:

Present and past employees and applicants for employment.

Categories of records in the system:

Employment related biographical and performance material. This category of records is typically identified as personnel type records and contains data about employees and applicants. The records found within this category include: Performance evaluations; educational, employment, medical and military histories; employee benefit applications, forms and claims; travel and relocation claims; locator and emergency contact information; dependent and beneficiary information; physical and qualification descriptions; financial interest statements; personal and family assets, liabilities and other interests in business enterprises.

Authority for maintenance of the system:

General authority—12 U.S.C. 1 and 9, 5 U.S.C. 301. Specific authority is derived from a number of laws, regulations and Executive Orders. Individuals wishing to obtain more detailed information should write to the Director, Communications, 490 L'Enfant Plaza, SW., Washington, DC 20219.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: A record in this system may be disclosed as a routine use to: (1) The Office of Personnel Management (OPM) for the purpose of complying with regulations issued by the OPM; (2) the Veterans Administration (VA) for the purposes of determining veterans preference and pension benefits; (3) the Equal Employment Opportunity Commission for the purpose of providing minority information and case reports; (4) respond to requests from labor organizations for names of employees and identifying information; (5) the Department of Labor for the purpose of reporting health and safety matters; (6) the General Services Administration (GSA) for the purpose of complying with regulations issued by GSA; (7) the Merit Systems Protection Board for the purpose of providing necessary information relating to employee appeals; (8) the Department of Labor to provide information relative to Unemployment Compensation and OWCP claims.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File folders, magnetic media, microfiche, printouts, lists and forms.

Retrievability:

Records are retrieved primarily by name (filed alphabetically by category of records). Secondary identifiers are used to assure accuracy (date of birth, Social Security number or employee identification number).

Safeguards:

Records are stored in lockable cabinets, electronic data bases requiring security access codes or secure rooms; access is limited to officials who have a need for the information; employees are trained to make only authorized disclosures. Records maintained with vendors are under contractual obligation to maintain confidentiality.

Retention and disposal:

Most personnel-type records are retained for thirty (30) days after termination, at which time they are transferred to the Federal Records Center or destroyed. Some records are retained for varying periods of time in accordance with Federal Personnel Manual Regulations. Individuals wishing more detailed information should write to the Director, Communications, 490 L'Enfant Plaza, SW., Washington, DC 20219.

System manager(s) and address:

Deputy Comptroller for Resource Management, 490 L'Enfant Plaza, SW., Washington, DC 20219.

Notification procedure:

Individuals wishing to be notified if they are named in this system of records, or gain access to records maintained in this system must submit a written request containing the following elements:

(1) Identify the record system; (2) Identify the category and type of records sought; (3) Indicate the location of the Comptroller of the Currency office where last employed or where application for employment was made; (4) Provide at least two secondary identifications (date of birth, employee identification number, dates of employment or similar information).

Record access procedures:

Director, Communications, 490 L'Enfant Plaza, SW., Washington, DC 20219.

Contesting record procedures:

Submit requests to the Director, Communications, 490 L'Enfant Plaza, SW., Washington, DC 20219.

Record source categories:

The information contained in these records was provided or verified by the subject of the record, employers, co-workers, friends, neighbors and associates listed as references, financial and educational institutions.

Systems exempted from certain provisions of the act: None.

Treasury/Comptroller 500

System name: Chief Counsel's Management Information System—Treasury/Comptroller.

System location:

Office of the Comptroller of the Currency, 490 L'Enfant Plaza, SW., Washington, DC 20219. Physical components of this system are also located in regional offices.

Categories of individuals covered by the system:

Individuals who have requested information or action from the Law Department of the Comptroller of the Currency and individuals referenced in documents received by the Law Department in the course of the Agency's bank supervisory functions.

Categories of records in the system:

The Chief Counsel's Management Information System consists of four primary modules: (1) The Work Assignment Control module; (2) The Case Tracking module; (3) The Litigation Support module; and (4) The Legal Research module. Information contained in the system includes, inter alia, name of the author and/or correspondent and the organization to which the author/ correspondent belongs, the date of the correspondence, the city, state and region in which correspondent organization is located, the work type, the bank involved, and the subject.

Authority for maintenance of the system:

12 U.S.C. 1, 12 U.S.C. 9, 12 U.S.C. 481, 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in the records may be used: (1) To disclose pertinent information to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (2) To disclose information to a Federal, State, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit. (3) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (4) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

These records are maintained in computer data banks, computer tapes and printouts, and in file cabinets.

Retrievability:

All records are indexed on a variety of data fields including correspondent name and location, bank name and location, subject, statutory provisions, and date.

Safeguards:

All records are indexed through computer indices. Only employees within the Law Department with proper user identification and passwords have access to the computer banks. Employees are trained to make authorized disclosures only to those individuals who have a need for the information. Passwords and user IDs are changed frequently.

Retention and disposal:

Records are generally maintained in the on-line data bank until it is determined that on-line access is not required. Thereafter the records are archived in an off-line storage system. Records in file cabinets are maintained indefinitely.

System manager(s) and address:

Executive Assistant to the Chief Counsel, Comptroller of the Currency, 490 L'Enfant Plaza, SW., Washington, DC 20219, (202)447-1896.

Notification procedure:

Individuals wishing to be notified if they are named in the system or to gain access to records maintained in the system must submit a request containing the following elements:

(1) Identity of the record system; (2) identity of the category type of records sought; (3) the location of the Comptroller of the Currency Office where the record might be stored; and (4) at least two items of secondary identification (date of birth, employee identification number, dates of employment, or similar information). The system contains records which are exempt under 5 U.S.C. 552a(j)(2) or 552a(k)(2).

Record access procedures:

Same as Notification.

Contesting record procedures:

Same as Notification. Requests should be submitted to:

Director, Public Affairs, Comptroller of the Currency, 490 L'Enfant plaza, SW., Washington, DC 20219.

Record source categories:

Materials received by the Law Department from various sources including, inter alia, persons involved in sending inquiries to the Law Department and documents received by the Law Department in the course of the Agency's bank supervisory function. The Chief Counsel's Management Information System contains certain records which have been designated as exempt from certain provisions of the Privacy Act.

Systems exempted from certain provisions of the act: This system is exempt from 5 U.S.C. 552a (c)(3)(4), (d)(1)(2)(3)(4), (e)(1)(2)(3)(4), (G), (H), and (I), (e) (5) and (8), (f) and (g) of the Privacy Act pursuant to 5 U.S.C. 552a (j)(2) and (k)(2).

Treasury/Customs .001

System name:

Acceptable Level of Competence, Negative Determination—Treasury/Customs.

System location:

Office of Human Resources, U.S. Customs Service, Washington, DC 20229.

Categories of individuals covered by the system:

Any employee of U.S. Customs Service, who receives a negative determination regarding acceptable level of competence.

Categories of records in the system:

Employee's name, Social Security number, position description, grade, and correspondence containing specific reasons for negative determination.

Authority for maintenance of the system:

5 U.S.C. 301; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in these records may be used: (1) To disclose pertinent information to appropriate Federal, State, local, or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (2) To disclose information to a Federal, State, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit. (3) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (4) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains. (5) To provide information to unions recognized as exclusive bargaining representatives under the Civil Service Reform Act of 1978, 5 U.S.C. 7111 and 7114. (6) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are maintained in file folders and stored in locked file cabinets.

Retrievability:

The records are filed by the individual's name.

Safeguards:

Direct access is limited to the employees of the Office of Human Resources. Stored in locked cabinets.

Retention and disposal:

Records are retained until the employee leaves the Customs Service.

System manager(s) and address:

Director, Labor Employee Relations Division, Office of Human Resources, U.S. Customs Service, Washington, DC 20229.

Notification procedure:

Correspondence with systems manager.

Record access procedures:

Correspondence with systems manager.

Contesting record procedures:

Correspondence with systems manager.

Record source categories:

Information is furnished by the employee, employee's supervisor and the Federal Employee Appeals Authority.

Systems exempted from certain provisions of the act: None.

Treasury/Customs .002

System name: Accident Reports—Treasury/Customs.

System location:

Logistics Management Division, Southeast Region, 99 S.E. 5th Street, Miami, FL 33131; Logistics Management Division, U.S. Customs Service, 211 Main Street, San Francisco, CA 94105.

Categories of individuals covered by the system:

Any employee of Southeast Region who has had an accident on Government property or in an official vehicle since 1973.

Categories of records in the system:

Standard Government forms dealing with accidents and personal injuries.

Authority for maintenance of the system:

5 U.S.C. 301; Treasury Department Order No. 165, Revised, as amended. Executive Order 11807 and Section 19 of Occupational Health & Safety Act of 1970; 5 U.S.C. 8101–8150, 8191–8193.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: These records and information in the records may be used: (a) To disclose to employee's beneficiary in event of death following the accident or injury or to employee's agent in case of disability. (b) To disclose pertinent information to appropriate Federal, State, local, or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (c) To disclose information to a Federal, State, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit. (d) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (e) To provide information to the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings. (f) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Each case folder is maintained in an unlocked drawer in chronological order by date.

Retrievability:

Each case is identified by employee name and date of accident.

Safeguards:

The metal container described above is maintained within the area assigned to the Logistics Management Division within the Southeast Region Headquarters Building. During non-working hours the room in which the metal container is located is locked.

Retention and disposal:

Accident Record files are retained in accordance with the Records Disposal Manual.

System manager(s) and address:

Director, Logistics Management Division, Southeast Region, Headquarters, 99 SE 5th Street; Logistics Management Specialist, Logistics Management Division, U.S. Customs Service, 211 Main Street, San Francisco, CA 94105.

Notification procedure:

See Customs Appendix A.

Record access procedures:

See Customs Appendix A.

Contesting record procedures:

See Access, Customs Appendix A.

Record source categories:

Information originates with employees who have been injured and/or have been involved in accidents during the exercise of their official duties. Also included are witness reports and statements, the employees' supervisors' statements and doctors' reports.

Systems exempted from certain provisions of the act: None.

Treasury/Customs .005

System name: Accounts Receivable Treasury/Customs.

System location:

Financial Management Division, U.S. Customs Service, Northeast Region, 100 Summer Street, Boston, MA 02110; Financial Management Division, District and Ports, 99 SE 5th Street, Miami, FL 33131; U.S. Customs Service, Financial Management Division, Increase and Refund Section, 6 World Trade Center, New York, NY 10048; Financial Management Division, U.S. Customs Service, South Central Region, 1440 Canal Street, New Orleans, LA 70112.

Categories of individuals covered by the system:

Persons owing money for Customs duties and services and money owed to persons for overpayment of excessive duties and services.

Categories of records in the system:

Correspondence and documentation of telephone calls with debtors and creditors or their representatives.

Authority for maintenance of the system:

5 U.S.C. 301; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: These records and information in the records may be used:

(a) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains. (b) To provide information to unions recognized as exclusive bargaining representatives under the Civil Service Reform Act of 1978, 5 U.S.C. 7111 and 7114.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Data is stored in file folders which are contained in an unlocked metal file cabinet.

Retrievability:

The file is retrieved by the name of the individual which is kept in alphabetical order within the work area of the Collection Section.

Safeguards:

The files are located within an office that is locked during non-working hours. The building is guarded by uniformed security police and only authorized persons are permitted entry to the building.

Retention and disposal:

The file is retained until collection or refund is effected and two (2) years thereafter, then destroyed.

System manager(s) and address:

Director, Financial Management Division, U.S. Customs Service, 100 Summer Street, Boston, MA 02110; Director of Financial Management, 99 SE 5th Street, Miami, FL 33131; Regional Commissioner, U.S. Customs Service, 6 World Trade Center, New York, NY 10048; Financial Management Division, U.S. Customs Service, South Central Region, 1448 Canal Street, New Orleans, LA 70112.

Notification procedure:

See Customs Appendix A.

Record access procedures:

See Customs Appendix A.

Contesting record procedures:

See Access, Customs Appendix A.

Record source categories:

The information in the system is obtained from data gathered from the automated billing system and ports of entry.

Systems exempted from certain provisions of the act: None.

Treasury/Customs .009

System name: Acting Customs Inspector (Excepted) Treasury/Customs.

System location:

Personnel Management Division, Regional Commissioner of Customs, 55 East Monroe Street, Suite 1501, Chicago, IL 60603, and Offices of the District Directors, North Central Region, Chicago, IL; Inspection and Control Division, U.S. Customs Service, Southwest Region, 500 Dallas Street, Suite 1240, Houston, TX 77002; Office of the District Director, San Diego, CA; Offices of the Port Directors, San Ysidro, CA; Calexico, CA; Tecate, CA; Andrade, CA; San Diego Barge Office; U.S. Customhouse, P.O. Box 111, District Director's Office, St. Albans, VT 05478.

Categories of individuals covered by the system:

Employees or members of other Federal agencies who are designated by the District Directors as Customs Inspectors (Excepted).

Categories of records in the system:

System has name, Social Security number, rank or grade and duty station of the individual.

Authority for maintenance of the system:

5 U.S.C. 301; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in the records may be used:

(a) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains. (b) To provide information to unions recognized as exclusive bargaining representatives under the Civil Service Reform Act of 1978, 5 U.S.C. 7111 and 7114.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

CF 55 forms kept in manila folders in file cabinet.

Retrievability:

Filed alphabetically.

Safeguards:

During non-working hours the offices and/or buildings in which records are located are locked.

Retention and disposal:

Until individual transfers or designation is cancelled. Form is then destroyed.

System manager(s) and address:

Director, Personnel Management Division; North Central Region, 55 E. Monroe Street, Chicago, IL 60603; Director, Inspection and Control Division, U.S. Customs Service, Southwest Region, 500 Dallas, Suite 1240, Houston, TX 77002; District Director, Port Directors, and Division Directors, within the San Diego Customs District (see Appendix A.); District Director, U.S. Customs Service, St. Albans, VT 05478, District Director, P.O. Box 2112, San Juan, PR 00903.

Notification procedure:

See Customs Appendix A.

Record access procedures:

See Customs Appendix A.

Contesting record procedures:

See Access, Customs Appendix A.

Record source categories:

Information is supplied by the individual and his or her agency.

Systems exempted from certain provisions of the act:

None.

Treasury/Customs .014

System name: Advice Requests (Legal) (Pacific Region)—Treasury/Customs.

System location:

Office of the Regional Counsel, 211 Main Street, San Francisco, CA 94105.

Categories of individuals covered by the system:

Individuals who are the subject of any request for legal advice by another office within Customs, another Government agency, or the private individual himself. An example would be a request by a District Director for advice as to whether or not a violation of a Customs law for which a penalty may be assessed has occurred.

Categories of records in the system:

Intra-agency or inter-agency memoranda and reports of investigation and other documents submitted by the requesting office for use in handling the request. Correspondence from the private individual submitting the request.

Authority for maintenance of the system:

5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended; Reorganization Plan No. 1 of 1965.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in the records may be used: (a) To disclose pertinent information to appropriate Federal, State, local, or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (b) To disclose information to a Federal, State, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit. (c) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (d) To provide information to the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings. (e) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Each case file is inserted in an alphabetical file folder which is filed in an unlocked drawer within a metal file cabinet.

Retrievability:

Each case file is identified in a manual alphabetical card file by the name of the individual who is the subject of the request and in the alphabetical file folder within the metal file cabinet by the name of the individual who is the subject of the request.

Safeguards:

The metal file cabinet described above is maintained within the area assigned to the Office of the Regional Counsel within the Federal Building. During non-working hours the room in which the metal file cabinet is located is locked, and access to the building is controlled at all times by uniformed guards.

Retention and disposal:

Request for legal advice files are retained until there is no longer any space available for them within the metal file cabinet, at which time files are transferred to the Federal Record Center or destroyed.

System manager(s) and address:

Regional Counsel, 211 Main Street, San Francisco, CA 94105.

Notification procedure:

See Customs Appendix A.

Record source categories:

Information comes from the memoranda or correspondence from the office or individual requesting the advice and from any supporting documents that office or individual may transmit.

Systems exempted from certain provisions of the act: This system is exempt from 5 U.S.C. 552a(c)(3), (d)(1), (d)(2), (d)(3), (d)(4), (e)(1), (e)(4) (G), (H) and (I), and (f) of the Privacy Act pursuant to 5 U.S.C. 552a(k)(2).

Treasury/Customs .021

System name: Arrest/Seizure/Search Report and Notice of Penalty File—Treasury/Customs.

System location:

Office of the District Director of Customs, Room 228, United States Customs Service, 335 Merchant Street, Honolulu, HI 96813.

Categories of individuals covered by the system:

Persons who are suspected of attempting to smuggle, or have smuggled, merchandise or contraband into the United States; individuals who have undervalued merchandise upon entry into the United States; vessels and aircraft which have been found to be in violation of Customs laws.

Categories of records in the system:

Names of individuals, vessels, aircraft; identifying factors; nature of violation or suspected violation; circumstances surrounding violation or suspected violation; date and place of violation or suspected violation; and on-site disposition actions.

Authority for maintenance of the system:

5 U.S.C. 301; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in the records may be used: (a) To disclose pertinent information to appropriate Federal, State, local, or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (b) To disclose information to a Federal, State, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit. (c) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (d) To provide information to the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings. (e) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Each report is assigned a case number and filed accordingly in a locked, metal file located in the Office of the District Director.

Retrievability:

Each report is identified in a manual alphabetical card file by the name of the individual, vessel or aircraft.

Safeguards:

In addition to being stored in a locked metal cabinet, these records are located in a locked room, the keys of which are controlled and issued only to authorized personnel.

Retention and disposal:

These records are retained for one year (1) or until action has been completed.

System manager(s) and address:

District Director of Customs, U.S. Customs Service, Post Office Box 1641, Honolulu, HI 96806.

Systems exempted from certain provisions of the act:

This system is exempt from 5 U.S.C. 552a (c)(3), (d)(1), (d)(2), (d)(3), (d)(4), (e)(1), (e)(4) (G), (H) and (I) and (f) of the Privacy Act pursuant to 5 U.S.C. 552a(k)(2).

Treasury/Customs .022

System name: Attorney Case File—Treasury/Customs.

System location:

Office of Regional Counsel of Customs, 10 Causeway Street, Boston, MA 02222.

Categories of individuals covered by the system:

Individuals who are subject of adverse actions, equal employment opportunity complaints, unfair labor practice complaints, and grievances; individuals who are the subject of Customs license or other administrative revocation or suspension proceedings; individuals who are the subject of or have requested legal advice from the Office of Regional Counsel; and individuals requesting access to information pursuant to any statute, regulation, directive, or policy to disclose such information.

Categories of records in the system:

The categories of records maintained in the system are personnel actions; administrative revocation or suspension proceedings; intra-agency or inter-agency memoranda, reports of investigation, and other documents relating to the request for legal advice; requests, information, records, documents, internal Customs Service memoranda, or memoranda from other agencies and related materials regarding the disclosure of information.

Authority for maintenance of the system:

5 U.S.C. 301; Treasury Department Order No. 165, Revised, as amended; 5 U.S.C. 552; 31 CFR Part 1; 19 CFR Part 103.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in the records may be used:

(a) To disclose pertinent information to appropriate Federal, State, local, or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (b) To disclose information to a Federal, State, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit. (c) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (d) To provide information to the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings. (e) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records maintained in file folders.

Retrievability:

Records indexed by name of individual involved in the particular matter generating the file.

Safeguards:

Open case files maintained in file cabinets with access by Regional Counsel and his staff only; closed case files maintained in locked cabinet with keys retained by Regional Counsel and his staff only.

Retention and disposal:

Retained until there is no longer any space available within metal cabinets, at which time the oldest files are transferred to the Federal Records Center.

System manager(s) and address:

Regional Counsel of Customs, 10 Causeway Street, Boston, MA 02222.

Notification procedure:

See Customs Appendix A.

Record source categories:

The information contained in these files is received from U.S. Customs employees, reports of investigation, Customs penalty case files, other Government agencies, parties involved in litigation, administrative proceedings regarding disciplinary action taken against Customs Service employees, Equal Opportunity complaints, unfair labor practice complaints, parties involved in administrative revocation or suspension proceedings, individuals or employees requesting legal advice, and from the parties requesting disclosure of information.

Systems exempted from certain provisions of the act:

This system is exempt from 5 U.S. C. 552a (c)(3), (d)(2), (d)(2), (d)(3), (d)(4), (e)(1), (e)(4) (G), (H) and (I), and (f) of the Privacy Act pursuant to 5 U.S.C. 552a(k)(2).

Treasury/Customs .028

System name: Baggage Declaration—Treasury/Customs.

System location: Located at the District and Port Directors' offices in Northeast Region.

Categories of individuals covered by the system:

Persons required to make a written baggage declaration.

Categories of records in the system:

Name, address, items declared and value.

Authority for maintenance of the system:

5 U.S.C. 301; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in the records may be used:

(a) To disclose pertinent information to appropriate Federal, State, local, or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (b) To disclose information to a Federal, State, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit. (c) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (d) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains. (e) To provide information to the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings. (f) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

In file folders in file cabinet.

Retrievability:

By name.

Safeguards:

Available to authorized Customs personnel only.

Retention and disposal:

Free entry declarations are retained for three (3) years then destroyed. Dutiable declarations are retained for three years at the port, seven years at the Federal Record Center, and then destroyed.

System manager(s) and address:

District and Port Directors.

Notification procedure:

See Customs Appendix A.

Record access procedures:

See Customs Appendix A.

Contesting record procedures:

See Access, Customs Appendix A.

Record source categories:

The individual who files the baggage declaration.

Systems exempted from certain provisions of the act:

None.

Treasury/Customs .030

System name: Bankrupt Parties-in-Interest—Treasury/Customs.

System location:

U.S. Customs Service, Director, National Finance Center, P.O. Box 68907, Indianapolis, Indiana 46268

Categories of individuals covered by the system:

Individuals indebted to U.S. Customs.

Categories of records in the system:

Listed by name, address, port of service, bill number, and dollar amount of delinquent receivables.

Authority for maintenance of the system:

Pub. L. 89-508, the "Federal Claims Collection Act of 1966;" 5 U.S.C. 301; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in the records may be used:

(a) To disclose pertinent information to appropriate Federal, State, local, or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation.

(b) To disclose information to a Federal, State, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit.

(c) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings.

(d) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains.

(e) To provide information to the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings.

(f) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Cases are maintained in file folders at work site.

Retrievability:

Alphabetical order by name.

Safeguards:

These cases are placed in locked cabinets during non-working hours. The building is guarded by uniformed security police.

Retention and disposal:

As satisfaction is received, cases are closed. Records are maintained per Records Control Manual FIS-4 No. 124.

System manager(s) and address:

Director, Financial Management Division, 500 Dallas St., Suite 1265, Houston, TX 77002.

Notification procedure:

See Customs Appendix A.

Record access procedures:

See Customs Appendix A.

Contesting record procedures:

See Access, Customs Appendix A.

Record source categories:

The source of information is obtained from individuals, bankruptcy courts, Customhouse brokers, and sureties.

Systems exempted from certain provisions of the act: None.

Treasury/Customs .031

System name: Bills Issued Files—Treasury/Customs.

System location:

Director, U.S. Customs, National Finance Center, P.0. Box 68907.

Categories of individuals covered by the system:

Individuals to whom bills have been issued.

Categories of records in the system:

Correspondence received from or sent to individuals in relation to bills issued by the United States Customs Service.

Authority for maintenance of the system:

5 U.S.C. 301; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in the records may be used:

(a) To disclose pertinent information to appropriate Federal, State, local, or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (b) To disclose information to a Federal, State, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit. (c) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (d) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains. (e) To provide information to the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings. (f) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Individual alphabetical file folders in file cabinet.

Retrievability:

Access by name of individual.

Safeguards:

The file cabinet is maintained in the offices of the Regional Commissioner, North Central Region, Chicago, IL. During non-working hours the room/building in which the file is located is locked. Access is limited to authorized personnel.

Retention and disposal:

Correspondence is maintained for a period of three (3) years then destroyed.

System manager(s) and address:

Director, U.S. Customs, National Finance Center, P.0. Box 68907, Indianapolis, Indiana 46268.

Notification procedure:

See Customs Appendix A.

Record access procedures:

See Customs Appendix A.

Contesting record procedures:

See Access, Customs Appendix A.

Record source categories:

The information consists of copies of letters or memoranda issued to or received from individuals. Records of phone calls and copies of documents related to the individual's transaction.

Systems exempted from certain provisions of the act: None.

Treasury/Customs .032

System name: Biographical Files (Headquarters)—Treasury/Customs.

System location:

Public Information Division, U.S. Customs Service Headquarters, 1301 Constitution Avenue, NW., Washington, DC 20229, and the Regional Public Information offices located at the addresses listed in Customs Appendix A.

Categories of individuals covered by the system:

General biographical records are maintained on all Customs employees for news release and public information purposes.

Categories of records in the system:

General biographical information including home address, date and place of birth, educational background, work experience, honors and awards, hobbies, and other information.

Authority for maintenance of the system:

5 U.S.C. 301; Treasury Department order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in the records may be used: (a) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains. (b) To provide information to unions recognized as exclusive bargaining representatives under the Civil Service Reform Act of 1978, 5 U.S.C. 7111 and 7114.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Information is maintained in file cabinets in the Public Information Division at Customs Headquarters.

Retrievability:

File folders are identified by the name of the person and are filed in alphabetical order.

Safeguards:

The office in which the records are located is locked during non-working hours and the building is guarded by uniformed guards.

Retention and disposal:

Files are retained during the individual's tenure as an employee of the Customs Service, after which the files are destroyed.

System manager(s) and address:

Director, Public Information Division, U.S. Customs Service Headquarters, 1301 Constitution Avenue, NW., Washington, DC 20229.

Notification procedure:

See Customs Appendix A.

Record access procedures:

See Customs Appendix A.

Contesting record procedures:

See Access, Customs Appendix A.

Record source categories:

The individual involved, Customs personnel officers and co-workers.

Systems exempted from certain provisions of the act: one.

Treasury/Customs .037

System name: Cargo Security File—Treasury/Customs.

System location:

Special Agent in Charge, Room 210, 55 Erieview Plaza, Cleveland, OH 44114.

Categories of individuals covered by the system:

Longshoremen, Customs Bonded Warehouse employees, licensed Cartmen employees and other persons having access to cargo.

Categories of records in the system:

Names, place of employment, residence, criminal records, date of birth, Social Security numbers, photographs, descriptions and other identifying data.

Authority for maintenance of the system:

5 U.S.C. 301; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in the records may be used:

(a) To disclose pertinent information to appropriate Federal, State, local, or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (b) To disclose information to a Federal, State, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit. (c) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (d) To provide information to the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings. (e) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are maintained in loose-leaf binders and cross indexed index cards showing license numbers are kept in a metal box. They are kept in the communications room for rapid access.

Retrievability:

Names of companies and individuals can be retrieved by checking the loose-leaf binders kept in an alphabetical listing. License plate numbers are listed in numerical sequence on index cards.

Safeguards:

The records are kept in a room within the office which is locked when not in use. Keys are available only to employees, and are not accessible to persons other than employees. Employees having access to the room have received a security background investigation and clearance. The offices are located in buildings with guards, and admittance is controlled by sign-in, sign-out sheets after regular hours.

Retention and disposal:

Information remains in the system until no longer needed. The records are disposed of by shredding or burning.

System manager(s) and address:

Special Agent in Charge, Room 350, Patrick V. McNamara Building, 477 Michigan Avenue, Detroit, MI 48226; Special Agent in Charge, Room 210, 55 Erieview Plaza, Cleveland, OH 44114.

Systems exempted from certain provisions of the act: This system is exempt from 5 U.S.C. 552a (c)(3), (c)(4), (d)(1), (d)(2), (d)(3), (d)(4), (e)(1), (e)(2), (e)(3), (e)(4) (G), (H) and (I), (5) and (8), (f) and (g) of the Privacy Act pursuant to 5 U.S.C. 552a(j)(2) and (k)(2).

Treasury/Customs .040

System name: Carrier File—Treasury/Customs.

System location:

Located in the Office of the District Director, Terminal Island, San Pedro, CA; Office of the District Director, San Diego, CA; Offices of the Port Directors, Los Angeles International Airport, Los Angeles, CA; Room 130, U.S. Customhouse, Terrace and International Streets, Nogales, AZ, 85621; San Ysidro, CA; Tecate, CA; Calexico, CA; Andrade, CA; San Diego Barge Office; and the Offices of the Customs Patrol Division, San Diego, CA; San Ysidro, CA; Calexico, CA; Tecate, CA; see Customs Appendix A.

Categories of individuals covered by the system:

Officers or owners, employees, associates of Customs Bonded Carriers.

Categories of records in the system:

Name, date of birth, Social Security number, place of birth and other information relating to Officers, Associates, employees, etc., of Bonded Carriers.

Authority for maintenance of the system:

5 U.S.C. 301; Treasury Department Order No. 165, Revised, as amended, and the Customs Regulations.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in the records may be used:

(a) To disclose pertinent information to appropriate Federal, State, local, or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (b) To disclose information to a Federal, State, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit. (c) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (d) To provide information to the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings. (e) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Manila folder in file cabinet.

Retrievability:

Filed by name of company or individual.

Safeguards:

Building locked during non-working hours.

Retention and disposal:

Records retained until obsolete, then destroyed by burning.

System manager(s) and address:

District Director, Port Directors, and Division Directors within the San Diego Customs District; District Director, Terminal Island, San Pedro, CA, and Port Director, Los Angeles International Airport, Los Angeles District; District Director, U.S. Customhouse, Nogales, AZ 85621. (See Customs Appendix A.)

Notification procedure:

See Customs Appendix A.

Record access procedures:

See Customs Appendix A.

Contesting record procedures:

See Access, Customs Appendix A.

Record source categories:

Customs Bonded Carriers' employees and correspondence.

Systems exempted from certain provisions of the act: None.

Treasury/Customs .041

System name: Cartmen or Lightermen—Treasury/Customs.

System location:

Customs ports, districts, and regional offices. (See Customs Appendix A.)

Categories of individuals covered by the system:

Individuals and firms who have applied for or hold a license as a bonded cartman or lighterman and individuals employed by cartman or lightermen.

Categories of records in the system:

Internal Customs Service memoranda and related materials regarding applications for licenses and identification cards, reports of investigations for approving these licenses and identification cards and card files showing outstanding identification cards and their location. Files also include fingerprint cards.

Authority for maintenance of the system:

5 U.S.C. 301; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

(a) To disclose pertinent information to appropriate Federal, State, local, or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (b) To disclose information to a Federal, State, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit. (c) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (d) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

The information in this system is contained in a metal file cabinet in the office maintaining the system, or on magnetic disc.

Retrievability:

Each case file is identified in a manual alphabetical card file by the name of the licensed cartman or lighterman and in the alphabetical file folder by the name of the licensed cartman or lighterman. Each employee's record is filed in a manual alphabetical card file crossreferenced with company names.

Safeguards:

The file is placed in a metal file cabinet at the work site. At locations where work is not performed on a 24-hour basis the work area is locked and only authorized persons are permitted in the building.

Retention and disposal:

Files are reviewed at least once a year at which time cancelled I.D. cards may be removed. Closed CF 3078's may also be removed, but normally are held for approximately three years in case a new application is received from the same company or transferred to another company after a new investigation.

System manager(s) and address:

Port Directors, District Directors, and Regional Commissioners of the U.S. Customs Service. (See Customs Appendix A.)

Notification procedure:

See Customs Appendix A.

Systems exempted from certain provisions of the act:

This system is exempt from 5 U.S.C. 552a (c)(3), (d)(1), (d)(2), (d)(3), (d)(4), (e)(1), (e)(4) (G), (H) and (I), and (f) of the privacy Act pursuant to 5 U.S.C. 552a(k)(2).

Treasury/Customs .042

System name: Case and Complaint File—Treasury/Customs.

System location: Office of the Regional Counsel, U.S. Customs Service, North Central Region, 55 E. Monroe Street, Room 1417, Chicago, IL 60603.

Categories of individuals covered by the system:

Any individual initiating a court case or against whom a court case is brought; any individual involved in a personnel action, either initiating a grievance, discrimination complaint, or unfair labor practice complaint against the U.S. Customs Service or against whom a disciplinary or other adverse action is initiated; claimants or potential claimants under the Federal Tort Claim Act; individuals involved in accidents with U.S. Customs Service employees; U.S. Customs Service employees involved in accidents; persons seeking relief from fines, penalties and forfeitures and restoration of proceeds from the sale of seized and forfeited property; requesters under the Freedom of Information Act.

Categories of records in the system:

The system contains the individual's name, the type of case, the uniform filing guide number, the Regional Counsel's office file number, by whom the matter was referred, the district where the action originated, if applicable.

Authority for maintenance of the system:

5 U.S.C. 301; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: These records and information in the records may be used:

(a) To provide information to the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings.

(b) To provide information to unions recognized as exclusive bargaining representatives under the Civil Service Reform Act of 1978, 5 U.S.C. 7111 and 7114.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Each alphabetical card is inserted in a metal file drawer.

Retrievability:

Each card is identified alphabetically by the individual's name described in Category of Individual and the filing is alphabetically used by last name.

Safeguards:

The metal filing drawer containing the alphabetical cards described above is maintained within the area assigned to the Office of the Regional Counsel, North Central Region at 55 E. Monroe Street, Chicago, IL 60603. During non-working hours, the room in which the metal filing drawer is located is locked and access to the building is controlled at all times by uniformed guards with a check-in system for employees. Only employees of the Regional Counsel's office and authorized building personnel have keys to the building.

Retention and disposal:

These files are retained until there is no longer space available for them within the metal filing drawer at which time the oldest cards for closed files will be transferred to the storage area within the confines of the office. The storage area is a large area containing cardboard boxes and metal storage cabinets, unable to be locked.

System manager(s) and address:

Regional Counsel of Customs, Room 1417, United States Customs Service, 55 E. Monroe Street, Chicago, IL 60603.

Notification procedure:

See Customs Appendix A.

Record access procedures:

See Customs Appendix A.

Contesting record procedures:

See Access, Customs Appendix A.

Record source categories:

The information contained on these cards originates with the initiation of any action by an individual which is channeled through the Regional Counsel's office. Additional information is identifying information for locating the particular case file relating to the court case, personnel action, tort claim, relief petition, or request under the Freedom of Information Act.

Systems exempted from certain provisions of the act: None.

Treasury/Customs .043

System name: Case Files (Regional Counsel—South Central Region)—Treasury/Customs.

System location:

The system is located at 1440 Canal Street, New Orleans, LA 70112, Office of the Regional Counsel, South Central Region, United States Customs Service.

Categories of individuals covered by the system:

(1) The first category of individuals on whom records are maintained in the system includes employees who have filed adverse actions, equal employment opportunity complaints, and grievances within the South Central Region; employees who have filed tort claims under the Military Personnel and Civilian Employees Act; employees of the Regional Counsel's staff with regard to travel, training, evaluations, and other related personnel records; and applications for employment submitted to the Office of the Regional Counsel by prospective employees; (2) The second category of individuals on whom records are maintained in the system includes those individuals not employed by the agency who have filed equal employment opportunity complaints; tort claims under the Federal Tort Claims Act; tort claims filed under the Small Claims Act; individuals who have outstanding Customs bills submitted for collection; individuals, corporations, partnerships, and proprietorships who have filed supplemental petitions on fines, penalties, and forfeitures within the South Central Region; files relating to individuals, corporations, partnerships, and proprietorships upon whom criminal case reports are prepared pending litigation and prosecution for violation of 19 U.S.C. 1305, 18 U.S.C. 542, 18 U.S.C. 545, 18 U.S.C. 549, 18 U.S.C. 1001, 18 U.S.C. 496, and 18 U.S.C. 371; on individuals, corporations, partnerships, and proprietorships who have filed supplemental petitions submitted in civil and technical violations for 19 U.S.C. 1592, 19 U.S.C. 1453, 19 U.S.C. 1448, 19 U.S.C. 1584, irregular deliveries, shortages and overages; and miscellaneous civil and technical violations.

Categories of records in the system:

The categories of records maintained in the system are personnel actions; tort claims; collection efforts; supplemental petitions for fines, penalties, and forfeitures cases in the South Central Region; criminal case reports for pending litigation and prosecution of cases in the South Central Region; supplemental petitions for civil and technical violations committed within the South Central Region; and employment applications for positions in the Office of the Regional Counsel, South Central Region.

Authority for maintenance of the system:

5 U.S.C. 301; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in the records may be used: (a) To disclose pertinent information to appropriate Federal, State, local, or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (b) To disclose information to a Federal, State, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit. (c) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (d) To provide information to the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings. (e) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

The records are currently maintained in alphabetical file folders which are filed in two steel filing cabinets in the office of the Regional Counsel, South Central Region, and they are maintained under lock and key outside the ordinary business hours.

Retrievability:

Records maintained by the Office of the Regional Counsel, South Central Region, are retrievable by identifying the character of the record (i.e., adverse action, grievance, tort claim, criminal case), then by comparable statute or regulation, and then alphabetically by name and identifier. In addition, each case file is similarly identified on the alphabetical file folder within the steel filing cabinet.

Safeguards:

(a) The steel filing cabinets described above are maintained within the area assigned to the Office of the Regional Counsel, 1440 Canal Street, New Orleans, LA 70112. During non-working hours the room in which the locked steel cabinets are located is locked, and access to the building is controlled at all times by uniformed guards; (b) The policies and practices of the Office of the Regional Counsel regarding access controls are that only members of the staff of the Office of the Regional Counsel have access to the records maintained by the office.

Retention and disposal:

Individual records are placed into a file of closed cases by category as stated above, and within each category by name. The oldest closed cases are forwarded to the Federal Records Center in accordance with the Treasury Records Control Manual.

System manager(s) and address:

The agency official responsible for the system of records maintained by the Office of the Regional Counsel is the Regional Counsel, South Central Region, United States Customs Service, 1440 Canal Street, New Orleans, LA 70112.

Notification procedure:

See Appendix A.

Record source categories:

The categories of sources of records in this system are the individual himself and files compiled by the United States Customs Services by using employers, other government agency resources, financial institutions, educational institutions attended, and previous employers. Additional information in these files is also derived from reports of investigation regarding the enforcement of civil or criminal statutes, administrative proceedings regarding disciplinary action taken against Customs Service employees, equal opportunity complaints, investigations of tort claims, the processing of interoffice memoranda information requested under the Freedom of Information Act, and the investigation regarding the collection of debts due the Government.

Systems exempted from certain provisions of the act: This system is exempt from 5 U.S.C. 552a(c)(3), (d)(1), (d)(2), (d)(3), (d)(4), (e)(1), (e)(4)(G), (H) and (I), and (f) of the Privacy Act pursuant to 5 U.S.C. 552a (k)(2).

Treasury/Customs .044

System name: Certificates of Clearance—Treasury/Customs.

System location:

Financial Management Division, U.S. Customs Service, 100 Summer Street, Boston, MA 02110.

Categories of individuals covered by the system:

All employees of the Northeast Region, Boston, MA, who have transferred, retired or resigned.

Categories of records in the system:

Documented detailed information on an "in-house" prepared form indicating that the employee has returned all Government property in his personal possession and that the employee has cleared all debts owing to Customs such as unearned uniform allowances and travel advances.

Authority for maintenance of the system:

5 U.S.C. 301; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in the records may be used: (a) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains. (b) To provide information to unions recognized as exclusive bargaining representatives under the Civil Service Reform Act of 1978, 5 U.S.C. 7111 and 7114.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Data is stored in file folders by District and name of employee in a metal file cabinet in the work area of the Payment Section.

Retrievability:

The file is retrievable by District and name of employee.

Safeguards:

The file is located within an office that is locked during non-working hours. The building is guarded by uniformed security police and only authorized persons are permitted entry to the building.

Retention and disposal:

The files are kept for 10 years and then destroyed.

System manager(s) and address:

Director, Financial Management Division, U.S. Customs Service, 100 Summer Street, Boston, MA 02110.

Notification procedure:

See Customs Appendix A.

Record access procedures:

See Customs Appendix A.

Contesting record procedures:

See Access, Customs Appendix A.

Record source categories:

The information contained in the system originates at the District where the individual is employed.

Systems exempted from certain provisions of the act: None.

Treasury/Customs .045

System name: Claims Act File—Treasury/Customs.

System location:

Office of the Regional Counsel, Room 7422, New Federal Building, 300 N. Los Angeles Street, Los Angeles, CA 90053.

Categories of individuals covered by the system:

Current or former Customs employees who have filed, or may file claims under the Military Personnel and Civilian Employees' Claim Act of 1964 for damage to or loss of personal property incident to their service.

Categories of records in the system:

Documents relating to the administrative handling of the claim and documents submitted by the claimant in support of the claim.

Authority for maintenance of the system:

31 U.S.C. 240-243; 31 CFR part 4; Treasury Department Administrative Circular No. 131, August 19, 1965.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in the records may be used: (a) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains. (b) To provide information to unions recognized as exclusive bargaining representatives under the Civil Service Reform Act of 1978, 5 U.S.C. 7111 and 7114.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Each case file is inserted numerically in a file folder which is filed in an unlocked drawer within a metal container.

Retrievability:

Each case file is identified numerically in the file folder within the metal container by the name of the person who has filed or may file a claim.

Safeguards:

The metal container described above is maintained within the area assigned to the Office of the Regional Counsel within the New Federal Building. During non-working hours the room in which the metal container is located is locked, and access to the building is controlled at all times by uniformed guards.

Retention and disposal:

These files are retained indefinitely or until there is no longer any space available for them within the metal container, at which time the oldest closed files are transferred to the Federal Records Center.

System manager(s) and address:

Regional Counsel, Room 7422, New Federal Building, 300 N. Los Angeles Street, Los Angeles, CA 90053.

Notification procedure:

See Customs Appendix A.

Record access procedures:

See Customs Appendix A.

Contesting record procedures:

See Access, Customs Appendix A.

Record source categories:

The information contained in these files originates with a Treasury Department Form No. 3079, Civilian Employee Claim For Loss or Damage to Personal Property, which is completed and filed with the Customs Service by the claimant. Additional information contained in these files may be separately provided by the claimant or by the claimant's supervisor. Where a claim is not filed, the information is limited to the investigative reports of damage to or loss of personal property of a Customs employee.

Systems exempted from certain provisions of the act: None.

Treasury/Customs .046

System name: Claims Case File—Treasury/Customs.

System location:

Office of Regional Counsel of Customs, 10 Causeway Street, Boston, MA 02222; Office of the District Counsel of Customs, 55 Battery Street, San Francisco, CA 94126; Office of the Regional Counsel of Customs, Suite 550, 5850 San Felipe Street, Houston, TX 77057.

Categories of individuals covered by the system:

Parties who have filed claims for damage or injury against the Government, or against whom the Government has a claim for damage or injury in matters which affect or involve the U.S. Customs Service; private individuals or Government employees who are involved in the incident which gave rise to the claim.

Categories of records in the system:

Reports relative to the circumstances of the claim (including accident reports provided by Customs personnel, agents' investigative reports, correspondence between Customs and the claimant or his representative); reports relative to an individual's ability to pay a claim for damages.

Authority for maintenance of the system:

28 U.S.C. 2672 et seq.; 28 CFR Part 14; 31 CFR Part 3; 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in the records may be used: (a) To disclose pertinent information to appropriate Federal, State, local, or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (b) To disclose information to a Federal, State, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit. (c) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (d) To provide information to the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings. (e) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records maintained in file folders.

Retrievability:

Records indexed by name of individual making a claim or against whom a claim is made, cross-referenced file with name of Government employee, if any, involved.

Safeguards:

Open case files maintained in file cabinets with access by Regional Counsel and his staff only; closed case files maintained in locked cabinet with keys retained by Regional Counsel and staff only.

Retention and disposal:

Retained until there is no longer any space available within metal cabinets, at which time the oldest files are transferred to the Federal Records Center.

System manager(s) and address:

Regional Counsel of Customs, 10 Causeway Street, Boston, MA 02222; District Counsel of Customs, 55 Battery Street, San Francisco, CA 94120; Regional Counsel of Customs, Suite 550, 5850 San Felipe Street, Houston, TX 77057.

Notification procedure:

See Customs Appendix A.

Record source categories:

The information contained in these files is received from U.S. Customs employees, reports of investigation, credit checks, private individuals involved in the claims, other Government agencies and other individuals with pertinent information.

Systems exempted from certain provisions of the act: None.

This system is exempt from 5 U.S.C. 552a (c)(3), (d)(1), (d)(2),(d)(3), (d)(4), (e)(1), (e)(4) (G), (H) and (I), and (f) ofthe Privacy Act pursuant to 5 U.S.C. 552a (k)(2).

Treasury/Customs .049

System name: Claims (Receivable and Payable)—Treasury/Customs.

System location:

Financial Management Division, U.S. Customs Service, Northeast Region, 100 Summer Street,Boston, MA 02110.

Categories of individuals covered by the system:

Persons who have presented claims for payments by Customs or one involved in debts due Customs.

Categories of records in the system:

Documented detailed information concerning the claims or debts involved in each case and related financial data on individuals involved in the debt or claim.

Authority for maintenance of the system:

5 U.S.C. 301; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in the records may be used: (a) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains. (b) To provide information to unions recognized as exclusive bargaining representatives under the Civil Service Reform Act of 1978, 5 U.S.C. 7111 and 7114.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Data is stored in file folders maintained in a metal file cabinet under the physical security of the Chief, Accounting Branch of the Financial Management Division.

Retrievability:

The file is retrieved by the name of the individual on subject matter.

Safeguards:

The files are located within an office that is locked during non-working hours. The building is guarded by uniformed security police and only authorized persons are permitted entry to the building.

Retention and disposal:

The files on unusual cases are kept as long as needed or reference; routine cases are destroyed.

System manager(s) and address:

Director, Financial Management Division, U.S. Customs Service, 100 Summer Street, Boston, MA 02110.

Notification procedure:

See Customs Appendix A.

Record access procedures:

See Customs Appendix A.

Contesting record procedures:

See Access, Customs Appendix A.

Record source categories:

The information contained in the system is obtained from the Personnel Department and the Payroll Data Center.

Systems exempted from certain provisions of the act: None.

Treasury/Customs .050

System name:

Community Leader Survey—Treasury/Customs.

System location:

Equal Employment Opportunity Officer, U.S. Customs Service, Southwest Region, 500 Dallas Street, Suite 1240, Houston, TX 77002.

Categories of individuals covered by the system:

The names, titles, and organization of persons who may be construed to be occupying a community leadership role and who may be in a position to furnish information or have some influence in regard to the equal employment opportunity program area.

Categories of records in the system:

These records consist of a card index of the names, titles, and organization of community leaders.

Authority for maintenance of the system:

5 U.S.C. 301; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in the records may be used: (a) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains. (b) To provide information to unions recognized as exclusive bargaining representatives under the Civil Service Reform Act of 1978, 5 U.S.C. 7111 and 7114.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

An alphabetical card listing filed in a metal file cabinet.

Retrievability:

Listed and filed alphabetically.

Safeguards:

The metal file cabinet described above is maintained within the area assigned to the Equal Employment Opportunity Officer. During non-working hours this office area is locked and access to the building is controlled at all times by uniformed guards.

Retention and disposal:

To be useful, this informationfile must be kept current. Non-current files will bedestroyed locally.

System manager(s) and address:

Equal Employment Opportunity Officer, U.S. Customs Service, Southwest Region, 500 Dallas Street, Suite 1240, Houston, TX 77002.

Notification procedure:

See Customs Appendix A.

Record access procedures:

See Customs Appendix A.

Contesting record procedures:

See Access, Customs Appendix A.

Record source categories:

The information included in these files is developed from local agencies (city, county, state, and Federal) and from local civic organizations.

Systems exempted from certain provisions of the act:

None.

Treasury/Customs .051

System name:

Complaints Against Customs Personnel—Treasury/Customs.

System location:

Director, District Patrol Division, 600 South Street, New Orleans, LA 70130; Director, District Patrol Division, Room 213, International Trade Center, 250 N. Water Street, Mobile, AL 36602.

Categories of individuals covered by the system:

Present and past employees of the Patrol Division and U.S. Customs Service.

Categories of records in the system:

Letters and officialgovernment memoranda.

Authority for maintenance of the system:

5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in the records may be used: (a) To disclose pertinent information to appropriate Federal, State, local, or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (b) To disclose information to a Federal, State, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit. (c) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (d) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains. (e) To provide information to the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings. (f) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

The information in this system is contained in file folders and stored in locked metal cabinets.

Retrievability:

File folders for this system are filed according to Customs filing code system.

Safeguards:

File is maintained in locked, metal file cabinet, the keys of which are controlled by the custodian of the files. Those departmental officials who may occasionally be granted access consistent with their positions have been cleared by a full field background investigation and granted appropriate security clearance for critical sensitive positions. During non-working hours, the room housing the metal cabinets is locked.

Retention and disposal:

Complaints against Customs Personnel files are normally destroyed by shredding after one (1) year. If there are any pending complaints, the file may be kept until the case is closed.

System manager(s) and address:

Director, District Patrol Division, 600 South Street, New Orleans, LA 70130.

Notification procedure:

See Customs Appendix A.

Record access procedures:

See Customs Appendix A.

Contesting record procedures:

See Access, Customs Appendix A.

Record source categories:

The information in this system originates from any Federal, state or local law enforcement agencies or individuals, from any private business or individuals who may have any complaints against Customs personnel.

Systems exempted from certain provisions of the act:

None.

Treasury/Customs .053

System name:

Confidential Source Identification File—Treasury/Customs.

System location:

Components of this system are located in the Office of Enforcement, U.S. Customs Service Headquarters, and the Office of Internal Affairs, U.S. Customs Service Headquarters, 1301 Constitution Avenue, NW., Washington, DC 20229.

Categories of individuals covered by the system:

Individuals (sources) supplying confidential information to the U.S. Customs Service, Office of Enforcement and Office of Internal Affairs.

Categories of records in the system:

This system contains some or all of the following information: Name (actual or assumed), source (identifying) number, date number assigned, address, citizenship, occupational information, date and place of birth, physical description, photograph, miscellaneous identifying number such as Social Security number, driver's license number, FBI number, passport number, Customs Form 4621 documenting information received from confidential source, amount and date of monetary payment made to source for information supplied, criminal record, copy of driver's license, and copy of alien registration card.

Authority for maintenance of the system:

5 U.S.C. 301; Treasury Department Order No. 165, Revised, as amended; 19 U.S.C. 1619; and 18 U.S.C. Chapter 27.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Disclosures are not made outside the Department.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are kept in locked cabinets. Access during working hours is limited to authorized personnel.

Retrievability:

Office of Enforcement and Office of Internal Affairs—The name of each source is filed in both alphabetical order and by location of the submitting office.

Safeguards:

In addition to being stored in secure metal cabinets with government approved locks, the files are located in closely watched rooms of the Office of Enforcement and the Office of Internal Affairs. Personnel maintaining the files are selected for their reliability, among other qualities, and afforded access only after having been cleared by a full field investigation. During non-working hours the rooms in which the records are located are locked and access to the building is controlled by uniformed security guards.

Retention and disposal:

The Office of Enforcement destroysa file when it no longer has any utility by either shreddingor burning; the Office of Internal Affairs reviews filesannually for relevance and necessity, and when a file nolonger has any utility, it is destroyed either by shreddingor burning.

System manager(s) and address:

Assistant Commissioner, Office of Enforcement U.S. Customs Service Headquarters, 1301 Constitution Avenue, NW., Washington, DC 20229, for those components of the system maintained by the Office of Enforcement; Director, Office Internal Affairs (Security) U.S. Customs Service Headquarters, 1301 Constitution Avenue, NW., Washington, DC 20229, and for those components of the system maintained by the Office of Internal Affairs

Systems exempted from certain provisions of the act:

This system is exempt from 5 U.S.C. 552a (c)(3), (c)(4), (d)(1), (d)(2), (d)(3), (d)(4), (e)(1), (e)(2), (e)(3), (e)(4) (G), (H) and (I), (5) and (8), (f) and (g) of the Privacy Act pursuant to 5 U.S.C. 552a (j)(2) and (k)(2).

Treasury/Customs .054

System name:

Confidential Statements of Employment and Financial Interests—Treasury/Customs.

System location:

Located in the Office of Human Resources, U.S. Customs Service, 1301 Constitution Ave., NW., Washington, DC 20229

Categories of individuals covered by the system:

Those employees as listed in Treasury Personnel Manual Chapter 735 Subpart C, Section 0.735-320, and the currently effective edition of Customs Circular PER-2-PER (Subject: Personnel; Departmental Rules of Conduct and Requirements Concerning Financial Statement).

Categories of records in the system:

Form TD 3087, Confidential Statement of Employment and Financial Interests.

Authority for maintenance of the system:

5 U.S.C. 301; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in the records may be used: (a) To disclose pertinent information to appropriate Federal, State, local, or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (b) To disclose information to a Federal, State, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit. (c) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (d) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are maintained in file folders.

Retrievability:

Records are indexed by name.

Safeguards:

Records are maintained in locked safe.

Retention and disposal:

Records are destroyed two (2) years after employee leaves a position in which a statement is required, or two (2) years after the employee leaves the agency, whichever is earlier.

System manager(s) and address:

Director, Labor Employee Relations Division, Office of Human Resources, U.S. Customs Service, Washington, DC 20229,

Notification procedure:

Write to systems manager.

Record access procedures:

Write to systems manager.

Contesting record procedures:

Write to systems manager.

Record source categories:

Individuals required to submit Form TD 3087.

Systems exempted from certain provisions of the act:

None.

Treasury/Customs .056

System name:

Congressional and Public Correspondence File-Treasury/Customs.

System location:

Workforce Effectiveness and Development Staff, U.S. Customs Service, 1301 Constitution Avenue, NW., Washington, DC 20229.

Categories of individuals covered by the system:

Those persons sending letters of inquiry or complaint concerning-Customs activities and procedures.

Categories of records in the system:

Incoming correspondence, the agency's reply, and related materi- ls.

Authority for maintenance of the system:

5 U.S.C. 301; Treasury Department Order No. 165, Revised, as mended.

Routine uses of records maintained in the system, including catego- ies of users and the purposes of such uses:

These records and information in the records may be used: (a) To rovide information to a congressional office in response to an in- uiry made at the request of the individual to whom the record ertains. (b) To provide information to unions recognized as exclu- ive bargaining representatives under the Civil Service Reform Act f 1978, 5 U.S.C. 7111 and 7114.

Policies and practices for storing, retrieving, accessing, retaining, and isposing of records in the system:

Storage:

Correspondence records are maintained in file folders and on ards.

Retrievability:

Correspondence records are identified by the name of the person making inquiry or complaint. The cards are then filed alphabetically.

Safeguards:

Access to the records is granted only to authorized Customs personnel. During non-working hours the room in which the records are located is locked and access to the building is controlled by uniformed security police.

Retention and disposal:

The records are maintained from two to five years and then destroyed or retired to the Federal Records Center as appropriate.

System manager(s) and address:

Director, Workforce Effectiveness and Development Staff, U.S. Customs Service, 1301 Constitution Avenue, NW., Washington, DC 20229.

Notification procedure:

See Customs Appendix A.

Record access procedures:

See Customs Appendix A.

Contesting record procedures:

See Access, Customs Appendix A.

Record source categories:

Correspondence and related records and materials.

Systems exempted from certain provisions of the act:

None.

Treasury/Customs .057

System name:

Container Station Operator Files—Treasury/Customs.

System location:

Offices of District Directors, North Central Region, Chicago, IL (see Customs Appendix A).

Categories of individuals covered by the system:

Present and past container station operators and employees that require an investigation and related information.

Categories of records in the system:

Report of investigations, application and approval or denial of bond to act as container station operator and other Customs Service memoranda. Names, addresses, Social Security numbers, and dates and places of birth of persons employed.

Authority for maintenance of the system:

5 U.S.C. 301; Treasury Department Order No. 165, Revised, as amended; Customs Regulations, Part 19.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in the records may be used: (a) To disclose pertinent information to appropriate Federal, State, local, or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (b) To disclose information to a Federal, State, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit. (c) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (d) To provide information to the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings. (e) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are maintained in file folders and stored in file cabinets in each District Director's office within the North Central Region, Chicago, IL.

Retrievability:

Each file is identified by the name of the container station operator.

Safeguards:

The file cabinets are maintained within the area assigned to the District Director. During non-working hours, the room and/or building in which the file cabinet is located is locked.

Retention and disposal:

These files are disposed of in accordance with the Treasury Records Control Manual. Employee name data retained for period of employment with container station operator.

System manager(s) and address:

District Director, each district within the North Central Region, Chicago, IL. (See Customs Appendix A.)

Notification procedure:

See Customs Appendix A.

Record access procedures:

See Customs Appendix A.

Contesting record procedures:

See Access, Customs Appendix A.

Record source categories:

The information in this file originates from the individual applicant for container station operator bond, from reports of investigation and other Customs memoranda.

Systems exempted from certain provisions of the act:

This system is exempt from 5 U.S.C. 552a (c)(3), (d)(1), (d)(2), (d)(3), (d)(4), (e)(1), (e)(4) (G), (H) and (I), and (f) of the Privacy Act pursuant to 5 U.S.C. 552a (k)(2).

Treasury/Customs .058

System name:

Cooperating Individual Files—Treasury/Customs.

System location:

These files are located in regional and local Customs Office of Enforcement Offices within the United States. (See Customs' Appendix A.)

Categories of individuals covered by the system:

Persons providing confidential information to the U.S. Customs Service Office of Enforcement.

Categories of records in the system:

These records include: Assumed names; actual names; code numbers; addresses; telephone numbers; physical descriptions; miscellaneous identifying numbers such as Social Security numbers, driver's license number, etc., date individual's record was established; amount and date of reward paid for information supplied.

Authority for maintenance of the system:

5 U.S.C. 301; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Disclosures are not made outside the Department.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

All files and indices relating to cooperating individuals are stored in metal file cabinets secured with combination locks in a government secured building.

Retrievability:

The name of each cooperating individual is filed in alphabetical order by assumed name and by actual name. The indices are maintained in the same alphabetical order and are also cross-referenced by the Office of Enforcement alphanumeric code number. All other identifying data is used for verification of identity rather than method of retrieval.

Safeguards:

In addition to being stored in secure metal cabinets with government approved locks, the metal files are kept locked when not in use and located in a closely watched room of the Office of Enforcement. Personnel maintaining the files are selected for their reliability among other qualities, and they are afforded access only after having been cleared by a full field investigation. The files are given the same treatment as material classified as Secret. During duty hours, Office of Enforcement personnel maintain visual control and during off-duty hours the area containing the files is locked.

Retention and disposal:

Retention periods have been established for records contained in the file in accordance with the Treasury Records Control Manual. When a file no longer has any utility, it is destroyed either by shredding or burning.

System manager(s) and address:

The Assistant Regional Commissioner (Enforcement); the Special Agent in charge in region SAC Offices; and the Resident Agent in charge in suboffices of the Special Agent in charge. (See Customs Appendix A.)

Systems exempted from certain provisions of the act:

This system is exempt from 5 U.S.C. 552a(c)(3), (d)(1), (d)(2), (d)(3), (d)(4), (e)(1), (e)(4) (G), (H) and (I), and (f) of the Privacy Act pursuant to 5 U.S.C. 552a (k)(2).

Treasury/Customs .061

System name:

Court Case File—Treasury/Customs.

System location:

Office of the Regional Counsel, Room 7422, New Federal Building, 300 N. Los Angeles Street, Los Angeles, CA 90053; Office of the District Counsel, 555 Battery Street, San Francisco, CA 94126; Office of the Regional Counsel, U.S. Customs Service, North Central Region, 55 E. Monroe Street, Room 1417, Chicago, IL 60603; Office of the District Counsel, 909 First Avenue, Seattle, Washington 98174

Categories of individuals covered by the system:

Persons who are parties in litigation with the United States Government or subunits or employees or officers thereof, in matters which affect or involve the United States Customs Service.

Categories of records in the system:

Court documents with exhibits, reports of investigations, internal Customs Service memoranda summarizing or relating to the matter in controversy and other background information relating to the subject matter or origin of the litigation.

Authority for maintenance of the system:

28 U.S.C. 2676, 19 U.S.C. 1603, E.0. 6166. 5 U.S.C. 301; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in the records may be used: (a) To disclose pertinent information to appropriate Federal, State, local, or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (b) To disclose information to a Federal, State, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit. (c) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (d) To provide information to the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings. (e) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Each case file is inserted in a numerical file folder which is filed in an unlocked drawer within a metal container.

Retrievability:

Each case file is identified by the name of the person against whom the Government has initiated the litigation, or by the name of the person who initiated the litigation against the Government.

Safeguards:

The metal container described above is maintained within the area assigned to the Office of the Regional Counsel. During non-working hours the room in which the metal container is located is locked, and access to the building is controlled at all times by uniformed guards.

Retention and disposal:

These files are retained until there is no longer any space available for them within the metal container, at which time the oldest closed files are transferred to the Federal Records Center.

System manager(s) and address:

Regional Counsel, Room 7422, United States Customs Service, 300 N. Los Angeles Street, Los Angeles, CA 90053; District Counsel, U.S. Customs Service, 555 Battery Street, San Francisco, CA 94126; Regional Counsel, Room 1417, U.S. Customs Service, 55 E. Monroe Street, Chicago, IL 60603; District Counsel, U.S. Customs Service, 909 First Avenue, Seattle, Washington 98174.

Notification procedure:

See Customs Appendix A.

Record source categories:

The information contained in these files originates with a request by a District Director to the appropriate United States Attorney that he institutes suitable judicial action to enforce the forfeiture of merchandise and vehicles, or the value thereof, which had been imported or used in violation of the Customs laws, and upon which final administration action has taken place. Information in this file also originates with the filing of a complaint by a private person against the Government, and by the filing of a complaint by the Government against private persons or former employees to enforce the collection of debts due the Government. Information in the files is also derived from reports of investigation regarding the enforcement of civil or criminal statutes and denial of tort claims.

Systems exempted from certain provisions of the act:

This system is exempt from 5 U.S.C. 552a (c)(3), (d)(1), (d)(2), (d)(3), (d)(4), (e)(1), (e)(4) (G), (H) and (1), and (f) of the Privacy Act pursuant to 5 U.S.C. 552a(k)(2).

Treasury/Customs .064

System name: Credit Card File—Treasury/Customs.

System location:

Office of Logistics Management, U.S. Customs Service Headquarters, 1301 Constitution Avenue NW., Washington, DC 20229.

Categories of individuals covered by the system:

Headquarters Customs Service Employees to whom national gasoline credit cards have been issued.

Categories of records in the system:

Credit card numbers, names, and signatures of employees to whom credit cards have been issued, and the date of issuance.

Authority for maintenance of the system:

5 U.S.C. 301; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: These records and information in the records may be used: (a) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains. (b) To provide information to unions recognized as exclusive bargaining representatives under the Civil Service Reform Act of 1978, 5 U.S.C. 7111 and 7114.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Alphabetically by name or by credit card number.

Retrievability:

A portion of the index cards are identified by the name of the person to whom the credit card was issued in the case of credit cards which have been permanently assigned to higher level Customs Service officers and such index cards are filed alphabetically. The remainder of the index cards relate to credit cards which are issued to Customs Service officers or employees on a one-transaction basis, and these index cards are filed by the applicable credit card number.

Safeguards:

Index cards are maintained and stored in a secured room with limited accessibility. The building is guarded by uniformed security police, and only authorized persons are permitted in the building.

Retention and disposal:

Index cards filed alphabetically by name are filed during the period that the officials named thereon are in possession of the credit cards, and then these index cards are retained (for audit purposes) when the officials are no longer in possession of the credit cards. Index cards are filed by office titles and contain receipt signatures.

System manager(s) and address:

Director, Headquarters Services Division, Office of Logistics Management, U.S. Customs Service Headquarters, 1301 Constitution Avenue NW., Washington, DC 20229.

Notification procedure.

See Customs Appendix A.

Record access procedures:

See Customs Appendix A.

Contesting record procedures:

See Access, Customs Appendix A.

Record source categories:

The information in this system is obtained from Customs Service records and is also furnished by the officers or employees to whom the credit cards have been issued.

Systems exempted from certain provisions of the act: None.

Treasury/Customs .067

System name: Bank Secrecy Act Reports File—Treaury/Customs.

System location:

Computerized Records: U.S. Customs Service, 1301 Constitution Avenue NW., Washington, DC 20229; Treasury Enforcement Communications System, San Diego, CA, with computer terminal access in various Customs and IRS regional offices. Originals: 4790's—Customs ports of entry or departure; 4789's—Internal Revenue Service, Detroit, MI; 90.22-1's—Internal Revenue Service, Detroit, MI, 8362's—Internal Revenue Service, Detroit, MI.

Categories of individuals covered by the system:

Listing of individuals who filed Form 4790 (Currency and Monetary Instrument Report), Form 4789 (Currency Transaction Report), Form 90.22-1 (Foreign Banking Account Report), Form 8362 (Currency Transaction Report by CASINOS).

Categories of records in the system:

Name of individuals and other entities filing the above-referenced forms, reports of the owners of monetary instruments, the amounts and kinds of currency or other monetary instruments transported, reported, or in foreign banking accounts, accounts numbers, addresses, personal identifiers, dates of birth, etc.

Authority for maintenance of the system:

31 U.S.C. 5311 et seq; 31 CFR Part 103, 5 U.S.C. 301; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in the records may be used: (a) To disclose pertinent information to appropriate Federal, State, local, or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (b) To disclose information to a Federal, State, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit. (c) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (d) To provide information to the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings. (e) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Magnetic tapes (original 4790's are stored at the appropriate Customs port of entry or departure, original 4789's are stored by IRS in Detroit, MI, and original 90 22-1's are stored at Internal Revenue Service, Detroit, MI 8362's—Internal Revenue Service, Detroit, MI.

Retrievability:

By name and other unique identifiers.

Safeguards:

Procedural and physical safeguards are utilized such as accountability and receipt access, guards patrolling the area, restricted access and alarm protection systems, special communication security, etc.

Retention and disposal:

Indefinite.

System manager(s) and address:

Assistant Commissioner, Office of Enforcement, U.S. Customs Service, 1301 Constitution Avenue, NW., Washington, DC 20229.

Notification procedure:

This system of records may not be accessed for purposes of determining if the system contains a record pertaining to a particular individual. (See 5 U.S.C. 552a (e)(4)(G) and (f)(1).)

Record access procedures:

This system of records may not be accessed under the Privacy Act for the purpose of inspection.

Contesting record procedures:

Since this system of records may not be accessed for purposes of determining if the system contains a record pertaining to a particular individual and those records, if any, cannot be inspected, the system may not be accessed under the Privacy Act for the purpose of contesting the content of the record.

Record source categories:

This system contains investigatory material compiled for law enforcement purposes whose sources need not be reported.

Systems exempted from certain provisions of the act: This system is exempt from 5 U.S.C. 552a (c)(3), (c)(4), (d)(1), (d)(2), (d)(3), (d)(4), (e)(1), (e)(2), (e)(3), (e)(4) (G), (H) and (I), (5) and (8), (f) and (g) of the Privacy Act pursuant to 5 U.S.C. 552a (j)(2) and (k)(2).

Treasury/Customs .069

System name: Customhouse Brokers File—Treasury/Customs.

System location:

Office of the Chief Counsel, Entry, Licensing and Restricted Merchandise Branch, Entry Procedures and Penalties Division; U.S. Customs Service Headquarters, 1301 Constitution Avenue, NW., Washington, DC 20229, and Customs regional, district and port offices.

Categories of individuals covered by the system:

Licensed customhouse brokers, employees of customhouse brokers, individuals or firms who have applied for a broker's license.

Categories of records in the system:

Internal Customs Service memoranda and related material regarding proposed administrative disciplinary action against customhouse brokers for violation of the regulations governing the conduct of their business; broker applications and related material; notification of change of business address, organization, name, or location of business records; status reports; requests for written approval to employ persons who have been convicted of a felony.

Authority for maintenance of the system:

19 U.S.C. 1641; 19 CFR Part 111; 5 U.S.C. 301; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in the records may be uses: (a) To disclose pertinent information to appropriate Federal, State, local, or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (b) To disclose information to a Federal, State, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit. (c) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (d) To provide information to the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings. (e) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Each case file is inserted in an alphabetical file folder which is filed in drawers that are capable of being locked and are locked at the close of business. Some records are in a separate room which is locked at other than official hours. File cards covering individual customhouse brokers, corporations, partnerships and trade names are in files not capable of being locked, but the entire area is locked at night.

Retrievability:

Each case file is identified in a manual alphabetical card file by the name of the customhouse broker and in the alphabetical file folder within the metal container by the name of the customhouse broker.

Safeguards:

The files described above are maintained in Customs Service Buildings. During non-working hours the room in which the files are located is locked, and access to the building is controlled at all times by uniformed guards.

Retention and disposal:

Customhouse broker files are retained until there is no longer any space available for them within the metal container, at which time the oldest files are transferred to the Federal Record Center.

System manager(s) and address:

Chief Counsel; Director, Entry Procedures and Penalties Divisions, U.S. Customs Service Headquarters, 1301 Constitution Avenue, NW., Washington, DC 20229, Customs regional commissioners, district directors, and port directors.

Notification procedure:

See Customs Appendix A.

Record source categories:

The information contained in these files originates from audits of or investigations into the conduct of customhouse brokers' businesses, applications for licenses, references as to character, court records, and local credit reporting services, as well as reports, notifications, and other applications filed by brokers pursuant to statutory and regulatory requirements.

Systems exempted from certain provisions of the act:

This system is exempt from 5 U.S.C. 552a (c)(3), (d)(1), (d)(2), (d)(3), (d)(4), (e)(1), (e)(4)(G), (H) and (I), and (f) of the Privacy Act pursuant to 5 U.S.C. 552a (k)(2).

Treasury/Customs .077

System name: Disciplinary Action, Grievance and Appeal Case Files—Treasury/Customs.

System location:

Located in the Office of Human Resources, Customs Headquarters, and in each Regional, Port, and appropriate post of duty offices.

Categories of individuals covered by the system:

Customs employees on whom disciplinary action is pending or has occurred, and employees who have filed grievances and appeals.

Categories of records in the system:

Records on such action as leave restriction letters, reprimands, suspensions, adverse actions, etc., and grievance and appeals by employees. Copies of correspondence, management requests for assistance, evidentiary materials on which action is contemplated, proposed or taken, regulatory material, examiners' reports, etc.

Authority for maintenance of the system:

5 U.S.C. 301; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: These records and information in the records may be used: (a) To disclose pertinent information to appropriate Federal, State, local, or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (b) To disclose information to a Federal, State, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit. (c) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (d) To provide information to the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings. (e) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are stored in manila folders.

Retrievability:

Records are indexed by name.

Safeguards:

Records are maintained in a locked file.

Retention and disposal:

Records are maintained for five years and then transferred to Federal Records Center where they are maintained for fifteen years and then destroyed.

System manager(s) and address:

Director, Labor, Employee Relations Division, Office of Human Resources, Customs Headquarters, or appropriate managerial official in employee's district, port, or post of duty.

Notification procedure:

Write to system manager.

Record access procedures:

Request from system manager.

Contesting record procedures:

Write to the system manager.

Record source categories:

Supervisors and supervisory records and notes; evidentiary materials supporting planned, proposed, or accomplished actions; grievance letters submitted by employee, grievance examiner, etc.

Systems exempted from certain provisions of the act: This system is exempt from 5 U.S.C. 552a(c)(3), (d)(1), (d)(2), (d)(3), (d)(4), (e) (1), (e)(4) (G), (H) and (I), and (f) of the Privacy Act pursuant to 5 U.S.C. 552a (k)(2).

Treasury/Customs .078

System name: Disclosure of Information File—Treasury/Customs.

System location:

Office of Regional Counsel, Room 125, U.S. Customhouse, 40 South Gay Street, Baltimore, MD 21202; Office of the Regional Counsel, U.S. Customs Service, North Central Region, 55 E. Monroe Street, Room 1417, Chicago, IL 60603; Office of the Regional Counsel, 211 Main Street, San Francisco, CA 94105.

Categories of individuals covered by the system:

Persons requesting access to information pursuant to the Freedom of Information Act or any other statute, regulation, directive or policy to disclose such information.

Categories of records in the system:

Requests, information, records, documents, internal Customs Service memoranda, or memoranda from other agencies and related materials regarding disclosure of the information.

Authority for maintenance of the system:

5 U.S.C 552, 31 CFR Part 1, 19 CFR Part 103, 5 U.S.C. 301; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in the records may be used: (a) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Each case file is inserted in file folder which is filed in an unlocked drawer within a metal container.

Retrievability:

Each case file is identified in the file folder within the metal container by the name of the person requesting disclosure.

Safeguards:

The metal container described above is maintained within the area assigned to the Office of the Regional Counsel within the Customhouse. During non-working hours the room in which the metal container is located is locked, and access to the building is controlled at all times by uniformed guards.

Retention and disposal:

Customhouse broker files are retained until there is no longer any space available for them within the metal container, at which time the oldest files are transferred to the Federal Records Center.

System manager(s) and address:

Regional Counsel, Room 125, U.S. Customhouse, 40 South Gay Street, Baltimore, MD 21202; Regional Counsel, Room 1417, U.S. Customs Service, 55 E. Monroe Street, Chicago, IL 60603; Regional Counsel, 222 Main Street, San Francisco, CA 94105.

Notification procedure:

See Customs Appendix A.

Record source categories:

The information contained in these files originates from the requests for information filed with the Customs Service which may pertain to any information contained in the files of the U.S. Customs Service.

Systems exempted from certain provisions of the act: This system is exempt from 5 U.S.C. 552a (c)(3), (d)(1), (d)(2), (d)(3), (d)(4), (e)(1), (e)(4) (G), (H) and (I), and (f) of the Privacy Act pursuant to 5 U.S.C. 552a (k)(2).

Treasury/Customs 00.081

System name: Dock Passes—Treasury/Customs.

System location:

District Director's office, U.S. Customs Service, 228 Federal Building, 335 Merchant Street, Honolulu, HI 96813.

Categories of individuals covered by the system:

Consulate staff members, brokers, private individuals, etc.

Categories of records in the system:

Form lists following information: Pass number; port; date of issue; name of individual; organizational affiliation; expiration date of pass; and vessel name.

Authority for maintenance of the system:

5 U.S.C. 301; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in the records may be used: (a) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

3 x 5 card box loose leaf binder.

Retrievability:

By name.

Safeguards:

Building locked during non-working hours.

Retention and disposal:

Retained until expiration.

System manager(s) and address:

District Director, U.S. Customs Service, 228 Federal Building, 335 Merchant Street, Honolulu, HI 96806.

Notification procedure:

See Customs Appendix A.

Record access procedures:

See Customs Appendix A.

Contesting record procedures:

See Access, Customs Appendix A.

Record source categories:

Individual applicants.

Systems exempted from certain provisions of the act: None.

Treasury Customs .083

System name: Employee Relations Case Files—Treasury/Customs.

System location:

Office of Human Resources, U.S. Customs Service, Washington, DC 20229.

Categories of individuals covered by the system:

Records maintained on the benefit aspects of employment such as, workers' and unemployment compensation, leave, health and life insurance, retirement, suggestions, awards, etc. and employees who have requested assistance with these programs.

Categories of records in the system:

Copies of initiating correspondence and Customs correspondence and any forms submitted by or completed on behalf of the employee.

Authority for maintenance of the system:

5 U.S.C. 301; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in the records may be used:

(a) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains. (b) To provide information to unions recognized as exclusive bargaining representatives under the Civil Service Reform Act of 1978, 5 U.S.C. 7111 and 7114.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are maintained in file folders.

Retrievability:

Records are indexed by name.

Safeguards:

Records are maintained in a locked file.

Retention and disposal:

Maintained for period of time employee remains with Customs. Records destroyed upon separation of employee.

System manager(s) and address:

Director, Labor Employee Relations Division, Office of Human Resources, U.S. Customs Service, Washington, DC 20229.

Notification procedure:

Write to systems manager—providing your name and social security account number.

Record access procedures:

Write to systems manager.

Contesting record procedures:

Write to systems manager.

Record source categories:

Individuals and offices depending on the problem.

Systems exempted from certain provisions of the act: None.

Treasury/Customs .092

System name: Exit Interview—Treasury/Customs.

System location:

Personnel Management Division, in each Region and Headquarters. (See Customs Appendix A.)

Categories of individuals covered by the system:

Employees terminating from the Customs Service.

Categories of records in the system:

Individual's name, position, time in grade and position, time with Customs, organization designation, supervisor's name and answers to various questions about employment with Customs.

Authority for maintenance of the system:

5 U.S.C. 301; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in the records may be used: (a) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains. (b) To provide information to unions recognized as exclusive bargaining representatives under the Civil Service Reform Act of 1978, 5 U.S.C. 7111 and 7114.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Forms are kept in manila folders.

Retrievability:

By organization or by name.

Safeguards:

Locked office.

Retention and disposal:

Retained in accordance with the requirements of the Treasury Records Control Manual.

System manager(s) and address:

Director, Personnel Management Division. (See location above.)

Notification procedure:

See Customs Appendix A.

Record access procedures:

See Customs Appendix A.

Contesting record procedures:

See Access, Customs Appendix A.

Record source categories:

Information obtained from departing employee and employee's supervisor.

Systems exempted from certain provisions of the Act:

None.

Treasury/Customs .093

System name: Federal & New York State Licenses for Commercial Importation of Alcoholic Beverages—Treasury/Customs.

System location:

Area Director, New York Seaport Area, 6 World Trade Center, New York, NY 10048.

Categories of individuals covered by the system:

All companies and individuals who have filed import licenses for alcoholic beverages with this office.

Categories of records in the system:

Licenses.

Authority for maintenance of the system:

5 U.S.C. 301; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in the records may be used: (a) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File cabinets.

Retrievability:

Alphabetical listing.

Safeguards:

Office locked at end of day.

Retention and disposal:

Retained in accordance with the requirements of the Treasury Records Control Manual.

System manager(s) and address:

Regional Commissioner (Area Director, New York Seaport Area).

Notification procedure:

See Customs Appendix A.

Record access procedures:

See Customs Appendix A.

Contesting record procedures:

See Access, Customs Appendix A.

Record source categories:

Individuals who have applied for an alcoholic beverage license.

Systems exempted from certain provisions of the act: None.

Treasury/Customs .096

System name: Fines, Penalties and Forfeiture Control and Information Retrieval System—Treasury/Customs.

System location:

U.S. Customs Service, Office of Regulations and Rulings, 1301 Constitution Avenue, NW., Washington, DC 20229.

Categories of individuals covered by the system:

Individuals and/or businesses who have been fined, penalized or have forfeited merchandise because of violations of Customs and/or related laws or breaches of bond conditions.

Categories of records in the system:

Individual and business names, address, personal identifying numbers, date and type of violation, parties entitled to legal notice or who are legally liable, case information, bond and petition information, and actions (administrative) taken by U.S. Customs. Also included are actions taken by violator prior to the disposition of the penalty or liquidated damage case.

Authority for maintenance of the system:

5 U.S.C. 301; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in the records may be used:

(a) To disclose pertinent information to appropriate Federal, State, local, or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (b) To disclose information to a Federal, State, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit. (c) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (d) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

(1) Magnetic disc and tape, (2) Hard copy Customs Form 5955a (Notice of Liquidated Damages Incurred and Demand for payment) and Customs Form 151 Search/Arrest/Seizure Report

Retrievability:

Individual's name or case number.

Safeguards:

All inquiries are made by officers with a full field background investigation on a "need to know" basis only. Procedural and physical safeguards are utilized such as accountability and receipt records, guards patrolling the area, restricted access and alarm protection systems, special communications security, etc.

Retention and disposal:

A maximum of 10 years. Erasure of disc/tapes and shredding and/or burning of hard copy Customs Form 5955a.

System manager(s) and address:

Director, Office of Regulations and Rulings, U.S. Customs Service, 1301 Constitution Avenue, NW., Washington, DC 20229.

Notification procedure:

See Customs Appendix A.

Record access procedures:

See Customs Appendix A.

Contesting record procedures:

See access, Customs Appendix A.

Record source categories:

Customs Form 5955a (Notice of Penalty or Liquidated Damages Incurred and Demand for Payment) and CF 151 (Search/Arrest/Seizure Report) prepared by Customs Employees at the time and place where the violation has occurred.

Systems exempted from certain provisions of the act:

None.

Treasury/Customs .098

System name: Fines, Penalties and Forfeitures Records—Treasury/Customs.

System location:

Customs district offices. (See Customs Appendix A.)

Categories of individuals covered by the system:

Individuals and firms who have been administratively charged with violations of Customs laws and regulations and other laws and regulations enforced by the Customs Service.

Categories of records in the system:

Entry documentation, notices, investigative reports, memoranda, petitions, recommendations, referrals and dispositions of fines, penalties and forfeiture cases.

Authority for maintenance of the system:

5 U.S.C. 301; Treasury Department Order No. 165, Revised, as amended. 19 U.S.C. 66, 1618, 1624; 19 CFR Parts 171 and 172.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in the records may be used:

(a) To disclose pertinent information to appropriate Federal, State, local, or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (b) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, or in response to a subpoena, in connection with criminal law proceedings. (c) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

The records are maintained in folders in file cabinets and safes.

Retrievability:

The records are filed either by the name of the individual or chronologically with a cross reference index by the name of the individual.

Safeguards:

During non-working hours, the records are maintained in locked rooms, locked buildings and buildings guarded by uniform guards.

Retention and disposal:

The records are retained for three to five years after which they are either destroyed or forwarded to the Federal Records Center.

System manager(s) and address:

District Directors of Customs (See Customs Appendix A.)

Notification procedure:

See Customs Appendix A.

Record source categories:

Information and representations supplied by importers, brokers and other agents pursuant to the entry and processing of merchandise or in the clearing of individuals or baggage through Customs. Information also includes information gathered pursuant to Customs investigations of suspected of actual violations of Customs and related laws and regulations and recommendations and information supplied by other agencies.

Systems exempted from certain provisions of the act: This system is exempt from 5 U.S.C. 552a (c)(3), (d)(1), (d)(2), (d)(3), (d)(4), (e)(1), (e)(4) (G), (H) and (I), and (f) of the Privacy Act pursuant to 5 U.S.C. 552a(k)(2).

Treasury/Customs .099

System name:

Fines, Penalties, and Forfeiture Files (Supplemental Petitions)—Treasury/Customs.

System location:

Office of the District Counsel, 555 Battery Street, San Francisco, CA 94126; Office of Counsel, Room 7422, New Federal Building, 300 North Los Angeles Street, Los Angeles, CA, 90053; Office of the Regional Counsel, U.S. Customs Service, North Central Region, 55 E. Monroe Street, Room 1417, Chicago, IL 60603; Office of the District Counsel, 909 First Avenue, Seattle, Washington 98174.

Categories of individuals covered by the system:

Individuals who have filed supplemental petitions for relief from fines, penalties and forfeitures assessed for violations of the laws and regulations administered by Customs.

Categories of records in the system:

Petitions and supplemental petitions and other documents filed by the individual; reports of investigation concerning the fine, penalty or forfeiture; and documents relating to the internal review and consideration of the request for relief and decision thereon.

Authority for maintenance of the system:

5 U.S.C. 301; Treasury Department Order No. 165, Revised, as amended; Reorganization Plan No. 1 of 1965. 19 U.S.C. 1618; 19 CFR Parts 171 and 172.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in the records may be used: (a) To disclose to the Department of Justice or an individual United States Attorney to assist that Department or United States Attorney when suit is filed by the Government in civil prosecution of the fine, penalty or forfeiture; (b) To disclose pertinent information to appropriate Federal, State, local, or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (c) To disclose information to a Federal, State, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit. (d) To disclose information to a court, magistrate, or administrative tribunal in the course or presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (e) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Each case file is inserted in a numerical file folder which is filed in an unlocked drawer within a metal file cabinet.

Retrievability:

Each case file is identified in a manual alphabetical card file by the name of the petitioner and in the numerical file folder within the metal file cabinet by the name of the petitioner.

Safeguards:

The metal file cabinet described above is maintained within the area assigned to the Office of the Regional Counsel within the Federal Building. During non-working hours the room in which the metal file cabinet is located is locked, and access to the building is controlled at all times by uniformed guards.

Retention and disposal:

Supplemental petition files are retained until there is no longer any space available for them within the metal file cabinet, at which time the oldest files may be transferred to the Federal Records Center.

System manager(s) and address:

District Counsel, 555 Battery Street, San Francisco, CA 94126; Regional Counsel, Room 7422, U.S. Customs Service, 300 N. Los Angeles Street, Los Angeles, CA 90053; Regional Counsel, Room 1417, U.S. Customs Service, 55 East Monroe Street, Chicago, IL 60603; District Counsel, 909 First Avenue, Seattle, Washington 98174.

Notification procedure:

See Customs Appendix A.

Record source categories:

Information contained in these files is obtained from the individual petitioning for relief and from the District Director of Customs within whose jurisdiction the fine, penalty or forfeiture action lies.

Systems exempted from certain provisions of the act: This system is exempt from 5 U.S.C. 552a (c)(3), (d)(1), (d)(2), (d)(3), (d)(4), (e)(I), (e)(4) (G), (H) and (I), and (f) of the Privacy Act pursuant to 5 U.S.C. 552a(k)(2).

Treasury/Customs .100

System name:

Fines, Penalties and Forfeiture Records (Headquarters)—Treasury/Customs.

System location:

Penalties Branch, Entry Procedures and Penalties Division, U.S. Customs Service Headquarters, 1301 Constitution Avenue, NW., Washington, DC 20229.

Categories of individuals covered by the system:

Records are maintained on persons who have been administratively charged with violating Customs and related laws and regulations and on persons who have applied for awards of compensation for providing information regarding such violations.

Categories of records in the system:

Entry documentation, notices, investigative and other reports, memoranda of information received, petitions, recommendations, referrals and dispositions of fines, penalties and forfeiture cases and applications for awards of compensation.

Authority for maintenance of the system:

5 U.S.C. 301; Treasury Department Order No. 165, Revised, as amended; 19 U.S.C. 66, 1618, 1624; 19 CFR Parts 171 and 172.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in the records may be used:

(a) To disclose pertinent information to appropriate Federal, State, local, or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (b) To disclose information to a Federal, State, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit. (c) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (d) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

The records are kept in file cabinets in the central file room of the Entry Procedures and Penalties Division at U.S. Customs Service Headquarters.

Retrievability:

The records are filed chronologically with a case number given to each file. The records are retrievable by means of an alphabetical card index system by names of individuals charged with a violation.

Safeguards:

The records are maintained in the U.S. Customs Service Headquarters building which is guarded by security police. During non-working hours, the central file room is locked and the building is guarded by security police.

Retention and disposal:

The records are generally retained for five years after closing of the case. The records are then forwarded to the Federal Records Center.

System manager(s) and address:

Chief, Penalties Branch, Entry Procedures and Penalties Division, U.S. Customs Service Headquarters, 1301 Constitution Avenue, NW., Washington, DC 20229.

Notification procedure:

See Customs Appendix A.

Record source categories:

Information and representations supplied by importers, brokers and other agents pursuant to the entry and processing of merchandise or in the clearing of individuals or baggage through Customs. Information also includes information gathered pursuant to Customs investigations of suspected or actual violations of Customs and related laws and regulations and recommendations and information supplied by other agencies.

Systems exempted from certain provisions of the act: This system is exempt from 5 U.S.C. 552a (c)(3), (d)(1), (d)(2), (d)(3), (d)(4), (e)(I), (e)(4) (G), (H) and (I), and (f) of the Privacy Act pursuant to 5 U.S.C. 552a(k)(2).

Treasury/Customs .105

System name: Former Employees—Treasury/Customs.

System location:

Laboratory Division, Room 1508, 630 Sansome Street, San Francisco, CA 94111.

Categories of individuals covered by the system:

All past employees of the Customs Laboratory.

Categories of records in the system:

Contains copies of personnel action notices.

Authority for maintenance of the system:

5 U.S.C. 301; Treasury Department No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in the records may by used:

(a) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains. (b) To provide information to unions recognized as exclusive bargaining representatives under the Civil Service Reform Act of 1978, 5 U.S.C. 7111 and 7114.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are maintained in file folders and stored in a metal file cabinet.

Retrievability:

The record is filed alphabetically by name.

Safeguards:

The file is stored in a metal file cabinet in a private inner office of a government building protected by 24-hour guard service with limited access. The file is only used on a "need to know" basis and only by the laboratory employees.

Retention and disposal:

Retained in accordance with the Treasury Records Control Manual.

System manager(s) and address:

Director, Laboratory Division, U.S. Customs Service, 630 Sansome Street, Room 1508, San Francisco, CA 94111.

Notification procedure:

See Customs Appendix A.

Record access procedures:

See Customs Appendix A.

Contesting record procedures:

See Access, Customs Appendix A.

Record source categories:

Information contained in personnel action files.

Systems exempted from certain provisions of the act: None.

Treasury/Customs .109

System name:

Handicapped Employee File—Treasury/Customs.

System location:

Personnel Management Division, Regional Commissioner of Customs, 55 East Monroe Street, Suite 1501, Chicago, IL 60603.

Categories of individuals covered by the system:

All employees identified as handicapped.

Categories of records in the system:

Indicates employee's home and organizational location and various physical and mental handicaps, infirmities and conditions. Also shows veteran's preference.

Authority for maintenance of the system:

5 U.S.C. 301; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in the records may be used: (a) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains. (b) To provide information to unions recognized as exclusive bargaining representatives under the Civil Service Reform Act of 1978, 5 U.S.C. 7111 and 7114.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

List.

Retrievability:

Lists employees alphabetically by district.

Safeguards:

None at present and none required.

Retention and disposal:

Employee's name removed from list at time of termination.

System manager(s) and address:

Director, Personnel Management Division. (See Customs Appendix A.)

Notification procedure:

See Customs Appendix A.

Record access procedures:

See Customs Appendix A.

Contesting record procedures:

See Access, Customs Appendix A.

Record source categories:

Data furnished by employee and employee's physician.

Systems exempted from certain provisions of the act:

None.

Treasury/Customs .112

System name:

Immediate Delivery Violation Record—Treasury/Customs.

System location:

Fines, Penalties and Forfeiture Section, Room 102, United States Customhouse, 2nd and Chestnut Streets, Philadelphia, PA 19106.

Categories of individuals covered by the system:

Persons qualified to obtain release of imported merchandise under the immediate delivery privilege.

Categories of records in the system:

The record reveals the individuals' or Customhouse broker's name, case number assigned and date, amount of penalty incurred, mitigated sum or remission and date closed. The record results in a summary of repetitive violations by any one individual, firm, or Customhouse broker and disciplinary action toward reduction or elimination of violations.

Authority for maintenance of the system:

5 U.S.C. 301: Treasury Department order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in the records may be used: (a) To disclose pertinent information to appropriate Federal, State, local, or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (b) To disclose information to a Federal, State, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit. (c) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (d) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains. (e) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Immediate Delivery Record Cards are filed alphabetically in an unlocked metal file cabinet.

Retrievability:

Each record card is filed alphabetically within the metal cabinet.

Safeguards:

The metal cabinet described above is maintained within the area assigned to the Fine, Penalties and Forfeiture Section in Room 102 of the Customhouse, Philadelphia, PA; during non-working hours, access to the building and area of storage is controlled by uniformed guards.

Retention and disposal:

Immediate Delivery Record cards are retained at location three (3) years; then destroyed.

System manager(s) and address:

District Director of Customs, Room 102, U.S. Customhouse, 2nd and Chestnut Streets, Philadelphia, PA 19106.

Notification procedure:

See Customs Appendix A.

Record access procedures:

See Customs Appendix A.

Contesting record procedures:

See Access, Customs Appendix A.

Record source categories:

The information contained on these cards originates from liquidated damage cases instituted for failure to timely file entries and pay duty.

Systems exempted from certain provisions of the act:

None.

Treasury/Customs .122

System name:

Information Received File/Treasury/Customs.

System location:

District Division, Room 200, United States Customhouse, La Marina, Old San Juan, PR 00901; Office of the Special Agent In Charge, 423 Canal St., New Orleans, LA 70130; Office of the District Director, 880 Front Street, San Diego, CA 92318; Offices of the Port Directors, San Ysidro, CA., Tecate, CA., Calexico, CA., Andrade, CA; San Diego Barge Office, Offices of the Special Agent In Charge, San Diego, CA., San Ysidro, CA., Calexico, CA., Tecate, CA; Los Angeles Region. Office of the District Director, 423 Canal St., New Orleans, LA 70130; Special Agent In Charge, Room 213, International Trade Center, 250 N. Water Street, Mobile, AL 36602; U.S. Customs Air Branch, Bld 240 PM–TUM, Homestead Air Force Base, Homestead, FL 23039; Intelligence Support Staff (Pacific Region), Room 7514, 300 N. Los Angeles Street, Los Angeles, CA 90053; Special Agent In Charge, 300 Ferry Street, Terminal Island, San Pedro, CA 90731; Resident Agent in Charge, Office of Enforcement, P.O.Box 1385, Nogales, AZ 85621; Special Agent In Charge, Room 7N–FB–05, 301 W. Congress, Tucson, AZ 85701.

Categories of individuals covered by the system:

Persons in whom Customs and/or other government agencies are interested from a law-enforcement and/or security point of view.

Categories of records in the system:

Name, alias, date of birth or age, personal data, addresses, home and business telephone number, occupation, background information, associations, license number and registration number of vehicle, vessel and/or aircraft, etc.

Authority for maintenance of the system:

5 U.S.C. 301; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in the records may be used: (a) To disclose pertinent information to appropriate Federal, State, local, or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (b) To disclose information to a Federal, State, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit. (c) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (d) To provide information to the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings. (e) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Files are kept in a locked metal cabinet.

Retrievability:

Records are filed within a metal file.

Safeguards:

The files are located within an office that is locked during non-working hours. The building is guarded by a central alarm system which is monitored by local law enforcement agencies, and only authorized persons are permitted in the building.

Retention and disposal:

Files are retained for a period of three (3) years after which they are destroyed.

System manager(s) and address:

Director, Special Agent In Charge, United States Custom Service, Room 200, La Marina, Old San Juan, PR 00901; Special Agent In Charge, 423 Canal St., New Orleans, LA 70130; Chief, Air Branch, U.S. Customs Service, Bld 240, PM–TUM, Homestead Air Force Base, Homestead, FL 33039; Director, Regional Agent In Charge, 423 Canal St., New Orleans, LA 70130; District Director, Port Directors, and Division Directors within the San Diego Customs District: Intelligence Support Staff (Pacific Region), Room 7514, 300 N. Los Angeles Street, Los Angeles, CA 90053; Special Agent In Charge, 300 Ferry Street, Terminal Island, San Pedro, CA 90731; Resident Agent in Charge of Enforcement, P.O. Box 1385, Nogales, AZ 85621; Special Agent in Charge, Room 7N–FB–05, 301 W. Congress, Tucson, AZ 85701 (see Customs Appendix A).

Systems exempted from certain provisions of the act:

This system is exempt from 5 U.S.C. 552a(c)(3), (d)(1), (d)(2), (d)(3), (d)(4), (e)(1), (e)(4) (G), (H) and (I), and (f) of the Privacy Act pursuant to 5 U.S.C. 552a (k)(2).

Treasury/Customs .123

System name:

Injury Notice—Treasury/Customs.

System location:

Each Logistics Management Division in each regional Headquarter Office (see Customs Appendix A for addresses) and all offices of the District Director, North Central Region, Chicago, IL.

Categories of individuals covered by the system:

Individuals who sustain an injury in performance of duty as an employee of U.S. Customs.

Categories of records in the system:

Name, date of birth, home address, organization, place of injury, date and hour of injury, dependants, occupation, cause of injury, nature of injury, statement of witness, supervisor's report of injury.

Authority for maintenance of the system:

Sections 19 and 24 of the Occupational Safety and Health Act of 1970; 84 Statute 1609, 1614, 29 U.S.C. 668, 673 and the provisions of Executive Order 11807.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in the records may be used: (a) To disclose to the Department of Labor for that agency's official use. (b) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains. (c) To provide information to unions recognized as exclusive bargaining representatives under the Civil Service Reform Act of 1978, 5 U.S.C. 7111 and 7114.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

The information in this system is contained on CA forms. The CA forms are filed in a loose leaf, alphabetical binder and placed in a metal file container.

Retrievability:

Each CA form is identified by the name of the injured employee and filed alphabetically in a binder.

Safeguards:

The binder is placed within a metal file container located within an office that is locked during non-working hours. The building is guarded by uniformed security personnel and only authorized persons are permitted in the building.

Retention and disposal:

Notice of injury reports are maintained in the employee's OPF and disposed of in accordance with the Treasury Records Control Manual. Copies maintained by the systems manager are maintained at location for two years and then destroyed.

System manager(s) and address:

Each Director, Logistics Management Division, in each Customs Regional Headquarters (see Appendix A for address), each District Safety Officer, North Central Region, Chicago, IL (see Customs Appendix A for addresses of District Directors).

Notification procedure:

See Customs Appendix A.

Record access procedures:

See Customs Appendix A.

Contesting record procedures:

See Access, Customs Appendix A.

Record source categories:

The information in this system originates with and consists solely of information supplied by the injured employee, his supervisor, appropriate witness and attending physician on CA forms.

Systems exempted from certain provisions of the act:

None.

Treasury/Customs .125

System name:

Intelligence Log—Treasury/Customs.

System location:

U.S. Customs Air Branch, Bld 240 PM-TUM, Homestead Air Force Base, Homestead, FL 33030.

Categories of individuals covered by the system:

Persons who are believed to be involved in activities which constitute, or may develop into, possible violation of Customs and related laws.

Categories of records in the system:

Internal Customs Service memoranda and related materials regarding the activities of individuals, vessels, or aircraft believed to be involved in acts which are contrary to Customs and related laws.

Authority for maintenance of the system:

5 U.S.C. 301; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in the records may be used: (a) To disclose pertinent information to appropriate Federal, State, local, or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (b) To disclose information to a Federal, State, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit. (c) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (d) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

The intelligence log is maintained within a security area.

Retrievability:

A manual, master card index, is maintained for the entire system. This index includes name and/or numerical identifier.

Safeguards:

The information files and master card index are located within an office which is locked during non-working hours. The building is guarded by U.S. Air Force Military Police and only authorized persons are permitted in the building.

Retention and disposal:

These files are retained until such time that it has been determined that there is no longer a need for their existence, at which time the oldest files are destroyed under Customs supervision.

System manager(s) and address:

Chief, Air Branch, U.S. Customs, PM-TUM Bld 240, Homestead Air Force Base, Homestead, FL 33039.

Systems exempted from certain provisions of the act:

This system is exempt from 5 U.S.C. 552a (c)(3), (d)(I), (d)(2), (d)(3), (d)(4), (e)(1), (e)(4) (G), (H) and (I), and (f) of the Privacy Act pursuant to 5 U.S.C. 552a (k)(2).

Treasury/Customs .127

System name:

Internal Security Records System Treasury/Customs.

System location:

Office of Internal Affairs (Security), U.S. Customs Service Headquarters, 1301 Constitution Avenue, NW., Washington, DC 20229; Tort Claim Investigation Files, Information relating to investigations, and index card files at each Office of Internal Affairs. (See Customs Appendix A.)

Categories of individuals covered by the system:

Present and past employees, applicants for positions that require an investigation, and others that are principals or others in an investigation, or integrity issue.

Categories of records in the system:

Security clearance records; background, tort claim, integrity investigation and related information and other Customs related investigations including individuals involved in accidents under investigation.

Authority for maintenance of the system:

5 U.S.C. 301; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in the records may be used: (a) To disclose pertinent information to appropriate Federal, State, local, or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (b) To disclose information to a Federal, State, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit. (c) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (d) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains. (e) To provide information to the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings. (f) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Investigative records are maintained on microfiche and in file folders and stored in metal security cabinets secured by government approved three-position, combination locks. Security clearance records are stored on magnetic tape with a manual back-up system.

Retrievability:

A manual, master card index is maintained for the entire system. This index includes name and/or numerical identifier.

Safeguards:

In addition to being stored in secure metal containers with government approved, combination locks, the metal containers are located in locked rooms, the keys of which are controlled and issued to the custodians of the files. The security specialists and administrative personnel who maintain the files are selected for their experience and afforded access only after having been cleared by a full-field background investigation and granted appropriate security clearances for critical sensitive positions. Those departmental officials who may occasionally be granted access consistent with their positions to employ and concur in the granting of security clearances have also been investigated prior to filling critical-sensitive positions.

Retention and disposal:

With exception of tort claim investigations, the file records are maintained as long as the subject of the investigation is employed by the U.S. Customs Service and for one (1) year after the subject terminates employment. The files are then transferred to the Federal Records Center. Tort Claim investigations are retained for five (5) years after the close of the investigation and then destroyed. Once files are transferred, they are retained for the following periods of time by the Federal Records Center and then destroyed: Background investigations—25 years, Conduct and special inquiry investigations—15 years, & Equal Employment Opportunity investigations—10 years.

System manager(s) and address:

Director, Office of Internal Affairs (Security), U.S. Customs Service Headquarters, 1301 Constitution Avenue NW., Washington, DC 20229.

Record source categories:

Sources of information are:

Employers; educational institutions; police; government agencies; credit bureaus; references; neighborhood checks; confidential sources; medical sources; personal interviews; military, financial, citizenship, birth and tax records; and the applicants or employee's personal history and application forms.

Systems exempted from certain provisions of the act:

This system is exempt from 5 U.S.C. 552a (c)(3), (c)(4), (d)(1), (d)(2), (d)(3), (d)(4), (e)(1), (e)(2), (e)(3), (e)(4) (G), (H) and (I), (5) and (8), (f) and (g) of the Privacy Act pursuant to 5 U.S.C. 552a (j)(2), (k)(2) and (k)(5).

Treasury/Customs .129

System name:

Investigations Record System—Treasury/Customs.

System location:

All Office of Enforcement offices located within each Customs Service Region in the United States and within each Office of Enforcement office located in a foreign country. (See Customs Appendix A.)

Categories of individuals covered by the system:

Records are maintained on individuals who may bear some necessary relevance to investigations conducted within the scope of authority of the Office of Enforcement, United States Customs Service. The categories include but are not limited to: (1) Known violators of U.S. Customs laws. (2) Convicted violators of U.S. Customs and/or drug laws in the U.S. and foreign countries. (3) Fugitives with outstanding warrants, Federal or State. (4) Suspect violators of U.S. Customs or other related laws. (5) Victims of violations of the U.S. Customs or related laws.

Categories of records in the system:

The subject records may contain any identifying or other relevant information on subject individuals which might relate to the following categories of investigations: Smuggling, Diamonds & Jewelry; Smuggling, Liquor; Smuggling, Narcotics; Smuggling, All Other; Prohibited Importations; Navigation, Airplane and Vehicle Violations; Neutrality Violations; Illegal Exports. Baggage Declaration Violations; Customhouse Brokers and Customs Attorneys; Applications for Licenses; Theft, Loss, Damage and Shortage; Irregular Deliveries; All Other Criminal Cases; Currency Violations. Organized Crime; Personnel Derelictions; Other Departments, Bureaus and Agencies; Federal Tort claims; Personnel Background Investigations. Undervaluation and False Invoicing; Petitions for Relief; Drawback; Marking of Merchandise; Customs Bonds; Customs Procedures; Collections of Duties and Penalties; Trademarks and Copyrights; Foreign Repairs to Vessels and Aircraft. Classification; Market Value; Dumping; Countervailing Duties.

Authority for maintenance of the system:

5 U.S.C. 301; Treasury Department Order No. 165, Revised, as amended; 19 U.S.C. 2072; Title 19, United States Code; Title 18, United States Code.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in the records may be used: (a) To disclose pertinent information to appropriate Federal, State, local, or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (b) To disclose information to a Federal, State, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit. (c) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (d) To provide information to the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings. (e) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are maintained in both hard copy files and on microfiche which are placed in locked metal containers.

Retrievability:

The record system is indexed on 3 x 5 file cards by the individual's name and/or identification number and by the investigative case numbers to which the information relates. The hard copy and microfiche records are retrieved by means of the investigative case numbers.

Safeguards:

All records are held in steel cabinets and are maintained according to the requirements of the United States Customs Records Manual and the United States Customs Security Manual. Access is limited by visual controls and/or a lock system. During normal working hours, files are either attended by responsible Office of Enforcement employees or the file area is restricted. The office in which the records are located is locked during non-working hours and the building is patrolled by uniformed security guards.

Retention and disposal:

The index cards, the hard copies and microfiche records are retained in accordance with standard Customs Service record retention and disposal procedures.

System manager(s) and address:

Assistant Commissioner, Office of Enforcement, U.S. Customs Service Headquarters, 1301 Constitution Avenue, NW., Washington, DC 20229.

Systems exempted from certain provisions of the act: This system is exempt from 5 U.S.C. 552a (c)(3), (c)(4), (d)(1), (d)(2), (d)(3), (d)(4), (e)(1), (e)(2), (e)(3), (e)(4) (G), (H) and (I), (5) and (8), (f) and (g) of the Privacy Act pursuant to 5 U.S.C. 552a (j)(2) and (k)(2).

Treasury/Customs .133

System name:

Justice Department Case File—Treasury/Customs.

System location:

Office of the Regional Counsel, Northeast Region, 10 Causeway Street, Boston, MA 02222; Office of the Chief Counsel, U.S. Customs Service Headquarters, 1301 Constitution Ave., NW., Washington, DC 20229.

Categories of individuals covered by the system:

Persons who are parties in litigation with the United States Government or subunits or employees or officers thereof, in matters which affect or involve the United States Customs Service.

Categories of records in the system:

Litigation report requests and responses thereto, reports of investigations, internal Customs Service memoranda summarizing or relating to the matter in controversy and other background information relating to the subject matter or origin of the litigation.

Authority for maintenance of the system:

28 U.S.C., 507; 19 U.S.C. 1603; E.0. 6166; 5 U.S.C. 301; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in the records may be used:

(a) To disclose to the Department of Justice or directly to United States Attorneys upon request to assist in representing the interests of the Government, the agency or officer or employee involved in the litigation, or to other agencies involved in the same or similar litigation. (b) To disclose pertinent information to appropriate Federal, State, local, or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (c) To disclose information to a Federal, State, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit. (d) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (e) To provide information to the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings. (f) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Each case file is inserted in file folder which is filed in an unlocked drawer within a metal container.

Retrievability:

Each case file is identified in the file folder within the metal container.

Safeguards:

The metal container described above is maintained within the area assigned to the Office of the Counsel. During non-working hours the room in which the metal container is located is locked.

Retention and disposal:

The files are retained until there is no longer any space available for them within the metal container, at which time the oldest files are transferred to the Federal Records Center.

System manager(s) and address:

Regional Counsel, Northeast Region, 10 Causeway Street, Boston, MA 02222; Chief Counsel, U.S. Customs Service Headquarters, 1301 Constitution Avenue, NW., Washington, DC 20229.

Notification procedure:

See Customs Appendix A.

Record source categories:

The information contained in these files originates with the request from an appropriate customs official, the Department of Justice or directly from a United States Attorney or other Government agency or officer which results in a communication regarding the particular case. Information in this file is also derived from reports of investigation regarding the enforcement of civil or criminal statutes or regulations, administrative proceedings or any matter affecting or involving the United States Customs Service or its officers or employees.

Systems exempted from certain provisions of the act:

This system is exempt from 5 U.S.C. 552a (c)(3), (d)(1), (d)(2), (d)(3), (d)(4), (e)(1), (e)(4) (G), (H) and (I), and (f) of the Privacy Act pursuant to 5 U.S.C. 552a(k)(2).

Treasury/Customs .136

System name:

Liquidated Damage Cases; Prior Violators—Treasury/Customs.

System location:

Office of the District Director, Fines and Penalties Office, U.S. Customs Service, 2 India Street, Boston, MA 02109, and Office of the District Director, Fines and Penalties Office, U.S. Customs Service, P.O. Box 1490, St. Albans, VT 05478.

Categories of individuals covered by the system:

Prior violators of Customs Laws: e.g. Customhouse brokers, individual TIB violators, liquidated damage cases only.

Categories of records in the system:

Name, address, Social Security number, type of violation and frequency of past violations.

Authority for maintenance of the system:

5 U.S.C. 301; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in the records may be used: (a) To disclose pertinent information to appropriate Federal, State, local, or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (b) To disclose information to a Federal, State, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit. (c) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Stored on 3 x 5 index cards and in file folders.

Retrievability:

Alphabetically; by name.

Safeguards:

In locked file cabinet when not in use.

Retention and disposal:

Boston District files are kept for two years and then destroyed on site. St. Albans District files are kept for five (5) years and then destroyed.

System manager(s) and address:

Fines and Penalties Officer, U.S. Customhouse, Boston, MA 02109. Fines and Penalties Officer, Post Office and Customhouse Building, St. Albans, VT 05478.

Notification procedure:

See Customs Appendix A.

Record access procedures:

See Customs Appendix A.

Contesting record procedures:

See Access, Customs Appendix A.

Record source categories:

Information is received from the individual at the time the violation occurs and from penalty notices which are issued in the Penalties section. Also, the Office of Investigations provides any information developed during its investigation.

Systems exempted from certain provisions of the act:

None.

Treasury/Customs .137

System name:

List of Vessel Agents Employees—Treasury/ Customs.

System location:

Offices of District Directors, North Central Region, Chicago, IL (see Customs Appendix A).

Categories of individuals covered by the system:

Persons employed by Vessel agents.

Categories of records in the system:

Names, addresses, Social Security numbers, and dates and places of birth of persons employed.

Authority for maintenance of the system:

5 U.S.C. 301; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in the records may be used: (a) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Open file.

Retrievability:

Alphabetical listing of employees by vessel agent name.

Safeguards:

The file described is maintained in the Offices of the District Directors in North Central Region, Chicago, IL. During non-working hours the room/building in which the file is located is locked. Access limited to authorized Customs personnel.

Retention and disposal:

Employee name retained for period of employment with vessel agent agency.

System manager(s) and address:

District Director, as appropriate, in North Central Region, Chicago, IL (see Location above).

Notification procedure:

See Customs Appendix A.

Record access procedures:

See Customs Appendix A.

Contesting record procedures:

See Access, Customs Appendix A.

Record source categories:

Submission of data by importing carrier or his agent.

Systems exempted from certain provisions of the act:

None.

Treasury/Customs .138

System name:

Litigation Issue Files—Treasury/Customs.

System location:

Office of Assistant Chief Counsel, Customs Court Litigation, Second Floor, 26 Federal Plaza, New York, NY 10007.

Categories of individuals covered by the system:

Parties in litigation before the United States Customs Court (or subunits or employees or officers thereof), and other individuals with knowledge of the issues in controversy, e.g., trade witnesses, foreign or domestic manufacturers, etc.

Categories of records in the system:

Litigation report requests and responses thereto, reports of investigations, internal Customs Service memoranda summarizing or relating to the matter in controversy and other background information relating to the subject matter or origin of the litigation.

Authority for maintenance of the system:

19 U.S.C. 1514–1516; 5 U.S.C. 301; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in the records may be used: (a) To disclose to the Department of Justice upon request to assist that Department in representing the interests of the Government, or agency involved in the litigation. (b) To disclose pertinent information to appropriate Federal, State, local, or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (c) To disclose information to a Federal, State, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit. (d) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (e) To provide information to the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings. (f) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Each issue file is inserted in a numerical file folder (according to issue) which is filed in an unlocked drawer within a metal container.

Retrievability:

Each issue filed is cross-indexed in the following card files: (a) By name of party—plaintiff; (b) by issue; and, (c) by titles of decided cases.

Safeguards:

The metal container described above is maintained within the area assigned to the Office of the Assistant Chief Counsel within the Federal Building. At all times the room in which the metal container is located is locked, and access to the building is controlled at all times by uniformed guards.

Retention and disposal:

These files are retained until there is no longer any space available for them within the metal container, at which time the oldest files are transferred to the Federal Records Center.

System manager(s) and address:

Assistant Chief Counsel, Customs Court Litigation, Second Floor, 26 Federal Plaza, New York, NY 10007.

Notification procedure:

See Customs Appendix A.

Record source categories:

The information contained in these files originates with the receipt of protest reports (based on information supplied by the subject individuals or by their authorized agents or attorneys) from the various Districts and/or litigation report requests from the Department of Justice which result in a written report to that Department regarding the facts of the particular case.

Systems exempted from certain provisions of the Act:

This system is exempt from 5 U.S.C. 552a (c)(3), (d)(1), (d)(2), (d)(3), (d)(4), (e)(1), (e)(4), (G), (H) and (I), and (f) of the Privacy Act pursuant to 5 U.S.C. 552a(k)(2).

Treasury/Customs .144

System name:

Mail Protest File—Treasury/Customs.

System location:

Foreign Mail Branch, 2200 NW., 72 Avenue, Miami, FL 33166; District Director of Customs: 3180 Bladensburg Rd., NE., Washington, DC 20018; 620 East 10th Avenue, Anchorage, AK 99501; 215 1st Avenue North, Great Falls, MT 59401; 335 Merchant, Honolulu, HI 96813; 511 NW., Broadway, Portland, OR 97209; 555 Battery Street, San Francisco, CA 94126; 909 First Avenue, Seattle, WA 98714.

Categories of individuals covered by the system:

Individuals who have filed formal protest of the amount of duty assessed against mail parcels.

Categories of records in the system:

Letters, invoices, and other pertinent documents pertaining to protests.

Authority for maintenance of the system:

5 U.S.C. 301; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in the records may be used: To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are kept in file folders within a metal file cabinet.

Retrievability:

Records are retrievable by name or protest number.

Safeguards:

Access is limited to appropriate personnel and the office is locked during non-working hours.

Retention and disposal:

Records are maintained and disposed of in accordance with the Treasury Records Control Manual.

System manager(s) and address:

District Director of Customs: 77 S.E. 5th Street, Miami, FL 33131; 3180 Bladensburg Road, NE., Washington, DC 20018; 620 East 10th Avenue, Anchorage, AK 99501; 215 1st Avenue North, Great Falls, MT 59401; 335 Merchant, Honolulu, HI 96813; 511 N.W. Broadway, Portland, OR 97209; 555 Battery Street, San Francisco, CA 94126; 909 First Avenue, Seattle, WA 98714.

Notification procedure:

See Customs Appendix A.

Record access procedures:

See Customs Appendix A.

Contesting record procedures:

See Access, Customs Appendix A.

Record source categories:

Source information is from the sender, the addressee, the Customs value records, and the manufacturer of the item.

Systems exempted from certain provisions of the act:

None.

Treasury/Customs .148

System name:

Military Personnel and Civilian Employees' Claims Act File—Treasury/Customs.

System location:

Office of the Chief Counsel, U.S. Customs Service Headquarters, 1301 Constitution Avenue NW., Washington, DC 20229; Office of the Regional Counsel, Room 125, U.S. Customhouse, 40 S. Gay Street, Baltimore, MD 21202; Regional Counsel, U.S. Customs Service, 6 World Trade Center, New York, NY 10048.

Categories of individuals covered by the system:

Persons filing claims under the Military Personnel and Civilian Employees' Claims Act of 1964.

Categories of records in the system:

Documents relating to the administrative handling of the claim and documents submitted by the claimant in support of the claim.

Authority for maintenance of the system:

31 U.S.C. 240–243; 31 CFR Part 4; Treasury Department Administrative Circular No. 131, August 19, 1965; 5 U.S.C. 301; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in the records may be used: (a) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Each case file is inserted alphabetically in a file folder which is filed in an unlocked drawer within a metal container.

Retrievability:

Each case file is identified in a manual alphabetical card file by the name of the person who filed the claim and alphabetically in the file folder within the metal container by the name of the person who filed the claim.

Safeguards:

The metal container described above is maintained within the Customs Service Building. During non-working hours the room in which the metal container is located is locked, and access to the building is controlled at all times by uniformed guards.

Retention and disposal:

These files are retained until there is no longer any space available for them within the metal container, at which time the oldest files are transferred to the Federal Records Center.

System manager(s) and address:

Chief Counsel, U.S. Customs Service Headquarters, 1301 Constitution Avenue NW., Washington, DC 20229; Regional Counsel, U.S. Customhouse, 40 S. Gay Street, Baltimore, MD 21202; Regional Counsel, U.S. Customs Service, 6 World Trade Center, New York, NY 10048.

Notification procedure:

See Customs Appendix A.

Record access procedures:

See Customs Appendix A.

Contesting record procedures:

See Access, Customs Appendix A.

Record source categories:

The information contained in these files originates with the Treasury Department Form No. 3079, Civilian Employee Claim For Loss or Damage to Personal Property, which is completed and filed with the Customs Service by the claimant. Additional information contained in these files may be separately provided by the claimant or by the claimant's supervisor.

Systems exempted from certain provisions of the act:

None.

Treasury/Customs .151

System name:

Motor Vehicle Accident Reports--Treasury/Customs.

System location:

Each Logistics Management Division, in each Customs Regional Headquarters (see Customs Appendix A).

Categories of individuals covered by the system:

U.S. Customs Employee involved in an automobile accident while on official duty.

Categories of records in the system:

Name, Social Security number, home address, telephone number, age, title, date of accident, place of accident, make, year, license number of vehicles, description of accident, information on driver of other vehicle.

Authority for maintenance of the system:

5 U.S.C. 301; Treasury Administrative Circular No. 131, dated August 19, 1965, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in the records may be used: (a) To disclose pertinent information to appropriate Federal, State, local, or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (b) To disclose information to a Federal, State, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit. (c) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations or in connection with criminal law proceedings. (d) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains. (e) To provide information to the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings. (f) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Each case file is inserted in an alphabetical file folder which is filed in an unlocked drawer in a metal file cabinet.

Retrievability:

Each case file is identified in a file folder identified by the name of the Customs employee involved in the automobile accident.

Safeguards:

The metal file cabinet described above is maintained within the area assigned to the Regional Safety Coordinator within the office of the Regional Commissioner of Customs. Access to the building during non-working hours is controlled.

Retention and disposal:

Files are maintained at location for two years and then transferred to the Federal Records Center where they are retained for four years.

System manager(s) and address:

Each Director, Logistics Management Division in each Regional Headquarters (see Customs Appendix A for addresses).

Notification procedure:

See Customs Appendix A.

Record access procedures:

See Customs Appendix A.

Contesting record procedures:

See Access, Customs Appendix A.

Record source categories:

The information in these files originates from the employee involved in the automobile accidents, police report and report of investigation conducted by the Office of Internal Affairs.

Systems exempted from certain provisions of the act:

None.

Treasury/Customs .152

System name:

Motor Vehicle Operator's Identification Card—Treasury/Customs.

System location:

District Director, 600 South Street, New Orleans, LA 70130; District Director, P.O. Box 2748, Mobile, AL 36601; Regional Commissioner, 1440 Canal Street, New Orleans, LA 70112.

Categories of individuals covered by the system:

All Customs employees in the South Central Region whose official duties require the use and operation of an agency-owned vehicle or a government-owned vehicle leased from General Service Motor Vehicle Pool.

Categories of records in the system:

Records on file contain the following information: Name, address, place and date of birth, statement of physical fitness, results of examination on driving capability, summary of past driving record, record of summonses, arrests, and accidents during past five years, record of safe driving awards.

Authority for maintenance of the system:

5 U.S.C. 301; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in the records may be used: (a) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains. (b) To provide information to unions recognized as exclusive bargaining representatives under the Civil Service Reform Act of 1978, 5 U.S.C. 7111 and 7114.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

On SF-47 and Treasury Department Form 2770 in appropriate file.

Retrievability:

By name.

Safeguards:

Unlocked file cabinet in locked office.

Retention and disposal:

Forms are maintained for the period in which the individual is employed in the Customs Service, or until revoked. Upon separation or revocation, forms are removed from active file and placed in an inactive file for a period of three years, after which time the cards are disposed of as provided in GSA's General Records Schedule.

System manager(s) and address:

District Director, 600 South Street, New Orleans, LA 70130; District Director, P.O. Box 2748, Mobile, AL 36601; District, Logistics Management Division, 1440 Canal Street, New Orleans, LA 70112.

Notification procedure:

See Customs Appendix A.

Record access procedures:

See Customs Appendix A.

Contesting record procedures:

See Access, Customs Appendix A.

Record source categories:

All information contained on SF-47 and TD Form 2770 is obtained directly from employee.

Systems exempted from certain provisions of the act:

None.

Treasury/Customs .156

System name:

Narcotics Violator File-Treasury/Customs.

System location:

Fines, Penalties and Forfeitures Office, District Director of Customs, Room 603, U.S. Federal Building, 111 West Huron Street, Buffalo, NY 14202.

Categories of individuals covered by the system:

Persons who have been found in possession of any controlled substance within the Buffalo District.

Categories of records in the system:

Alphabetized cross reference of violators names and the associated case numbers assigned to these individuals.

Authority for maintenance of the system:

5 U.S.C. 301; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in the records may be used: (a) To disclose pertinent information to appropriate Federal, State, local, or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (b) To disclose information to a Federal, State, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit. (c) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena or in connection with criminal law proceedings. (d) To provide information to the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's function relating to civil and criminal proceedings. (e) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Open card file (3 x 5) is kept in metal flip file.

Retrievability:

Narcotic violator case files are cross- referenced by a 3 x 5 alphabetized card which contains both name and case number.

Safeguards:

Open card file is kept in the Fines, Penalties and Forfeitures Office which is locked after working hours. During working hours, a staff person is always in the office. The building is under 24 hour guard.

Retention and disposal:

File system has a purge date of two years after which cross reference cards are destroyed and case numbered file is no longer accessible by name of the individual.

System manager(s) and address:

District Director, United States Customs Service, Room 603, 111 West Huron Street, Buffalo, NY 14202.

Notification procedure:

See Customs Appendix A.

Record access procedures:

See Customs Appendix A.

Contesting record procedures:

See Access, Customs Appendix A.

Record source categories:

The information in these files is obtained from Search/Arrest and Seizure Reports transmitted to the Fines, Penalties and Forfeitures Office by ports and stations within the District.

Systems exempted from certain provisions of the act:

None.

Treasury/Customs .159

System name:

Notification of Personnel Management Division when an employee is placed under investigation by the Office of Internal Affairs—Treasury/Customs.

System location:

Personnel Management Division, 500 Dallas Street, Houston, TX 77002.

Categories of individuals covered by the system:

Customs employees who are suspected of misconduct.

Categories of records in the system:

A written or telephonic notification made by the Office of Internal Affairs that an investigation has been opened on an individual employee.

Authority for maintenance of the system:

5 U.S.C. 301; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in the records may be used: (a) To disclose pertinent information to appropriate Federal, State, local, or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (b) To disclose information to a Federal, State, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit. (c) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (d) To provide information to the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings. (e) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Notifications provided by the Office of Internal Affairs are maintained in a file folder and stored in a metal security cabinet equipped with a lock.

Retrievability:

The file contains the name of the employee; therefore, retrievability is by the individual's name.

Safeguards:

A metal container, described above, is maintained within the area assigned to Personnel Management in the One Allen Center Building. During non-working hours, the room in which the metal container is kept is locked, and access to the building is controlled at all times by uniformed guards.

Retention and disposal:

The name file is retained until notification has been received that the investigation has been canceled or on receipt of a report of investigation from the Office of Internal Affairs.

System manager(s) and address:

Director, Personnel Management Division, 500 Dallas Street, Houston, TX 77002.

Record source categories:

The only source of notification that an employee has been placed under investigation is the Regional Director, Internal Affairs.

Systems exempted from certain provisions of the act:

This system is exempt from 5 U.S.C. 552a (c)(3), (d)(1), (d)(2), (d)(3), (d)(4), (e)(1), (e)(4) (G), (H) and (I), and (f) of the Privacy Act pursuant to 5 U.S.C. 552a(k)(2).

Treasury/Customs .161

System name:

Optional Retirement List—Treasury/Customs.

System location:

Office of Human Resources, U.S. Customs Service, 1301 Constitution Ave., Washington, DC 20229.

Categories of individuals covered by the system:

All employees who are eligible for optional law enforcement retirement.

Categories of records in the system:

Name, organization code, and service computation date, social security number and retirement code.

Authority for maintenance of the system:

5 U.S.C. 301; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in the records may be used: (a) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains. (b) To provide information to unions recognized as exclusive bargaining representatives under the Civil Service Reform Act of 1978, 5 U.S.C. 7111 and 7114. (c) To determine qualifications for FERS position.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in a locked file cabinet.

Retrievability:

By name.

Safeguards:

Accessible only to the Personnel Officer and to designate representative. The area in which these records are stored is locked during non-working hours, and the building is guarded by uniformed security police.

Retention and disposal:

Records are retained for two years then destroyed.

System manager(s) and address:

Director Enforcement Division, Office of Human Resources, U.S. Customs Service, 1301 Constitution Ave., Washington, DC 20044.

Notification procedure:

Director; Enforcement Division, Office of Human Resources, U.S. Customs Service, 1301 Constitution Ave., Washington, DC 20044.

Record access procedures:

Director; Enforcement Division, Office of Human Resources, U.S. Customs Service, 1301 Constitution Ave., Washington, DC 20044.

Contesting record procedures:

Write to Systems Manager.

Record source categories:

The information is obtained from the Permits.

Systems exempted from certain provisions of the act:

None.

Treasury/Customs .162

System name:

Organization (Customs) and Automated Position Management System (COAPMS)—Treasury/Customs.

System location:

Personnel Management Division, U.S. Customs Service, Washington, DC 20229.

Categories of individuals covered by the system:

All Customs employees by organizational entity.

Categories of records in the system:

Position control number and other personnel data such as Social Security number, date of birth, name, etc.

Authority for maintenance of the system:

5 U.S.C. 301; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in the records may be used: (a) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains. (b) To provide information to unions recognized as exclusive bargaining representatives under the Civil Service Reform Act of 1978, 5 U.S.C. 7111 and 7114.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are stored on Mag-tape.

Retrievability:

Records are indexed by organizational segment, code, position control number, and name.

Safeguards:

Limited access.

Retention and disposal:

Records are maintained on mag-tapes until employee separation.

System manager(s) and address:

Director, Personnel Management Division, U.S. Customs Service, Washington, DC 20229.

Notification procedure:

See Customs Appendix A.

Record access procedures:

See Customs Appendix A.

Contesting record procedures:

See Access, Customs Appendix A.

Record source categories:

COAPMS is composed of four basic inputs—CF-105—Position Change Form—presently prepared by the Headquarters Personnel Branch and operating offices; Post of Duty Codes—established by the Accounting Division; Ceilings—established by the Budget Division; and CF-112—a Request for PPBS Code and Standard Abbreviation of Position. In addition to these four sources, the IRS payroll tape has many inputs—1150, 1125, 50, 52, union dues, etc., and Accounting tape K from IRS.

Systems exempted from certain provisions of the act:

None.

Treasury/Customs .163

System name:

Outside Employment Requests—Treasury/Customs.

System location:

Located in the Office of Human Resources, Customs Headquarters, 1301 Constitution Avenue, NW., Washington, DC 20229, and/or appropriate District, Port, or post of duty office of employee making request.

Categories of individuals covered by the system:

All employees engaged in outside employment.

Categories of records in the system:

Outside employment request.

Authority for maintenance of the system:

5 U.S.C. 301; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in the records may be used: (a) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains. (b) To provide information to unions recognized as exclusive bargaining representatives under the Civil Service Reform Act of 1978, 5 U.S.C. 7111 and 7114.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

CF-3031 kept in manila folder.

Retrievability:

By employee name.

Safeguards:

Locked file cabinet or limited access offices.

Retention and disposal:

Until disengagement from outside employment or employee separation.

System manager(s) and address:

Director, Labor Employee Relations Division, Office of Human Resources, Customs Headquarters, 1301 Constitution Avenue, NW., Washington, DC 20229 and/or appropriate managerial official in each port or district of employee.

Notification procedure:

Write to System Manager, provide your name and Social Security Number.

Record access procedures:

Write to System Manager.

Contesting record procedures:

Write to Systems Manager, specify changes you are requesting and provide your name and Social Security Number.

Record source categories:

Employee submission of Form CF-3031.

Systems exempted from certain provisions of the act:

None.

Treasury/Customs .165

System name:

Overtime Earnings—Treasury/Customs.

System location:

Inspection and Control Division, San Francisco District, 555 Battery Street, Room 111, San Francisco, CA 94126; Inspection and Control Division, Pacific Region, 300 N. Los Angeles Street, Los Angeles, CA 90012; Los Angeles District, Airport Division, Los Angeles International Airport, 5758 W. Century Boulevard, Los Angeles, CA 90045; District Director, 300 S. Ferry Street, Terminal Island, San Pedro, CA 90731; District Director, International and Terrace Streets, P.O. Box 670, Nogales, AZ 85621; San Diego Barge Office; Offices of the Port Directors; San Ysidro, CA; Andrade, CA; Calexico, CA; Douglas, AZ; Las Vegas, NV; Lochiel, AZ; Lukeville, AZ; Naco, AZ; Oxnard, CA; Phoenix, AZ; San Luis Obispo, CA; San Luis, AZ; Sasabe, AZ; Tecate, CA; Tucson, AZ. Office of the Regional Commissioner, North Central Region, Inspection and Control Division, 55 E. Monroe Street, Suite 1501, Chicago, IL 60603; and District Directors Offices: Chicago, IL; Pembina, ND; Detroit, MI; Minneapolis, MN; Cleveland, OH; St. Louis, MO; Duluth, MN;.Milwaukee, WI. Chief Inspector, 1790 W. Port Boulevard, Miami, FL 33132; Port Director of Customs, Port Everglades, FL; Port Director of Customs, West Palm Beach, FL; Director, Airport Operations, Miami International Airport; Office of the Supervisory Warehouse Officer, U.S. Customhouse, Room 103, 2nd and Chestnut Streets, Philadelphia, PA 19106; U.S. Custom Service, Honolulu International Airport, Honolulu, HI 96819.

Categories of individuals covered by the system:

Inspection and Control employees participating inovertime assignments.

Categories of records in the system:

Name and the total current monetary earnings computed to the nearest dollar.

Authority for maintenance of the system:

5 U.S.C. 301; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in the records may be used: (a) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains. (b) To provide information to unions recognized as exclusive bargaining representatives under the Civil Service Reform Act of 1978, 5 U.S.C. 7111 and 7114.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

The information is stored on government internal control personal computer data disks and the information on earnings is updated on a daily basis.

Retrievability:

The individual's name appears alphabetically.

Safeguards:

The room where the records are kept is locked at other than regular working hours. Passwords are required for access to records.

Retention and disposal:

The information on each employee constantly changes and is maintained as long as the employee is working in the overtime system.

System manager(s) and address:

Supervisory Customs Inspector, Station 1, U.S. Customs Service, 555 Battery Street, Room 111, San Francisco, CA 94126; Supervisory Customs Inspector, I & C, Pacific Region, 300 N. Los Angeles Street, Room 7508, Los Angeles, CA 90012; Director (Airport) Los Angeles International Airport, 5758 W. Century Blvd., Los Angeles, CA 90045; District Director, 300 S. Ferry Street, Terminal Island, San Pedro, CA 90731; District Director, International and Terrace Streets, P.O. Box 670, Nogales, AZ 85621; San Diego Barge Office; Port Directors: San Ysidro, CA; Andrade, CA; Calexico, CA; Douglas, AZ; Las Vegas, NV; Lochiel, AZ; Lukeville, AZ; Naco, AZ; Oxnard, CA; Phoenix, AZ; San Luis Obispo, CA: San Luis, AZ; Sasabe, AZ; Tecate, CA; Tucson, AZ; Director, Inspection and Control Division, North Central Region, 55 E. Monroe Street, Suite 1501, Chicago, IL 60603; District Directors: Chicago, IL; Pembina, ND; Detroit, MI; Minneapolis, MN; Cleveland, OH; St. Louis, MO; Duluth, MN; Milwaukee, WI; District Director of Customs, 77 S.E. 5th Street, Miami, FL 33131; District Director of Customs, U.S. Customhouse, 2nd and Chestnut Streets, Philadelphia, PA 19106; District Director of Customs, U.S. Customs Service, Honolulu, HI 96819.

Notification procedure:

See Customs Appendix A.

Record access procedures:

See Customs Appendix A.

Contesting record procedures:

See Access, Customs Appendix A.

Record source categories:

Information is obtained from actual overtime earnings made by each employee in the system.

Systems exempted from certain provisions of the act:

None.

Treasury/Customs .170

System name:

Overtime Reports—Treasury/Customs.

System location:

U.S. Customs Service, Office of Investigations, South Central Region. RDI, 1440 Canal Street, New Orleans, LA 70112; SAC, 600 South Street, Room 444, New Orleans, LA 70130; SAC, P.O. Box 1704, Mobile, AL 36601; RA, 1719 West End Building, Room 303, Nashville, TN 37203.

Categories of individuals covered by the system:

All Special Agents in region certified to receive premium compensation.

Categories of records in the system:

Numbers of hours worked by Special Agents over and above the normal 40-hour week.

Authority for maintenance of the system:

5 U.S.C. 301; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in the records may be used: (a) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains. (b) To provide information to unions recognized as exclusive bargaining representatives under the Civil Service Reform Act of 1978, 5 U.S.C. 7111 and 7114.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

These forms are maintained in file folders in a locked filing cabinet.

Retrievability:

Files are kept in alphabetical order.

Safeguards:

During non-working hours the rooms in which the above described containers are located are locked.

Retention and disposal:

These files are destroyed three years after Special Agent leaves agency or office.

System manager(s) and address:

Resident Agent, U.S. Customs Service, 6125 Interstate, Bay 11, Shreveport, LA 71109; Resident Agent in Charge, c/o Drug Enforcement Agency, Little Rock, AR 72211; Resident Agent, Hoover Building, Ste. 216B, 8312 Florida Blvd., Baton Rouge, LA 70806; Resident Agent, 1 Government Plaza, Rm. 423, 2909 13th Street, Gulfport, MS 39501; Resident Agent in Charge, U.S. Customs Service, U.S. Federal Building, Ste. 230, Jackson, MS 39269; Resident Agent in Charge, Station 1, Box 10182, Houma, LA 70363–5990; Resident Agent in Charge, 101 E. Cypress Street, Ste. 106, Lafayette, LA 70502; Resident Agent, 811 Bayou Pines Blvd., Lake Charles, LA 70601; New Orleans Aviation Branch, P.O. Box 980, Belle Chasse, LA 70037.

Notification procedure:

See Customs Appendix A.

Record access procedures:

See Customs Appendix A.

Contesting record procedures:

See Access, Customs Appendix A.

Record source categories:

The information contained in these files originates with, and consists solely of information supplied by employees.

Systems exempted from certain provisions of the act:

None.

Treasury/Customs .172

System name:

Parking Permits File—Treasury/Customs.

System location:

Office of Logistics Management, U.S. Customs Service Headquarters, 1301 Constitution Ave., NW., Washington, DC 20229.

Categories of individuals covered by the system:

Organizational units and persons holding parking permits.

Categories of records in the system:

Name of person issued parking permit, and number of parking space assigned.

Authority for maintenance of the system:

5 U.S.C. 301; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in the records may be used: (a) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains. (b) To provide information to unions recognized as exclusive bargaining representatives under the Civil Service Reform Act of 1978, 5 U.S.C. 7111 and 7114.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper files.

Retrievability:

By name.

Safeguards:

Office locked at night.

Retention and disposal:

Retained until changed.

System manager(s) and address:

Director, Headquarters Services Division, Office of Logistics Management, U.S. Customs Service Headquarters, 1301 Constitution Avenue, NW., Washington, DC 20229.

Notification procedure:

See Customs Appendix A.

Record access procedures:

See Customs Appendix A.

Contesting record procedures:

See Access, Customs Appendix A.

Record source categories:

Information is compiled when parking permit is assigned.

Systems exempted from certain provisions of the act:

None.

Treasury/Customs .180

System name:

Payroll Record of Employees Not Covered By The Automated System—Treasury/Customs.

System location:

Financial Management Division, U.S. Customs Service, Northeast Region, 100 Summer Street, Boston, MA 02110.

Categories of individuals covered by the system:

Records of various types of earnings and taxes withheld from employees who are not covered by the automated payroll system.

Categories of records in the system:

Recorded detail of earnings and taxes.

Authority for maintenance of the system:

5 U.S.C. 301; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in the records may be used: (a) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains. (b) To provide information to unions recognized as exclusive bargaining representatives under the Civil Service Reform Act of 1978, 5 U.S.C. 7111 and 7114.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Data is placed in a file folder maintained in an unlocked file cabinet located within the Payment Section work area.

Retrievability:

Each file is identified by the name of the individual.

Safeguards:

The file is located within an office that is locked during nonworking hours. The building is guarded by uniformed security police and only authorized persons are permitted entry to the building.

Retention and disposal:

The files are retained for two years on the premises and then sent to the Federal Records Center where they are retained for three years and then destroyed.

System manager(s) and address:

Director, Financial Management Division, U.S. Customs Service, 100 Summer Street, Boston, MA 02110.

Notification procedure:

See Customs Appendix A.

Record access procedures:

See Customs Appendix A.

Contesting record procedures:

See Access, Customs Appendix A.

Record source categories:

The information in the system originates from the individual's preparation of his travel voucher and compensation forms.

Systems exempted from certain provisions of the act:

None.

Treasury/Customs .182

System name:

Penalty Case File—Treasury/Customs.

System location:

Office of Regional Commissioner of Customs, 100 Summer Street, Boston, MA 02110.

Categories of individuals covered by the system:

Individuals who have submitted supplemental petitions in relation to penalties, claims for liquidated damages or forfeitures of property which are being processed by the U.S. Customs Service, Northeast Region and which have been referred to the Regional Commissioner of Customs, Northeast Region.

Categories of records in the system:

(a) Reports relative to the circumstances of an alleged violation (including any Customs forms or documents relating to the incident, agents' investigative reports, seizure reports); (b) Reports relative to an individual's economic interest in a penalty case; (c) Investigative reports relative to claims made in petitions for relief; (d) Recommendations made by other Government agencies that have an interest in the case.

Authority for maintenance of the system:

5 U.S.C. 301; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in the records may be used: (a) To disclose pertinent information to appropriate Federal, State, local, or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (b) To disclose information to a Federal, State, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit. (c) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (d) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are maintained in file folders.

Retrievability:

Records are indexed by name of alleged violator.

Safeguards:

Open case files maintained in file cabinets with access by Regional Counsel and his staff only; closed case files maintained in locked file cabinet with keys retained by Regional Counsel and his staff only.

Retention and disposal:

Retained until there is no longer any space available within metal cabinets, at which time the oldest files are transferred to the Federal Records Center.

System manager(s) and address:

Regional Commissioner of Customs, 100 Summer Street, Boston, MA 02110.

Notification procedure:

See Customs Appendix A.

Contesting record procedures:

See Exemption below.

Record source categories:

The information contained in these files is received from U.S. Customs employees, reports of investigation, petitions for relief, other Government agencies with an interest in the case and members of the general public who have pertinent information.

Systems exempted from certain provisions of the act:

This system is exempt from 5 U.S.C. 552a (c)(3), (d)(1), (d)(2), (d)(3), (d)(4), (e)(1), (e)(4) (G), (H) and (I), and (f) of the Privacy Act pursuant to 5 U.S.C. 552a(k)(2).

Treasury/Customs .186

System name:

Personnel Search—Treasury/Customs.

System location:

Office of the Director, District Patrol, 600 South Street, New Orleans, LA 70130; District Director and Director, District Patrol Division, International Trade Center, 250 N. Water Street, Mobile, AL 36602; U.S. Customs Service, Honolulu International Airport, Honolulu, HI 96819; Ports of Entry, Nogales, AZ (District).

Categories of individuals covered by the system:

Individuals indicating unlawful or suspicious activity that might result in a Customs violation.

Categories of records in the system:

Name, address, phone number, place of business, physical description, associates, vessel, automobile, or aircraft identified with, make, year, license number and registration of vehicles, area of activity, method of operation and other relevant and necessary information on individuals suspected of activity contrary to law.

Authority for maintenance of the system:

5 U.S.C. 301; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in the records may be used: (a) To disclose pertinent information to appropriate Federal, State, local, or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (b) To disclose information to a Federal, State, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit. (c) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (d) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records maintained in standard Customs file folders in locked metal cabinets.

Retrievability:

System indexed by identifying file number and manually retrieved.

Safeguards:

File maintained in locked metal file cabinet, the keys of which are controlled by the Custodian of the files. Those departmental officials who may occasionally be granted access, consistent with their positions, have been cleared by a full field background investigation and granted appropriate security clearance for critical sensitive positions. During non-working hours, the room housing the metal cabinets is locked.

Retention and disposal:

Negative Search Reports are destroyed after a 5 year period. Method of disposal is shredding.

System manager(s) and address:

Director, District Patrol Division, 600 South Street, New Orleans, LA 70130; District Directors/Port Directors as applicable, in North Central Region, Chicago, IL; District Director of Customs, P.O. Box 2748, Mobile, AL 36601; District Director of Customs, U.S. Customs Service, Honolulu, HI 96819; Port Directors at the various ports of entry in the Nogales, AZ (District).

Notification procedure:

See Customs Appendix A.

Record access procedures:

See Customs Appendix A.

Contesting record procedures:

See Access, Customs Appendix A.

Record source categories:

The information in this system originates with, and consists solely of information supplied by the individual being searched and the patrol officer doing the search.

Systems exempted from certain provisions of the act:

This system is exempt from 5 U.S.C. 552a (c)(3), (d)(1), (d)(2), (d)(3), (d)(4), (e)(1), (e)(4) (G), (H) and (I), and (f) of the Privacy Act pursuant to 5 U.S.C. 552a(k)(2).

Treasury/Customs .190

System name:

Personnel Case File—Treasury/Customs.

System location:

Office of the Chief Counsel, U.S. Customs Service Headquarters, 1301 Constitution Avenue, NW., Washington, DC 20229; Office of the Regional Counsel, U.S. Customs Service, North Central Region, 55 E. Monroe Street, Room 1417, Chicago, IL 60603; Regional Counsel of Customs, 6 World Trade Center, New York, NY, 10048; Office of the Regional Counsel, 211 Main Street, San Francisco, CA 94105.

Categories of individuals covered by the system:

Current or former Customs Service employees against whom disciplinary action has been proposed or taken, who have filed grievances, and who have filed complaints under the Equal Opportunity (EO) Program, in most cases where administrative proceedings have been instituted.

Categories of records in the system:

Reports of investigation into alleged employee misconduct, internal Customs Service memoranda recommending disciplinary action, documents relating to the institution or conduct of disciplinary proceedings, documents relating to the filing and administrative disposition of formal and informal grievances and documents relating to the filing and administrative disposition of EO complaints.

Authority for maintenance of the system:

Title 5, United States Code; Title 5, Code of Federal Regulations; 5 U.S.C. 301; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in the records may be used: (a) To disclose pertinent information to the Office of Personnel Management (OPM) in connection with administrative hearings and to the Department of Justice in connection with court proceedings resulting from appeals from decisions rendered at the administrative level. (b) To disclose pertinent information to appropriate Federal, State, local, or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (c) To disclose information to a Federal, State, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit. (d) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (e) To provide information to the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings. (f) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Each case file is inserted alphabetically in an unlocked drawer within a metal container.

Retrievability:

Each case file is identified in a manual alphabetical card file by the name of the person, and each case file is similarly identified in alphabetical order within the metal container.

Safeguards:

The metal container described above is maintained within the Customs Service Building. During non-working hours, the room in which the metal container is located is locked, and access to the building is controlled at all times by uniformed guards.

Retention and disposal:

These files are retained until there is no longer any space available for them within the metal container, at which time the oldest files are transferred to the Federal Record Center.

System manager(s) and address:

Chief Counsel, U.S. Customs Service Headquarters, 1301 Constitution Avenue, NW., Washington, DC 20229; Regional Counsel of Customs, Room 1417, U.S. Customs Service, 55 E. Monroe Street, Chicago, IL 60603; Regional Counsel of Customs, New York, NY, 10048; Regional Counsel of Customs, 211 Main Street, San Francisco, CA 94105.

Notification procedure:

See Customs Appendix A.

Record source categories:

The information contained in these files results from investigations into alleged misconduct on the part of Customs Service employees, recommendations from appropriate Customs Service field personnel that disciplinary proceedings be instituted against Customs Service employees, the filing of grievances by Customs Service employees, the filing of EO complaints by Customs Service employees, the statements of Customs Service employees including the employees who are directly affected by the administrative proceedings, and statements or other information provided by private non-governmental individuals.

Systems exempted from certain provisions of the act:

This system is exempt from 5 U.S.C. 552a (c)(3), (d)(1), (d)(2), (d)(3), (d)(4), (e)(1), (e)(4) (G), (H) and (I), and (f) of the Privacy Act pursuant to 5 U.S.C. 552a(k)(2).

Treasury/Customs 00.193

System name:

Operating Personnel Folder Files—Treasury/Customs.

System location:

Files are located in Headquarters, Regional, District, Port and other post of duty offices throughout the Customs Service depending upon post of duty of employee. (See Customs Appendix A.)

Categories of individuals covered by the system:

Customs employees, present.

Categories of records in the system:

In addition to the appropriate Personnel offices, records are also maintained by district, port, or other post of duty management on personnel matters such as, but not limited to name, Social Security number, awards, letters of appreciation, promotions, step increases, memoranda, forms and materials related to hiring, address, pay, transfer and separation, service time, salary, phone, education, society memberships, publications, skills, chronological work history, position descriptions, reports of discussions held with employee regarding performance, copies of letters written to employee concerning performance, overtime hours, seniority status, leave, overtime earnings, productivity, locator card information, and related employment records.

Authority for maintenance of the system:

5 U.S.C. 301; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in the records may be used: (a) To disclose to the public for employment and salary verification upon request. (b) To disclose pertinent information to appropriate Federal, State, local, or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (c) To disclose information to a Federal, State, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit. (d) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (e) To provide information to unions recognized as exclusive bargaining representatives under the Civil Service Reform Act of 1978, 5 U.S.C. 7111 and 7114. (f) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are maintained in file folders, and/or on index cards, and/or ledgers.

Retrievability:

Records are indexed by name, or Social Security number.

Safeguards:

Records are located in lockable metal file cabinets or in secured rooms with limited access.

Retention and disposal:

When the employee leaves the Customs Service through transfer or other separation, the file will immediately be forwarded to the office maintaining the Official Personnel Folder. There it will be screened to insure that it contains no documents that should be permanently filed in the Official Personnel Folder other than exact duplicates of papers already so filed. The file and its contents will then be destroyed.

System manager(s) and address:

Director, Personnel Management Division in each Region or Headquarters, or managerial official in appropriate posts of duty of employee. (See Customs Appendix A.)

Notification procedure:

See Customs Appendix A.

Record access procedures:

See Customs Appendix A.

Contesting record procedures:

See Access, Customs Appendix A.

Record source categories:

Information in this system of records comes from employee, from personnel actions as noted in official personnel folders, and from supervisor.

Systems exempted from certain provisions of the act:

None.

Treasury/Customs 00.194

System name:

Treasury Payroll Information System (TPIS).

System location:

Satellite locations in field offices and the Payroll Branch at the National Finance Center. Financial Systems computerized through a Servicing Data Processing Center. (See Customs Appendix A.)

Categories of individuals covered by the system:

All Customs employees, present and former.

Categories of records in the system:

These records contain Payroll information such as name, Social Security number, grade, series, step, organizational codes, tax withholding information, bond purchase and issuance, emergency salaries, overtime and holiday pay, optional payroll deductions, other deductions, and historical payroll information. Certain personnel data pertaining to pay entitlements are included. Also in this system are records of time and attendance and leave.

Authority for maintenance of the system:

5 U.S.C. 301; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in the records may be used: (a) To disclose pertinent information to appropriate Federal, State, local, or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (b) To disclose information to a Federal, State, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit. (c) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (d) To provide information to unions recognized as exclusive bargaining representatives under the Civil Service Reform Act of 1978, 5 U.S.C. 7111 and 7114. (e) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation. (f) To disclose another Federal agency information to effect inter-agency salary offset. (g) To disclose another Federal agency information to effect inter-agency administration offset. However no IRS obtained address shall be disclosed to another Federal agency; (h) To disclose a consumer reporting agency information to obtain commercial credit reports. (i) To disclose a debt collection agency information for debt collection services. Current mailing addresses acquired from the Internal Revenue Service which become a part of this system are routinely released to consumer reporting agencies to obtain credit reports and to debt collection agencies for collection services. Routine users outside the Department are other federal agency personnel offices; the Office of Personnel Management; U.S. Department of Labor. Office of Employee Compensation; State unemployment offices; union representatives, arbitrators, and other third-parties who have responsibilities under a Customs Service-union contract or E.O. 11491, as amended, for the administration of the Federal labor-management relations program as described in the routine use; creditors; federal agencies; consumer reporting agencies to obtain credit reports; debt collection agencies; Members of Congress; next-of-kin; and voluntary guardian and other representative or successor in interest.

Disclosure to consumer reporting agencies:

Disclosure pursuant to 5 U.S.C. 552a(b)(12) and Section 3 of the Debt Collection Act of 1982; Debt information concerning a Government claim against an individual is also furnished, in accordance with 5 U.S.C. 552a(b)(12) and Section 3 of the Debt Collection Act of 1982 (Pub. L. 97-365), to consumer reporting agencies to encourage repayment of an overdue debt.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Sources and coding documents are maintained in file folders. Current and historical data are stored on magnetic tape/disk, microfiche, and computer printouts.

Retrievability:

Records are indexed by name, Social Security number, organization code, and by Region Block code.

Safeguards:

Computer access is limited by user code Security level. Hard copy and microfiche records are maintained in locked files, secured rooms, or limited access.

Retention and disposal:

Individual records are retained in TPIS system until end of calendar year of separation; Time and attendance records are maintained two (2) years at the regions.

System manager(s) and address:

Agency: Assistant Director, Office of Personnel (TPIS), U.S. Department of Treasury. Bureau: U.S. Customs Service, National Finance Center Chief, Payroll Branch.

Notification procedure:

See Customs Appendix A.

Record access procedures:

See Customs Appendix A.

Contesting record procedures:

See Access, Customs Appendix A.

Record source categories:

Information is obtained from Official Personnel Folders employee management, time and attendance, and leave records.

Systems exempted from certain provisions of the act:

None.

Treasury/Customs 00.196

System name:

Preclearance Costs—Treasury/Customs.

System location:

Financial Management Division, U.S. Customs Service, Northeast Region, 100 Summer Street, Boston, MA 02110.

Categories of individuals covered by the system:

All Customs Inspectors and Foreign Service employees of North Central Region, who are stationed at Toronto and Montreal, Canada.

Categories of records in the system:

Salaries, living allowances and benefits paid to employees who are stationed at Toronto and Montreal, Canada.

Authority for maintenance of the system:

5 U.S.C. 301; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in the records may be used: (a) To disclose pertinent information to appropriate Federal, State, local, or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (b) To disclose information to a Federal, State, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit. (c) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (d) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains. (e) To provide information to unions recognized as exclusive bargaining representatives under the Civil Service Reform Act of 1978, 5 U.S.C. 7111 and 7114. (f) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Data is stored in a file folder within two metal file cabinets in the work area of the Budget Section.

Retrievability:

The file is identified as the "Pre-clearance Record" which contains the names of all employees listed in alphabetical order with corresponding costs associated with each employee.

Safeguards:

The file is located within an office that is locked during non-working hours. The building is guarded by uniformed security police and only authorized persons are permitted entry to the building.

Retention and disposal:

The files are kept for three years and then destroyed.

System manager(s) and address:

Director, Financial Management Division, U.S. Customs Service, 100 Summer Street, Boston, MA 02110.

Notification procedure:

See Customs Appendix A.

Record access procedures:

See Customs Appendix A.

Contesting record procedures:

See Access, Customs Appendix A.

Record source categories:

The information contained in the system is obtained from the Bi-weekly Comprehensive Payroll Listing, Treasury Form 2979, supplied by the Payroll Data Center.

Systems exempted from certain provisions of the act:

None.

Treasury/Customs 00.197

System name:

Private Aircraft/Vessel Inspection Reporting System—Treasury/Customs.

System location:

Office of Enforcement, U.S. Customs Service, 1301 Constitution Avenue, NW., Washington, DC 20229.

Categories of individuals covered by the system:

Names of pilots and vessel masters arriving in the United States.

Categories of records in the system:

Names and personal identifiers of pilots, vessel masters, and owners of vessels with appropriate registration and/or documentation numbers and characteristics, and arrival dates at port of entry.

Authority for maintenance of the system:

5 U.S.C. 301; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in the records may be used: (a) To disclose pertinent information to appropriate Federal, State, local, or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (b) To disclose information to a Federal, State, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit. (c) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (d) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Magnetic disc and tape storage; microfiche.

Retrievability:

By individual name, private aircraft/ vessel registration number; vessel name.

Safeguards:

All inquiries are made by officers with full field background investigation on a "need to know" basis only. Procedural and physical safeguards are utilized such as accountability and receipt records, guards patrolling the area, restricted access and alarm protection systems, special communications security, etc.

Retention and disposal:

The records are periodically dated to reflect changes and maintained as long as needed, then destroyed. (Minimum of five years for aircraft arrival reports.)

System manager(s) and address:

Assistant Commissioner, Office of Enforcement, U.S. Customs Service, 1301 Constitution Avenue, NW., Washington, DC 20229.

Notification procedure:

See Customs Appendix A.

Record access procedures:

See Customs Appendix A.

Contesting record procedures:

See Access, Customs Appendix A.

Record source categories:

Proposed Customs Form 178 (Private Aircraft Inspection Report) which will be prepared by Customs officers, unnumbered forms prepared by vessel masters or owners who report their arrival to a United States port of entry, and other Federal agencies.

Systems exempted from certain provisions of the act:

This system is exempt from 5 U.S.C. 552a (c)(3), (d)(1), (d)(2), (d)(3), (d)(4), (e)(1), (e)(4) (G), (H) and (I), and (f) of the Privacy Act pursuant to 5 U.S.C. 552a (k)(2).

Treasury/Customs 00.201

System name:

Property File, Non-Expendable—Treasury/Customs.

System location:

Offices of District Directors, North Central Region, Chicago, IL (see Customs Appendix A.); Office of Logistics Management, U.S. Customs Headquarters, 1301 Constitution Avenue, NW., Washington, DC 20229; Office of the District Director, San Diego, CA; Offices of the Port Directors: San Ysidro, CA; Tecate, CA; Calexico, CA; Andrade, CA; San Diego Barge Office, and the Offices of the Customs Patrol Division, San Diego, CA; San Ysidro, CA; Calexico, CA; Tecate, CA; District Directors Office, Entry Control Section (see Customs Appendix A.); United States Customs Service Room 228, Federal Building, 335 Merchant Street, Honolulu, HI 96813; Logistics Management Division, Southeast Region; U.S. Customs Service, 99 SE. 5th Street, Miami, FL 33131; Federal Building, Room 198, 511 NW. Broadway, Portland, OR 97209; Office of District Director, Administrative Officer, United States Customs Service, 555 Battery Street, Room 318, San Francisco, CA 94126.

Categories of individuals covered by the system:

Employees issued non-expendable property.

Categories of records in the system:

Receipts for badges, cap insignias, bonded warehouse keys, identification cards, Government driver's licenses, firearms and other non-expendable property.

Authority for maintenance of the system:

5 U.S.C. 301; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in the records may be used: (a) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains. (b) To provide information to unions recognized as exclusive bargaining representatives under the Civil Service Reform Act of 1978, 5 U.S.C. 7111 and 7114.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Locked file cabinet.

Retrievability:

Folders identified by individual's name.

Safeguards:

During non-working hours the room/building in which the file is located is locked. Access limited to authorized Customs personnel.

Retention and disposal:

Until employee separates/transfers. Transfer to National Personnel Records Center (NPRC), (CPR), St. Louis, MO; thirty days after employee is separated.

System manager(s) and address:

District Directors in North Central Region, Chicago, IL; Director, Office of Logistics Management, U.S. Customs Service, Headquarters, 1301 Constitution Avenue, NW., Washington, DC 20229; District Director, Port Directors, and Division Directors within the San Diego Customs District (see Customs Appendix A); Chief, Headquarters Support Branch, Logistics Management Division, U.S. Customs Service Headquarters, 1301 Constitution Avenue, NW., Washington, DC 20229; Local Property Officer, Room 228, Federal Building, Entry Control Section, 335 Merchant Street, Honolulu, HI 96813; Director, Logistics Management Division, United States Customs Service, Southeast Region, 99 SE. 5th Street, Miami, Florida 33131; District Director, Federal Building, Room 198, 511 NW. Broadway, Portland, OR 97209; Administrative Officer, U.S. Customs Service, 555 Battery Street, Room 318, San Francisco, CA 94126.

Notification procedure:

See Customs Appendix A.

Record access procedures:

See Customs Appendix A.

Contesting record procedures:

See Access, Customs Appendix A.

Record source categories:

The information in this system consists of receipts of employees receiving non-expendable property.

Systems exempted from certain provisions of the act:

None.

Treasury/Customs 00.206

System name:

Regulatory Audits of Customhouse Brokers—Treasury/Customs.

System location:

Regulatory Audit Division, United States Customs Service Headquarters, 1301 Constitution Avenue, NW., Washington, DC 20229, and at each of the seven regional offices of Regulatory Audit (see Customs Appendix A for addresses).

Categories of individuals covered by the system:

Persons licensed to do business pursuant to 19 U.S.C. 1641.

Categories of records in the system:

Audit reports of customs broker accounts and records; correspondence regarding such reports; Congressional inquiries concerning customs brokers and disposition made of such inquiries; names of officers of customs broker firms, license numbers and dates issued and district covered.

Authority for maintenance of the system:

19 U.S.C. 1641; 19 CFR Part 111. 5 U.S.C. 301; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in the records may be used: (a) To disclose pertinent information to appropriate Federal, State, local, or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (b) To disclose information to a Federal, State, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit. (c) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (d) To provide information to the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings. (e) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Each custom broker permanent file is inserted in alphabetical order by name of the firm in an unlocked drawer within a metal file cabinet located in one or more regulatory audit offices. Each customs broker workpaper file is similarly stored, but maintained in numerical order by audit report number.

Retrievability:

Each broker permanent file is readily retrievable when the name is given, while the workpaper file is retrievable after obtaining the audit report file number from within the permanent file.

Safeguards:

The files described above are maintained within the respective regulatory audit offices. During non-working hours, the offices in which the files are located are locked.

Retention and disposal:

Customhouse broker files are generally retained in each office at least three years, after which they are placed in General Service Administration long-term archival storage.

System manager(s) and address:

Director, Regulatory Audit Division, United States Customs Service Headquarters, 1301 Constitution Avenue, NW., Washington, DC 20229. Deputy Assistant Regional Commissioner, Regulatory Audit at each of the seven regional offices (see Customs Appendix A for addresses).

Notification procedure:

See Customs Appendix A.

Record source categories:

The information contained in these files originates in connection with customs broker audits conducted by the regional regulatory audit staffs. The audits may be supplemented with information furnished by the Office of the Regional Counsel, Office of Enforcement, and the Office of Regulations and Rulings. These audits include examinations of brokers business records, including data maintained in support of client customs business.

Systems exempted from certain provisions of the act:

This system is exempt from 5 U.S.C. 552a (c)(3), (d)(1), (d)(2), (d)(3), (d)(4), (e)(1), (e)(4) (G), (H) and (I), and (f) of the Privacy Act pursuant to 5 U.S.C. 552a (k)(2).

Treasury/Customs 00.207

System name:

Reimbursable Assignment System—Treasury/Customs.

System location:

U.S. Customs Service Headquarters, 1301 Constitution Avenue, NW., Washington, DC 20229.

Categories of individuals covered by the system:

Customs Service employees who perform reimbursable services and parties in interest for whom reimbursable services are performed.

Categories of records in the system:

Name, address, Social Security number or importer of record number assigned by the Customs Service, listings of reimbursable overtime assignments of Customs employees, bills and refund checks issued to parties in interest, travel expenses incurred by Customs employees in connection with the reimbursable services.

Authority for maintenance of the system:

19 U.S.C. 261, 267, and 1451; 19 CFR 24.16 and 24.17; 5 U.S.C. 301; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in the records may be used: (a) To provide information to a Congressional office in response to an inquiry made at the request of the individual to whom the record pertains. (b) To provide information to unions recognized as exclusive bargaining representatives under the Civil Service Reform Act of 1978, 5 U.S.C. 7111 and 7114.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

The information in this system is contained in a computerized system utilizing magnetic tape storage techniques.

Retrievability:

The information in this system is retrieved by the individual's Social Security number or by the individual's importer of record number.

Safeguards:

Procedural and physical safeguards are utilized such as accountability and receipt access, guards patrolling the area, restricted access and alarm systems.

Retention and disposal:

The records in this system are retained in accordance with the requirements of the Treasury Records Control Manual.

System manager(s) and address:

Director, Accounting Division, U.S. Customs Service Headquarters, 1301 Constitution Ave, NW., Washington, DC 20229.

Notification procedure:

See Customs Appendix A.

Record access procedures:

See Customs Appendix A.

Contesting record procedures:

See Access, Customs Appendix A.

Record source categories:

The information in this system originates with the receipt of a request, for reimbursable services from the party in interest. In addition, information in this system is derived from Customs Form 5106 (Notification of Importer's Number/Application for Importer's Number) which is filed with the Customs Service by the importer, and from Customs Form 6082 (Work Ticket) which is filed by the Customs Inspector who performed the reimbursable services.

Systems exempted from certain provisions of the act:

None.

Treasury/Customs 00.208

System name:

Restoration of Forfeited Annual Leave Cases—Treasury/Customs.

System location:

Located in the Personnel Management Division of each region and Headquarters according to list in Customs Appendix A.

Categories of individuals covered by the system:

Employees of the U.S. Customs Service who have applied for restoration of forfeited annual leave.

Categories of records in the system:

Employee applications for restoration of leave. Management decisions on employee applications for restoration of leave. Applicable regulations.

Authority for maintenance of the system:

5 U.S.C. 301; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in the records may be used: (a) To disclose pertinent information to appropriate Federal, State, local, or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (b) To disclose information to a Federal, State, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit. (c) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (d) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are stored in manila folders.

Retrievability:

Records are indexed by name.

Safeguards:

Records are maintained in locked files.

Retention and disposal:

Records are retained in accordance with the requirements of the Treasury Records Control Manual.

System manager(s) and address:

Director, Personnel Management Division, in each region and Headquarters.

Notification procedure:

See Customs Appendix A.

Record access procedures:

See Customs Appendix A.

Contesting record procedures:

See Access, Customs Appendix A.

Record source categories:

Evidential materials supporting employee applications for restoration of forfeited annual leave. Evidential materials supporting management decisions.

Systems exempted from certain provisions of the act:

None.

Treasury/Customs 00.209

System name:

Resumes of Professional Artists—Treasury/Customs.

System location:

Area Director, New York Seaport Area, 6 World Trade Center, New York, NY 10048.

Categories of individuals covered by the system:

Professional Artists.

Categories of records in the system:

Artist's name and professional art background.

Authority for maintenance of the system:

5 U.S.C. 301; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in the records may be used: (a) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper.

Retrievability:

Alphabetical listing.

Safeguards:

Filing cabinet, office locked at end of day.

Retention and disposal:

Records are disposed of in accordance with the requirements of the Treasury Records Control Manual.

System manager(s) and address:

Area Director New York Seaport Area, 6 World Trade Center, New York, NY 10048.

Notification procedure:

See Customs Appendix A.

Record access procedures:

See Customs Appendix A.

Contesting record procedures:

See Access, Customs Appendix A.

Record source categories:

Resume information provided by artist.

Systems exempted from certain provisions of the act:

None.

Treasury/Customs 00.210

System name:

Revocation of I.D. Privileges and "Cash Basis Only" for Reimbursable Services List—Treasury/Customs.

System location:

Financial Management Division-Districts and Ports, 99 SE. 5th Street, Miami, FL 33131.

Categories of individuals covered by the system:

Corporate and Individual Brokers, Importers, Carriers, and Private Individuals.

Categories of records in the system:

Corporations and individuals in financial difficulty.

Authority for maintenance of the system:

5 U.S.C. 301; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in the records may be used: (a) To disclose pertinent information to appropriate Federal, State, local, or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (b) To disclose information to a Federal, State, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit. (c) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (d) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains. (e) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Files are maintained in an unlocked drawer within a metal file cabinet.

Retrievability:

Alpha File in Manila Folder by Month.

Safeguards:

The metal container described above is maintained within the area assigned to the Financial Management Division within the Customs Service Building. During non-working hours the room in which the metal container is located is locked.

Retention and disposal:

These files are retained as prescribed by GAD Regulations or until there is no longer any space available for them within the metal container, at which time the oldest files are transferred to the Federal Records Center.

System manager(s) and address:

Director of Financial Management, 99 SE. 5th Street, Miami, FL 33131.

Notification procedure:

See Customs Appendix A.

Record access procedures:

See Customs Appendix A.

Contesting record procedures:

See Access, Customs Appendix A.

Record source categories:

Generated in house by Accounting Personnel from delinquent bill listings and open file of outstanding bills. Additionally, feedback from Districts and Ports on bankrupt firms and from Regulatory Audit Division on firms in financial difficulty or under investigation.

Systems exempted from certain provisions of the act:

None.

Treasury/Customs 00.211

System name:

Sanction List Treasury/Customs.

System location:

Director, U.S. Customs, National Finance Center, P.O. Box 68907, Indianapolis, Indiana 46228.

Categories of individuals covered by the system:

Persons who are indebted to the United States Government for bills that are unpaid and past due.

Categories of records in the system:

Listing is issued weekly showing individual's name and address plus number and amount of unpaid and past due bills.

Authority for maintenance of the system:

5 U.S.C. 301; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in the records may be used: (a) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Each sanction list is stored in a file drawer in an unlocked file cabinet.

Retrievability:

Each sanction list is identified by month and year of issuance.

Safeguards:

The file cabinet described above is maintained within the area assigned in the Customs Office. During non-working hours the room and/or building in which the file cabinet is located is locked.

Retention and disposal:

Retained in Customs Office for minimum of one year. Disposal in accordance with Records Control Manual.

System manager(s) and address:

Director, U.S. Customs, National Finance Center, P.O. Box 68907, Indianapolis, Indiana 46022.

Notification procedure:

See Customs Appendix A.

Record access procedures:

See Customs Appendix A.

Contesting record procedures:

See Access, Customs Appendix A.

Record source categories:

The information in this listing is secured from CF 6084 Bill Form issued to each individual and correspondence files maintained for individuals.

Systems exempted from certain provisions of the act:

None.

Treasury/Customs 00.212

System name:

Search/Arrest/Seizure Report—Treasury/Customs.

System location:

Office of Enforcement Offices of the U.S. Customs Service. (See Customs Appendix A.)

Categories of individuals covered by the system:

Persons who have or may have violated a law of the United States.

Categories of records in the system:

Name, alias, date of birth, age, personal data, addresses, home and business telephone numbers, occupation, background information, associations, license number and registration number of vehicle, vessel and/or aircraft, mode of entry of individual or contraband, fingerprints, pictures, declaration forms, cash receipts, receipt for seized goods, all other forms pertinent to the case, such as Notice to Master, etc.

Authority for maintenance of the system:

5 U.S.C. 301; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in the records may be used: (a) To disclose pertinent information to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statue, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (b) To disclose information to a Federal, State, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit. (c) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (d) To provide information to the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings. (e) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Each case is placed in a folder which is filed in a numerical order according to the assigned case file number. These files are kept in a locked metal cabinet.

Retrievability:

The above-mentioned case file numbers are cross-indexed by name to such numbers, and cards are filed alphabetically within a metal file box.

Safeguards:

The metal file cabinet and the metal file box are located within an office that is locked during non-working hours.

Retention and disposal:

These cases are retained for a period of three years after which they are destroyed together with related index cards.

System manager(s) and address:

Director, District Patrol Division. (See Customs Appendix A.)

Systems exempted from certain provisions of the act:

This system is exempt from 5 U.S.C. 552a (c)(3), (d)(1), (d)(2), (d)(3), (d)(4), (e)(1), (e)(4), (G), (H) and (I), and (f) of the Privacy Act pursuant to 5 U.S.C. 552a (k)(2).

Treasury/Customs 00.214

System name:

Seizure File—Treasury/Customs.

System location:

Special Agent in charge, Room 508, U.S. Customs Service, 6 World Trade Center, New York, NY 10048.

Categories of individuals covered by the system:

Ships masters, ships crew members, longshoremen, vessels, private aircraft, private vessels, individuals from whom seizures have been made, or upon whom Memoranda of Information Received and Reports of Investigation have been written.

Categories of records in the system:

Memoranda of Information Received and reports of Investigation which are reports from law enforcement agencies of suspects or arrests. Reports of Seizures by Customs, other information indicating violators or suspected violators.

Authority for maintenance of the system:

5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in the records may be used: (a) To disclose pertinent information to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (b) To disclose information to a Federal, State, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit. (c) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (d) To provide information to the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings. (e) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Manila files within metal file cabinets.

Retrievability:

Alphabetical; for aircraft or car by number; by seizure number; by name of individual.

Safeguards:

Room has a 24-hour guard and is locked.

Retention and disposal:

Seizure files are maintained for three years after final disposition. Memoranda of Information Received are maintained as long as needed.

System manager(s) and address:

Director, Patrol Division, U.S. Customs Service, 6 World Trade Center, New York, NY 10048.

Systems exempted from certain provisions of the act:

This system is exempt from 5 U.S.C. 552a(c)(3), (d)(1), (d)(2), (d)(3), (d)(4), (e)(1), (e)(4) (G), (H) and (I), and (f) of the Privacy Act pursuant to 5 U.S.C. 552a (k)(2).

Treasury/Customs 00.215

System name:

Seizure Report File—Treasury/Customs.

System location:

U.S. Customs Mail Facility, Room 416, 1675-7th Street, Oakland, CA 94615.

Categories of individuals covered by the system:

Individuals to whom prohibited merchandise is addressed.

Categories of records in the system:

Name, address, property description, estimated foreign value, duty, domestic value, circumstances of seizure, sender, section of law violated, delivery to San Francisco seizure clerk.

Authority for maintenance of the system:

5 U.S.C. 301; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in the records may be used: (a) To disclose pertinent information to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statue, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (b) To disclose information to a Federal, State, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit. (c) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (d) To provide information to the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings. (e) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

The information in this system is contained on Customs Form 6051 Custody Receipt for Retained or Seized Property and Customs Form 151-Search/Arrest/Seizure Report. These forms are placed within file folders which are located in a metal file cabinet.

Retrievability:

Each Seizure Report and Custody Receipt (stapled together) are identified by the name of the person to which the seized items are addressed and the names are filed by seizure number by fiscal year.

Safeguards:

The file folders are placed within a metal cabinet which is located within an office that is locked during non-working hours. The building is guarded by uniformed security police and only authorized persons are permitted in the building.

Retention and disposal:

Last three fiscal years records are kept in a file cabinet in the office.

System manager(s) and address:

Chief, Mail Branch. See location above.

Notification procedure:

See Customs Appendix A.

Record access procedures:

See Customs Appendix A.

Contesting record procedures:

See Access, Customs Appendix A.

Record source categories:

The information in this system originates with and consists of information obtained from mail shipments.

Systems exempted from certain provisions of the act:

None.

Treasury/Customs 00.217

System name:

Set Off Files—Treasury/Customs.

System location:

Financial Management Division, 99 SE, 5th Street, Miami, FL 33131.

Categories of individuals covered by the system:

Importer of Record, customhouse broker, parties in interest.

Categories of records in the system:

Name, address, identification number, copies of refund checks and copies of set off bills.

Authority for maintenance of the system:

5 U.S.C. 301; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information may be used: (a) To disclose pertinent information to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (b) To disclose information to a Federal, State, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit. (c) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Files are maintained in an unlocked drawer within a metal file cabinet.

Retrievability:

File folders with individual's name annotated with set off.

Safeguards:

The metal container described above is maintained within the area assigned to the Financial Management Division within the Customs Service Building. During non-working hours the room in which the metal container is located is locked.

Retention and disposal:

These files are retained as prescribed by GAD Regulations or until there is no longer any space available for them within the metal container, at which time the oldest files are transferred to the Federal Records Center.

System manager(s) and address:

Director of Financial Management, 99 SE. 5th Street, Miami, FL 33131.

Notification procedure:

See Customs Appendix A.

Record access procedures:

See Customs Appendix A.

Contesting record procedures:

See Access, Customs Appendix A.

Record source categories:

District Directors, Port Directors, Import Control Officers, External Auditors and Other Customs Employees.

Systems exempted from certain provisions of the act:

None.

Treasury/Customs 00.219

System name:

Skills Inventory Records—Treasury/Customs.

System location:

Personnel Management Division, U.S. Customs Service, Washington, DC 20229.

Categories of individuals covered by the system:

Records are maintained in this system on Customs personnel in grades GS-13 and above.

Categories of records in the system:

Data elements to provide a complete skills profile of the employee.

Authority for maintenance of the system:

5 U.S.C. 301; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in the records may be used: (a) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains. (b) To provide information to unions recognized as exclusive bargaining representatives under the Civil Service Reform Act of 1978, 5 U.S.C. 7111 and 7114.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are maintained on a Customs Form 121 and Mag-tape.

Retrievability:

Records are indexed by name.

Safeguards:

Records are maintained in locked file and limited access to computer system.

Retention and disposal:

Records are maintained until separation of an employee from the Customs Service.

System manager(s) and address:

Director, Personnel Management Division, U.S. Customs Service, Washington, DC 20229.

Notification procedure:

See Customs Appendix A.

Record access procedures:

See Customs Appendix A.

Contesting record procedures:

See Access, Customs Appendix A.

Record source categories:

CF-121 which is prepared by the employee.

Systems exempted from certain provisions of the act:

None.

Treasury/Customs .220

System name:

Supervisory Notes and Files SF-7B—Treasury/Customs.

System location:

Records are located with the immediate supervisor or at the immediate supervisor's operating office. (See Customs Appendix A.)

Categories of individuals covered by the system:

Customs employees.

Categories of records in the system:

SF-7B card contains identical information to that contained on SF-7 card; in addition it can have attached or separately-maintained supervisory notes concerning an employee's performance on-the-job, conduct, counseling sessions, training recommended or taken, awards granted, emergency contact information, job assignments, to be used for administration resource purposes in recommending or authorizing discipline, recognition, assignment of performance rating, training, job assignments, leave requests, and/or similar matters.

Authority for maintenance of the system:

5 U.S.C. 301; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in the records may be used: (a) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains. (b) To provide information to unions recognized as exclusive bargaining representatives under the Civil Service Reform Act of 1978, 5 U.S.C. 7111 and 7114.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are stored in manila folders or special file cabinets.

Retrievability:

Records are indexed by organizational code and name.

Safeguards:

Records are stored in lockable metal filing cabinets or in a secured room. Alternative storage facilities may be employed provided they furnish an equivalent or greater degree of physical security.

Retention and disposal:

Records are retained while employee is employed, and are destroyed upon separation.

System manager(s) and address:

Director, Labor Employee Relations Division, Office of Human Resources, U.S. Customs Service, 1301 Constitution Avenue, NW., Washington, DC 20229. (See Customs Appendix A.)

Notification procedure:

Write to systems manager specifying type and location of information requested and name and provide your social security number and supervisor's name, title and office location.

Record access procedures:

Write to systems manager.

Contesting record procedures:

Write to systems manager.

Record source categories:

Form SF-50, Employee and employee's supervisors.

Systems exempted from certain provisions of the act:

None.

Treasury/Customs 00.224

System name:

Suspect Persons Index—Treasury/Customs.

System location:

U.S. Customs District Officers located at the following addresses: 620 E. 10th Avenue, Anchorage, AK 99501; 215 1st Avenue, No., Great Falls, MT 59401; 335 Merchant, Honolulu, HI 96813; 511 NW Broadway, Portland, OR 99209; 555 Battery Street, San Francisco, CA 94126; First & Marion Sts., Seattle, WA 98714.

Categories of individuals covered by the system:

Persons suspected of violation of Customs Laws.

Categories of records in the system:

Name and related file number.

Authority for maintenance of the system:

5 U.S.C. 301; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: These records and information in the records may be used: (a) To disclose pertinent information to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (b) To disclose information to a Federal, State, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit. (c) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (d) To provide information to the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings. (e) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in folders and stored in metal file cabinet.

Retrievability:

The office and building are locked during non-working hours.

Safeguards:

Alphabetical by use of cross index.

Retention and disposal:

Records are maintained and disposed of in accordance with Records Disposal Manual.

System manager(s) and address:

District Director of Customs. See location above.

Systems exempted from certain provisions of the act:

This system is exempt from 5 U.S.C. 552a (c)(3), (d)(1), (d)(2), (d)(3), (d)(4), (e)(1), (e)(4) (G), (H) and (I), and (f) of the Privacy Act pursuant to 5 U.S.C. 552a (k)(2).

Treasury/Customs .226

System name:

Television System—Treasury/Customs.

System location:

Office of Port Director, U.S. Border Station, San Ysidro, CA 92073.

Categories of individuals covered by the system:

Persons involved in incidents related to a secondary search and subsequent disturbance while entering the United States from Mexico.

Categories of records in the system:

An audio-video cassette recording of persons being escorted into, as well as inside, the secondary offices of the Customs area of the Port of Entry.

Authority for maintenance of the system:

5 U.S.C. 301; Treasury Department Order No. 165, revised, as amended, and the Customs Regulations.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in the records may be used: (a) To disclose pertinent information to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (b) To disclose information to a Federal, State, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit. (c) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (d) To provide information to the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings. (e) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Audio-video cassette.

Retrievability:

By subject's name, date, and time.

Safeguards:

Cassettes are under control of Port Director and released only to the courts when subpoenaed or when requested to be reviewed by subject and his attorney.

Retention and disposal:

All cassettes with incidents are retained for six months. Those on which some action may be taken are retained for one year or close of the case. Cassettes are reusable. Therefore, erasure occurs when new recording takes place.

System manager(s) and address:

Port Director, U.S. Border Station, San Ysidro, CA 92073.

Notification procedure:

See Customs Appendix A.

Record access procedures:

See Customs Appendix A.

Contesting record procedures:

See Access, above.

Record source categories:

Audio-video recording of persons being escorted into the Customs area.

Systems exempted from certain provisions of the act:

None.

Treasury/Customs .227

System name:

Temporary Importation Under Bond (TIB) Defaulter Control System—Treasury/Customs.

System location:

U.S. Customs Service, Office of Enforcement Support, 1301 Constitution Avenue, NW., Washington, DC 20229.

Categories of individuals covered by the system:

Individuals who have been denied T.I.B. privileges because of failure to pay outstanding liquidated damages.

Categories of records in the system:

Individual's name, personal identifying numbers and characteristics, address, company and case description, etc.

Authority for maintenance of the system:

5 U.S.C. 301; Treasury Department Order No. 165, revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in the records may be used:

(a) To disclose pertinent information to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (b) To disclose information to a Federal, State, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit. (c) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (d) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

(l) Magnetic disc and tape storage; (2) Hard Copy; (3) Microfiche files.

Retrievability:

Indexing is by violator name.

Safeguards:

All inquiries are made by officers with full field background investigations on a "need to know" basis only. Procedural and physical safeguards are utilized such as accountability and receipt records, guards patrolling the area, restricted access and alarm protection systems, special communications security, etc.

Retention and disposal:

Records are disposed of in accordance with the requirements of the Treasury Records Control Manual.

System manager(s) and address:

Assistant Commissioner, Office of Enforcement Support, U.S. Customs Service, 1301 Constitution Avenue, NW., Washington, DC 20229.

Notification procedure:

See Customs Appendix A.

Record access procedures:

See Customs Appendix A.

Contesting record procedures:

See Access, above.

Record source categories:

Customs officers completing Customs Form 164 (TECS-TIB Defaulter Control).

Systems exempted from certain provisions of the act:

None.

Treasury/Customs .228

System name:

Temporary Importation Violation Record—Treasury/Customs.

System location:

Fines, Penalties and Forfeitures Section, Room 102, U.S. Customhouse, Second and Chestnut Streets, Philadelphia, PA 19106.

Categories of individuals covered by the system:

Persons making importations against Temporary Importation Bonds.

Categories of records in the system:

The record reveals the individual's or customhouse broker's name, case number assigned and date, amount of penalty incurred, mitigated sum or remission and date closed. The record results in a summary of repetitive violations by any one individual, firm or customhouse broker and disciplinary action toward reduction or elimination of violations.

Authority for maintenance of the system:

5 U.S.C. 301: Treasury Department Order No. 165, revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in the records may be used: (a) To disclose pertinent information to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (b) To disclose information to a Federal, State, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit. (c) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (d) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Temporary Importation Record Cards are filed alphabetically in an unlocked metal file cabinet.

Retrievability:

Each record card is filed alphabetically within the metal cabinet.

Safeguards:

The metal cabinet described above is maintained within the area assigned to the Fines, Penalties and Forfeitures Section in Room 102, of the Customhouse, Philadelphia, PA; during non-working hours, access to the building and area of storage is controlled by uniformed guards.

Retention and disposal:

Temporary Importation Record Cards are retained at location for three years, then destroyed.

System manager(s) and address:

District Director of Customs, Room 102, U.S. Customhouse, Second and Chestnut Streets, Philadelphia, PA 19106.

Notification procedure:

See Customs Appendix A.

Record access procedures:

See Customs Appendix A.

Contesting record procedures:

See Access, above.

Record source categories:

The information contained on the cards originated from liquidated damage cases instituted for failure to comply with T.I.B. provision.

Systems exempted from certain provisions of the act:

None.

Treasury/Customs .232

System name:

Tort Claims Act File—Treasury/Customs.

System location:

Office of the Regional Counsel, Room 7422, New Federal Building, 300 N. Los Angeles Street, Los Angeles, CA 90053; Regional Counsel of Customs, 6 World Trade Center, New York, NY 10048; Office of the Regional Counsel, U.S. Customs Service, North Central Region, 55 E. Monroe Street, Room 1417, Chicago, IL 60603; Office of Regional Counsel, Suite 1220, 500 Dallas Street, Houston, TX 77002; Office of the Chief Counsel, U.S. Customs Service Headquarters, 1301 Constitution Avenue, NW, Washington, DC 20229; Office of District Counsel, 555 Battery Street, San Francisco, CA 94126; and Office of District Counsel, 909 First Avenue, Seattle, Washington, 98174.

Categories of individuals covered by the system:

Private persons who have filed or may file claims under the Federal Tort Claims Act for property damage or personal injury allegedly caused by a wrongful or negligent act or omission on the part of a Customs Service employee while acting within the scope of his employment.

Categories of records in the system:

Reports of Investigation regarding accidents involving Customs employees, documents relating to the administrative handling of the claims filed thereon, and documents submitted by the claimant in support of the claim.

Authority for maintenance of the system:

28 U.S.C. 2672, et seg; 28 CFR 14.1, et seq; 31 CFR 3.1, et seq; Treasury Department Administrative Circular No. 131, dated August 19, 1965.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in the records may be used: (a) To disclose pertinent information to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (b) To disclose information to a Federal, State, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit. (c) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (d) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Each case file is inserted in a numerical file folder which is filed in an unlocked drawer within a metal container.

Retrievability:

Each case file is identified in the numerical file folder within the metal container by the name of the person who has filed or may file a claim.

Safeguards:

During non-working hours the room in which the metal container is located is locked, and access to the building is controlled at all times by uniformed guards.

Retention and disposal:

Tort claim files are retained until there is no longer any space available for them within the metal container, at which time the oldest closed files are transferred to the Federal Records Centers.

System manager(s) and address:

Regional Counsel, Room 7422, United States Customs Service, 300 N. Los Angeles Street, Los Angeles, CA 90053; Regional Counsel, U.S. Customs Service, 6 World Trade Center, New York, NY 10048; Regional Counsel of Customs, Room 1417, U.S. Customs Service, 55 E. Monroe Street, Chicago, IL 60603; Regional Counsel, Suite 1220, U.S. Customs Service, 500 Dallas Street, Houston, TX 77002; Chief Counsel, U.S. Customs Service Headquarters, 1301 Constitution Avenue, NW, Washington, DC 20229; Office of District Counsel, 55 Battery Street, San Francisco, CA 94126; and Office of District Counsel, 909 First Avenue, Seattle, Washington 98174.

Notification procedure:

See Customs Appendix A.

Record source categories:

The information contained in these files originates with a Standard Form 95 (Claim for Damage or Injury) which is completed and filed with the Customs Service by the claimant. Using these forms as a basis, investigations are conducted by authorized Customs Service investigative personnel in order to determine the facts surrounding the claims. During these investigations information may be elicited from Customs Service employees, private persons, or any other parties who may have information regarding the facts surrounding the claims. When a claim is not filed, the information is limited to the investigative reports of the property damage or personal injury.

Systems exempted from certain provisions of the act:

This system is exempt from 5 U.S.C. 552a (c)(3), (d)(1), (d)(2), (d)(3), (d)(4), (e)(1), (e)(4) (G), (H) and (I), and (f) of the Privacy Act pursuant to 5 U.S.C. 552a (k)(2).

Treasury/Customs .234

System name:

Tort Claims Act File—Treasury/Customs.

System location:

Offices of the District Directors, North Central Region, Chicago, IL 60603. (See Customs Appendix A.)

Categories of individuals covered by the system:

All individuals presenting claims of damage to personal property resulting from Customs activities.

Categories of records in the system:

Written damage claims supported by estimates, bills, claim forms and internal Customs Service memoranda.

Authority for maintenance of the system:

31 CFR Part 3; 5 U.S.C. 301; Treasury Department Order No. 165, revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in the records may be used: (a) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Filed in cabinets in the District Directors offices.

Retrievability:

Folders filed in alphabetical sequence.

Safeguards:

File cabinets are located within the area assigned in the Customs office. During non-working hours the room in which the cabinets are located is locked.

Retention and disposal:

Retained in District Directors offices for three years then transferred to the Federal Records Centers for seven years and three months prior to destruction.

System manager(s) and address:

District Director as appropriate in the North Central Region, Chicago, IL. (See Customs Appendix A.)

Notification procedure:

See Customs Appendix A.

Record access procedures:

See Customs Appendix A.

Contesting record procedures:

See Access, above.

Record source categories:

The information in this system originates with a written claim submitted by the claimant, as well as information supplied on Standard Form 95 and internal Customs memoranda.

Systems exempted from certain provisions of the act:

None.

Treasury/Customs .238

System name:

Training and Career Individual Development Plans—Treasury/Customs.

System location:

Located in the Personnel Management Division of each region and headquarters and/or district, ports, and post of duty of employees.

Categories of individuals covered by the system:

All U.S. Customs employees.

Categories of records in the system:

Records are maintained on training or other development activities completed and/or planned for individual employees, whether for programs such as Executive Development or Upward Mobility, or other special emphasis development programs. Records also include such things as, but not limited to skills, abilities, education, experience, career plans and goals, and other related information.

Authority for maintenance of the system:

5 U.S.C. 301; Treasury Department Order No. 165, revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in the records may be used: (a) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains. (b) To provide information to unions recognized as exclusive bargaining representatives under the Civil Service Reform Act of 1978, 5 U.S.C. 7111 and 7114.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are located in file folders, and/or official personnel folder.

Retrievability:

Records are indexed by name.

Safeguards:

Records are maintained in locked file or office.

Retention and disposal:

Records are retained until separation or until employee is no longer part of a special emphasis program.

System manager(s) and address:

Director, Personnel Management Division, in each region and headquarters.

Notification procedure:

See Customs Appendix A.

Record access procedures:

See Customs Appendix A.

Contesting record procedures:

See Access, above.

Record source categories:

Information is obtained from the employee and supervisors.

Systems exempted from certain provisions of the act:

None.

Treasury/Customs .239

System name:

Training Records—Treasury/Customs.

System location:

Scheduling Office, U.S. Customs Service Academy, FLETC.

Categories of individuals covered by the system:

Customs employees who have completed training.

Categories of records in the system:

Standard Form 182, Request Authorization, Agreement and Certification of training. Selected information also recorded in individuals permit record, and a copy of the form is filed in the individual's official personnel folder.

Authority for maintenance of the system:

5 U.S.C. 301; Treasury Department Order No. 165, revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in the records may be used: (a) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains. (b) To provide information to unions recognized as exclusive bargaining representatives under the Civil Service Reform Act of 1978, 5 U.S.C. 7111 and 7114.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are maintained in file folders, on file cards, on Training forms, or on discs.

Retrievability:

Records are indexed by name.

Safeguards:

Records are maintained in a locked file or room, or with limited access.

Retention and disposal:

Records are maintained for up to three years after employee separates from the Service.

System manager(s) and address:

National Director of Training, U.S. Customs SVC Academy, FLETC.

Notification procedure:

U.S. Customs Service Academy, Building 70—FLETC, Glynco, GA 31524.

Record access procedures:

U.S. Customs Service Academy, Building 70—FLETC, Glynco, GA 31524.

Contesting record procedures:

U.S. Customs Service, Director, Office of Human Resources, 1301 Constitution Avenue, NW., Washington, DC 20229.

Record source categories:

Information for this file is obtained from supervisors, managers, instructors, educational institutions, and/or training facilities such as the Office of Personnel Management, Department of the Treasury, etc.

Systems exempted from certain provisions of the act:

None.

Treasury/Customs .243

System name:

Travel Payment System—Treasury/Customs.

System location:

U.S. Customs Service, National Finance Center, 6026 Lakeside, Indianapolis, IN 46268.

Categories of individuals covered by the system:

Customs Service employees who travel on official business. Private individual traveling on behalf of U.S. Customs Service.

Categories of records in the system:

Travel authorizations, travel vouchers, and travel advance records, which contain the employee's name, residence, place and mode of travel, travel dates, month of travel advance, expenses incurred, amount of travel advance, amount of advance outstanding and division code.

Authority for maintenance of the system:

5 U.S.C. 301; Treasury Department Order No. 165, revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in the records may be used: (a) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains; (b) To provide information to unions recognized as exclusive bargaining representatives under the Civil Service Reform Act of 1978, 5 U.S.C. 7111 and 7114; (c) To disclose to another federal agency information to effect inter-agency salary offset; (d) To disclose another federal agency information to effect inter-agency administrative offset. However, no IRS obtained address shall be disclosed to another federal agency; (e) To disclose a consumer reporting agency information to obtain commercial credit reports; (f) and to disclose a debt collection agency information for debt collection services. Current mailing addresses acquired from the Internal Revenue Service which become a part of this system are routinely released to consumer reporting agencies to obtain credit reports and to debt collection agencies for collection services.

Routine users outside the Department are other federal agency personnel offices: The Office of Personnel Management, U.S. Department of Labor, Office of Employees Compensation; State unemployment offices; union representatives, arbitrators, and other third-parties who have responsiblities under a Customs Service-union contract or Executive Order 11491, as amended, for the administration of the Federal labor-management in relations program as described in the routine use; creditors; Federal agencies; consumer reporting agencies to obtain credit reports; debt collection agencies; Members of Congress; next-of-kin; and voluntary guardian and other representative or successor in interest.

Disclosure to consumer reporting agencies:

Disclosures pursuant to 5 U.S.C. 552a(b)(12) and Section 3 of the Debt Collection Act of 1982: Debt information concerning a Government claim against an individual is also furnished, in accordance with 5 U.S.C. 552a(b)(12) and Section 3 of the Debt Collection Act of 1982 (Pub. L. 97-365), to consumer reporting agencies to encourage repayment of an overdue debt.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

The information in this system is contained on index cards placed within a file box, in file folders or on separate sheets of paper within a metal container and in a computer system utilizing magnetic disc storage techniques, and on microfiche maintained within the National Finance Center.

Retrievability:

The information is filed alphabetically by the name of the traveling individual; each file folder is placed within the metal container alphabetically by the name of the traveling individual to whom it pertains; the separate sheets of paper are grouped in disbursement schedule number sequence by consecutive numbers and dates showing a listing of payments to travelers; the computer records are retrieved by the accounting number assigned by the Customs Service for each separate travel transaction.

Safeguards:

The room in which this system of records is located is locked during non-working hours, the building is protected by an alarm service, and only authorized persons are permitted within the building.

Retention and disposal:

The records in this system are retained and disposed of in accordance with the requirements of the Records Control Manual.

System manager(s) and address:

Directors, U.S. Customs Service National Finance Center, 6026 Lakeside Boulevard, Indianapolis, IN 46268; Management Divisions in each region and headquarters. (See Appendix A for addresses.)

Notification procedure:

Director, U.S. Customs Service, National Finance Center, 6026 Lakeside Boulevard, Indianapolis, IN 46268.

Record access procedures:

See Customs Appendix A.

Contesting record procedures:

See Access, above.

Record source categories:

The information in this system is derived from information supplied by the traveling individual and from organizational and accounting information maintained by the Customs Service.

Systems exempted from certain provisions of the act:

None.

Treasury/Customs .244

System name:

Treasury Enforcement Communications System (TECS)—Treasury/Customs.

System location:

Office of Enforcement, U.S. Customs Service, 1301 Constitution Avenue, NW., Washington, DC 20229.

Categories of individuals covered by the system:

(1) Violators or suspected violators of U.S. Customs or related laws (some of whom have been apprehended by Customs officers); (2) Individuals who are suspected of, or who have been arrested for, thefts from international commerce; (3) Convicted violators of U.S. Customs and/or drug laws in the United States and foreign countries; (4) Fugitives with outstanding warrants—Federal or state; (5) Victims of U.S. Customs law violations; (6) Masters associated, in the capacity of ship agent or representative, with vessels in actual or suspected violation of U.S. Customs and related laws.

Categories of records in the system:

Every possible type of information which contributes to effective law enforcement may be maintained in this system of records. Records include but are not limited to records pertaining to known violators, wanted persons, lookouts (temporary and permanent), and document reference records, vessel names and search results. Information about individuals includes but is not limited to name, alias, date of birth, address, physical description, various identification numbers (i.e., seizure number), details and circumstances of a search, arrest, or seizure, case information such as merchandise and values, methods of theft, etc.

Authority for maintenance of the system:

5 U.S.C. 301; Treasury Department Order No. 165, revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in the records may be used: (a) To disclose pertinent information to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (b) To disclose information to a Federal, State, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit. (c) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (d) To provide information to the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings. (e) To provide information to third parties during the course of an investigation to the extent necessary obtain information pertinent to the investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Magnetic disc and tape, microfiche, and hard copy.

Retrievability:

By name (individual or master, owner, or agent name when concerning vessel violation profile); unique identifiers, identification numbers (i.e. personal, seizure number, system identification number); cargo location code or vessel name.

Safeguards:

(1) All officers making inquiries have had a full field background investigation and are given information on a "need to know" basis only. (2) Procedural and physical safeguards are utilized such as accountability and receipt records, guards patrolling the area, restricted access and alarm protection systems, special communications security, etc.

Retention and disposal:

Review is accomplished by Customs officers each time a record is retrieved and on a periodic basis to see if it should be retained or modified. Since both temporary and permanent records are maintained, period of retention will vary with type record entered. The records are disposed of by erasure of magnetic tape or disc, and by shredding and/or burning of hard copy documents.

System manager(s) and address:

Assistant Commissioner, Office of Border Enforcement, U.S. Customs Service, 1301 Constitution Avenue, NW., Washington, DC 20229.

Systems exempted from certain provisions of the act:

This system is exempt from 5 U.S.C. 552a (c)(3), (c)(4), (d)(1), (d)(2), (d)(3), (d)(4), (e)(1), (e)(2), (e)(3), (e)(4) (G), (H) and (I), (5) and (8), (f) and (g) of the Privacy Act pursuant to 5 U.S.C. 552a (j)(2) and (k)(2).

Treasury/Customs .249

System name:

Uniform Allowances—Unit Record—Treasury/Customs.

System location:

Financial Management Division, 99 SE. 5th Street, Miami, FL 33131; Management Services Branch, Administration Division, District Director, San Juan, PR 00903; Financial Management Division, U.S. Customs Service, Northeast Region, 100 Summer Street, Boston, MA 02110.

Categories of individuals covered by the system:

U.S. Customs Employees.

Categories of records in the system:

Name—Record of Uniform Allowance payments.

Authority for maintenance of the system:

5 U.S.C. 301; Treasury Department Order No. 165, revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in the records may be used: (a) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains. (b) To provide information to unions recognized as exclusive bargaining representatives under the Civil Service Reform Act of 1978, 5 U.S.C. 7111 and 7114.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Files are maintained in an unlocked drawer within a metal file cabinet.

Retrievability: Alphabet by name. Appropriation Accounting Document Number.

Safeguards: The metal container described above is maintained within the area assigned to the Financial Management Division within the Customs Service Building. During non-working hours the room in which the metal container is located is locked and access to the building is controlled by uniformed guards.

Retention and disposal: These files are retained as prescribed by GAO Regulations or until there is no longer any space available for them within the metal container, at which time the oldest files are transferred to the Federal Records Centers.

System manager(s) and address:

Direction of Financial Management, 99 SE. 5th Street, Miami, FL 33131; District Director, U.S. Customs Service, P.O. Box 2112, Old San Juan, PR 00903; Director, Financial Management Division, U.S. Customs Service, 100 Summer Street, Boston, MA 02110.

Notification procedure: See Customs Appendix A.

Record access procedures:

See Customs Appendix A.

Contesting record procedures: See Access, above.

Record source categories: From Memoranda received from Districts. Data transcribed from payment vouchers.

Systems exempted from certain provisions of the act: None.

Treasury/Customs .251

System name: Unscheduled Overtime Report (Customs Form 31)—Treasury/Customs.

System location: Director, Office of Operations, 6 World Trade Center, Room 508, New York, NY 10048.

Categories of individuals covered by the system: Special Agents assigned to the office of Regional Director of Investigations authorized to receive unscheduled overtime remuneration.

Categories of records in the system: Customs Form 31 enumerates the nature of overtime performed, the number of hours and the date on which the overtime was performed and the case number of investigation.

Authority for maintenance of the system: 5 U.S.C. 301; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in the records may be used: (a) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains. (b) To provide information to unions recognized as exclusive bargaining representatives under the Civil Service Reform Act of 1978, 5 U.S.C. 7111 and 7114.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: The information in this system is contained on CF 31, the forms are contained within a file folder and are placed in a metal file cabinet.

Retrievability: By name.

Safeguards: The file cabinet is maintained within the area assigned to the Regional Director of Investigations, New York, within the Customhouse. During non-working hours the complex in which the file is located is locked and access to the building is controlled at all times by uniform guards.

Safeguards: The forms are destroyed after three (3) years.

System manager(s) and address:

Regional Director of Investigations. (See Customs Appendix A.)

Notification procedure:

See Customs Appendix A.

Record access procedures:

See Customs Appendix A.

Contesting record procedures:

See Access, Customs Appendix A.

Record source categories:

The information in this system originates from the Special Agent who performs the unscheduled overtime.

Systems exempted from certain provisions of the act: None.

Treasury/Customs .252

System name:

Valuables Shipped Under the Government Losses in Shipment Act—Treasury/Customs.

System location:

District Director of Customs, 610 S. Canal Street, Chicago, IL 60607.

Categories of individuals covered by the system:

Customs employees collecting and transmitting funds to cashier for deposit.

Categories of records in the system:

Name of employee, collection document serial numbers, amount of collection.

Authority for maintenance of the system:

Section 300.30, Customs Accounting Manual; 5 U.S.C. 134f; 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in the records may be used:

(a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Filed in folders with the individual's name appearing at the top thereof in a file cabinet.

Retrievability:

Each record folder is filed by name of individual.

Safeguards:

The cabinet described above is maintained within the area assigned in the Customs office. During non-working hours the area in which the cabinet is located is secured.

Retention and disposal:

Retained for three years and then forwarded to FRC for seven years retention.

System manager(s) and address:

District Director, as appropriate, in the North Central Region, Chicago, IL.

Notification procedure:

See Customs Appendix A.

Record access procedures:

See Customs Appendix A.

Contesting record procedures:

See Access, Customs Appendix A.

Record source categories:

Data submitted by individual Customs employee involved.

Systems exempted from certain provisions of the act:

None.

Treasury/Customs .258

System name:

Violator's Case Files—Treasury/Customs.

System location:

District Director of Customs, U.S. Customs Service, Main and Stebbins Streets, St. Albans, VT 05478.

Categories of individuals covered by the system:

Individuals involved in smuggling, filing false invoices, documents or statements, violators of Customs bonds.

Categories of records in the system:

Individual's name and address, Social Security number and physical description; alias, occupation, type of violation, previous record, driver's license, passport number.

Authority for maintenance of the system:

5 U.S.C. 301; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in the records may be used: (a) To disclose pertinent information to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (b) To disclose information to a Federal, State, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit. (c) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (d) To provide information to the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings. (e) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File folders and 3 x 5 index cards.

Retrievability:

Alphabetized by name of individual and local control number.

Safeguards:

Files are under the supervision of Fines, Penalties and Forfeitures Officer from 8 a.m. to 5 p.m., Monday through Friday. All other hours, office remains locked.

Retention and disposal:

Files are maintained in the office of the Fines, Penalties, and Forfeitures Officer for a period of five years. At the conclusion of this period, they are destroyed by shredding.

System manager(s) and address:

District Director, U.S. Customs Service, St. Albans, VT 05478.

Systems exempted from certain provisions of the act:

This system is exempt from 5 U.S.C. 552a (c)(3), (d)(1), (d)(2), (d)(3), (d)(4), (e)(1), (e)(4) (G), (H) and (I), and (f) of the Privacy Act pursuant to 5 U.S.C. 552a (k)(2).

Treasury/Customs .260

System name:

Warehouse Proprietor Files—Treasury/Customs.

System location:

Offices of District Directors, North Central Region, Chicago, IL 60603. (See Customs Appendix A.)

Categories of individuals covered by the system:

Present and past warehouse proprietors and employees that require an investigation and related information.

Categories of records in the system:

Report of investigations, application and approval or denial of bond to act as warehouse proprietor and other Customs Service Memoranda. Names, addresses, Social Security numbers, and dates and places of birth of persons employed.

Authority for maintenance of the system:

Customs Regulations, Part 19, 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in the records may be used: (a) To disclose pertinent information to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (b) To disclose information to a Federal, State, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit. (c) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (d) To provide information to the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings. (e) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are maintained in file folders and stored in file cabinets in each District Director's office within the North Central Region, Chicago, IL 60603.

Retrievability:

Each file is identified by the name of the warehouse proprietor.

Safeguards:

The file cabinets are maintained within the area assigned to the District Director. During non-working hours the room and/or building in which the file cabinet is located is locked.

Retention and disposal:

Employee name data retained for period of employment with warehouse proprietor.

System manager(s) and address:

District Director, as appropriate in the North Central Region, Chicago, IL 60603. (See Customs Appendix A.)

Notification procedure:

See Customs Appendix A.

Record source categories:

The information in this file originates from the individual applicant for warehouse proprietor's bond, from reports of investigation, and other Customs Memoranda.

Systems exempted from certain provisions of the act:

This system is exempt from 5 U.S.C. 552a (c)(3), (d)(1), (d)(2), (d)(3), (d)(4), (e)(1), (e)(4) (G), (H) and (I), and (f) of the Privacy Act pursuant to 5 U.S.C. 552a (k)(2).

Treasury/Customs .262

System name:

Warnings to Importers in lieu of penalty—Treasury/Customs.

System location:

Located in the Office of the District Director, 880 Front Street, San Diego, CA 92318; Offices of the Port Directors, U.S. Border Station, San Ysidro, CA 92073; P.O. Box 189, Tecate, CA 92080; P.O. Box 632, Calexico, CA 92231; 235 Andrade Road, Winterhaven, CA 92283; Andrade, CA; San Diego Barge Office.

Categories of individuals covered by the system:

Individuals and firms in violation of Customs' laws.

Categories of records in the system:

Brief record of violation and warning.

Authority for maintenance of the system:

5 U.S.C. 301; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in the records may be used: (a) To disclose pertinent information to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (b) To disclose information to a Federal, State, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit. (c) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (d) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained on 5 x 7 cards.

Retrievability:

Alphabetically indexed.

Safeguards:

Not accessible to other than Customs officers.

Retention and disposal:

The records are disposed of in accordance with the Treasury Records Control Manual.

System manager(s) and address:

District Director, Port Directors, and Division Directors within the San Diego Customs District. (See Customs Appendix A.)

Notification procedure:

See Customs Appendix A.

Record access procedures:

See Customs Appendix A.

Contesting record procedures:

See Access, Customs Appendix A.

Record source categories:

Customs Officials.

Systems exempted from certain provisions of the act:

None.

Treasury/Customs .268

System name:

Military Personnel and Civilian Employees' Claims Act File—Treasury/Customs.

System location:

Office of the Regional Counsel, Suite 1220, 500 Dallas Street, Houston, TX 77002.

Categories of individuals covered by the system:

Current or former Customs employees filing claims under the Military Personnel and Civilian Employees' Claims Act of 1964.

Categories of records in the system:

Documents relating to the administrative handling of the claim and documents submitted by the claimant in support of the claim.

Authority for maintenance of the system:

31 U.S.C. 240–243; 31 CFR Part 4; Treasury Department Administrative Circular No. 131, August 19, 1965; 5 U.S.C. 301; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in the records may be used: (a) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Each case file is inserted alphabetically in a file folder which is filed in an unlocked drawer within a metal container.

Retrievability:

Each case file is identified alphabetically in the file folder within the metal container by the name of the person who filed the claim.

Safeguards:

The metal container described above is maintained within the area assigned to the Office of the Regional Counsel (12th floor), 500 Dallas Street, Houston, TX 77002. During non-working hours the room in which the metal container is located is locked, and access to the building is controlled at all times by uniformed security guards provided by the lessor.

Retention and disposal:

These files are retained until closed at which time the closed files are transferred to the Director, Logistics Management Division, Office of the Regional Commissioner, Houston, TX, for ultimate transportation to the Federal Record Center.

System manager(s) and address:

Regional Counsel, Suite 1220, United States Customs Service, 500 Dallas Street, Houston, TX 77002.

Notification procedure:

See Customs Appendix A.

Record access procedures:

See Customs Appendix A.

Contesting record procedures:

See Access, Customs Appendix A.

Record source categories:

The information contained in these files originates with the Treasury Department Form No. 3079, Civilian Employee Claim For Loss or Damage to Personal Property, which is completed and filed with the Customs Service by the claimant. Additional information contained in these files may be separately provided by the claimant or by the claimant's supervisor.

Systems exempted from certain provisions of the act:

None.

Treasury/Customs .269

System name:

Accounts Payable Voucher File—Treasury/Customs.

System location:

Financial Management Division, U.S. Customs Service, South Central Region, 1440 Canal Street, New Orleans, LA 70112.

Categories of individuals covered by the system:

All South Central Region personnel to whom travel and other disbursements are made. All individuals who provide goods and services to the South Central Region.

Categories of records in the system:

Invoices and travel/other vouchers and supporting disbursements schedules.

Authority for maintenance of the system:

5 U.S.C. 301; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in the records may be used: (a) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains. (b) To provide information to unions recognized as exclusive bargaining representatives under the Civil Service Reform Act of 1978, 5 U.S.C. 7111 and 7114.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File folders in unlocked file cabinets.

Retrievability:

By name.

Safeguards:

Usage limited to Regional personnel; cabinets are located in rooms which are locked during non-working hours.

Retention and disposal:

In accordance with Records Control Manual; records are disposed of when no longer needed.

System manager(s) and address:

Director, Financial Management Division, U.S. Customs Service, South Central Region, 1440 Canal Street, New Orleans, LA 70112.

Notification procedure:

See Customs Appendix A.

Record access procedures:

See Customs Appendix A.

Contesting record procedures:

See Access, Customs Appendix A.

Record source categories:

Invoices and travel/other vouchers submitted by the individual.

Systems exempted from certain provisions of the act:

None.

Treasury/Customs .270

System name:

Background—Record File of Non-Customs Employees—Treasury/Customs.

System location:

Offices of District Directors, For addresses. (See Customs Appendix A.)

Categories of individuals covered by the system:

Present and past non-Customs personnel requiring a background investigation to gain admittance to restricted U.S. Customs premises.

Categories of records in the system:

Report of background investigations, names, addresses, Social Security numbers and date and place of birth, etc. of non-Customs employees.

Authority for maintenance of the system:

5 U.S.C. 301; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in the records may be used: (a) To disclose pertinent information to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (b) To disclose information to a Federal, State, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit. (c) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (d) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are maintained in file folders and stored in file cabinets in each District Director's office within the North Central Region, Chicago, IL 60603.

Retrievability:

Each file is identified by the name of the non-Customs employee.

Safeguards:

The file cabinets are maintained within the area assigned to the District Director. During non-working hours the room and/or building in which the file cabinet is located is locked.

Retention and disposal:

Employee name data is retained during the period the non-Customs employee requires admittance to restricted areas.

System manager(s) and address:

District Directors, of Customs (For addresses, see United States Customs Service—Appendix A.)

Notification procedure:

See Customs Appendix A.

Record access procedures:

See Customs Appendix A.

Contesting record procedures:

See Access, Customs Appendix A.

Record source categories:

The information in this file originates from the individual non-Customs employee working for a private contractor who requires admittance to restricted U.S. Customs premises, from reports of background investigation which include interviews of Customs personnel and private parties and from other Customs internal documents.

Systems exempted from certain provisions of the act:

This system is exempt from 5 U.S.C. 552a (c)(3), (c)(4), (d)(1), (d)(2), (d)(3), (d)(4), (e)(1), (e)(2), (e)(3), (e)(4)(G), (H) and (I), (5) and (8), (f) and (g) of the Privacy Act pursuant to 5 U.S.C. 552a (j)(2) and (k)(2).

Treasury/Customs .271

System name:

Cargo Security Record System—Treasury/ Customs.

System location:

District Director, 600 South Street, New Orleans, LA 70130; District Director, P.O. Box 2748, Mobile, AL 36601.

Categories of individuals covered by the system:

Drivers of motor vehicles of licensed cartmen and lightermen; properties and operators of each class of Customs bonded warehouse and their employees.

Categories of records in the system:

Records on drivers of motor vehicles contain information relating to personal statistical data, physical characteristics, history of past employments, previous five years residences, alias (if any), citizenship, military records, criminal record other than traffic violations, use of narcotic drugs, and photograph. Name of operator of bonded warehouse and employees.

Authority for maintenance of the system:

5 U.S.C. 301; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in the records may be used: (a) To disclose pertinent information to appropriate Federal, State, local, or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (b) To disclose information to a Federal, State, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit. (c) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (d) To provide information to the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings. (e) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File folder with Customs Form 3078, Customs Form 73, Photographs, and correspondence; For bonded warehouses, file folder contains customs Form 3581 and names, addresses, and Social Security number of all employees; all stored in metal file cabinet. Alphabetical list of current I.D. cards issued on drivers retained in file folder and stored in desk drawer.

Retrievability:

By individual name or corporate name.

Safeguards:

Unlocked metal file cabinet and desk drawer of customs employee; building secured after hours.

Retention and disposal:

Information on drivers is retained in an active file until revoked or canceled. After revocation or cancellation, the information folder is placed in an inactive file for a period of five years, after which time the records are disposed of in accordance with the General Services Administration Records Disposal Manual. Information on proprietor bonded warehouse operators and employees is retained on file until Customs bonded operations cease and are discontinued, then are maintained in an inactive file for a period of three years. Final disposition is in accordance with the GSA Records Disposal Manual.

System manager(s) and address:

District Director, 600 South Street, New Orleans, LA 70130; District Director, P.O. Box 2748, Mobile, AL 36601.

Notification procedure:

See Customs Appendix A.

Record access procedures:

See Customs Appendix A.

Contesting record procedures:

See Access, Customs Appendix A.

Record source categories:

Information is obtained from applicant (individual or corporation) and from reports of investigation on drivers obtained from Regional Director, Investigations, U.S. Customs Service.

Systems exempted from certain provisions of the act:

This system is exempt from 5 U.S.C. 552a(c)(3), (d)(1), (d)(2), (d)(3), (d)(4), (e)(1), (e)(4) (G), (H) and (I), and (f) of the Privacy Act pursuant to 5 U.S.C. 552a(k)(2).

Treasury/Customs .272

System name:

Currency Declaration File (Customs Form 4790)—Treasury/Customs.

System location:

One or more offices of District Directors of Customs or suboffices under the District Director's jurisdiction (for addresses of District Directors, see Customs Appendix A).

Categories of individuals covered by the system:

Individuals departing from or entering the country who filed Customs Form 4790.

Categories of records in the system:

Name, identifying number, birth date, address, citizenship, visa date and place, immigration alien number, kinds and amounts of monetary instruments, address in the United States or abroad, passport number and country, and arrival or departure information.

Authority for maintenance of the system:

31 U.S.C. 1101; 5 U.S.C. 301; Treasury Department Order No. 165, revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Disclosures are not made outside the Department.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

The Form 4790 is maintained in a file folder or binder in an open storage rack.

Retrievability:

They are indexed and filed by name in the folder or binder.

Safeguards:

The office and building are locked during non-working hours.

Retention and disposal:

The records are retained from one to five years and then destroyed.

System manager(s) and address:

District Directors of Customs.

Notification procedure:

See Customs Appendix A.

Record access procedures:

See Customs Appendix A.

Contesting record procedures:

See Access, Customs Appendix A.

Record source categories:

The information on the Customs Form 4790 originates from the individual or Customs agent reporting the bringing in or taking out of currency or monetary instruments exceeding 10,000.

Systems exempted from certain provisions of the act:

None.

Treasury/Customs .273

System name:

Employee Debts—Treasury/Customs.

System location:

Financial Management Division, U.S. Customs Service, 100 Summer Street, Boston, MA 02110.

Categories of individuals covered by the system:

Employees involved in transfer within the Government for which the Government is pursuing collection for overpayment of travel expenses or overpayment for maintaining uniforms.

Categories of records in the system:

Records reflecting the documents involved in the overpayment and correspondence with the employee involved and his representative.

Authority for maintenance of the system:

5 U.S.C. 301; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in the records may be used: (a) To disclose pertinent information to appropriate Federal, State, local, or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (b) To disclose information to a Federal, State, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit. (c) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (d) To provide information to the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings. (e) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Data is stored in a file folder located in a file cabinet under the physical security of the Operating Accountant.

Retrievability:

Records are indexed by name.

Safeguards:

The file is located within an office that is locked during non-working hours. The building is guarded by uniformed security police and only authorized persons are permitted entry to the building.

Retention and disposal:

The file is retained until the debt is collected and then destroyed. Unusual cases are retained as a reference for similar type cases.

System manager(s) and address:

Director, Financial Management Division, U.S. Customs Service, 100 Summer Street, Boston, MA 02110.

Notification procedure:

See Customs Appendix A.

Record access procedures:

See Appendix A.

Contesting record procedures:

See Access, Customs Appendix A.

Record source categories:

The information contained in the system originates from the employee, other Regions of Customs, and the Payment Section of the Financial Management Division.

Systems exempted from certain provisions of the act:

None.

Treasury/Customs .274

System name:

Importers, Brokers, Carriers, Individuals and Sureties Master Files—Treasury/Customs.

System location:

Financial Management Division, 99 SE 5th Street, Miami, FL 33131.

Categories of individuals covered by the system:

Brokers, Importers, Individuals, Carriers, and Sureties.

Categories of records in the system:

Copies of correspondence incoming and outgoing, copies of bonds, entries, bills, data center listings.

Authority for maintenance of the system:

5 U.S.C. 301; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information may be used: (a) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Files are maintained in an unlocked drawer within a metal file cabinet.

Retrievability:

Alphabetical by name appearing on correspondence.

Safeguards:

The metal container described above is maintained within the area assigned to the Financial Management Division within the Customs Service Building. During non-working hours the room in which the metal container is located is locked.

Retention and disposal:

These files are retained until there is no longer any space available for them within the metal container, at which time the oldest files are transferred to the Federal Records Center.

System manager(s) and address:

Director of Financial Management, 99 SE 5th Street, Miami, FL 33131.

Notification procedure:

See Customs Appendix A.

Record access procedures:

See Customs Appendix A.

Contesting record procedures:

See Access, Customs Appendix A.

Record source categories:

Correspondence, Customs Service Data Center, Districts and Ports.

Systems exempted from certain provisions of the act:

None.

Treasury/Customs .277

System name:

Drivers License File—Treasury/Customs.

System location:

Logistics Management Division, U.S. Customs Service, 211 Main Street, San Francisco, CA 94105.

Categories of individuals covered by the system:

Present and past employees.

Categories of records in the system:

Personal information furnished by employee before being issued a government drivers license. It may also include information from National Driver Register Service if they have any information on the individual.

Authority for maintenance of the system:

5 U.S.C. 301; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in the records may be used: (a) To disclose to National Driver Register Service to determine whether they have any information on the individual which would concern the employee's suitability for receiving a government drivers license. (b) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

The information in this system is contained on Standard Form 47 (physical fitness inquiry for motor vehicle operators) and Treasury Form 2770 (application for motor vehicle operator's ID card and operator's record). These forms are kept in a desk file.

Retrievability:

Each set of forms for a particular employee is numbered and those numbers are shown on an index sheet as pertaining to the particular employee.

Safeguards:

The desk in which the records are kept is within an office which is locked during non-working hours.

Retention and disposal:

Forms are retained in this system in accordance with the requirements of the Treasury Records Control Manual. Forms of past employees who were issued drivers licenses are periodically destroyed.

System manager(s) and address:

Logistics Management Specialist, Logistics Management Division, U.S. Customs Service, 211 Main Street, San Francisco, CA 94105.

Notification procedure:

See Customs Appendix A.

Record access procedures:

See Customs Appendix A.

Contesting record procedures:

See Access, Customs Appendix A.

Record source categories:

The information in this system originates with, and consists solely of, information supplied by the applicants on forms SF-47 and form 2770. There is a possibility that in the future there will be a response from the National Driver Register Service on a particular applicant. At the present time there are none in this system of records.

Systems exempted from certain provisions of the act:

None.

Treasury Customs .278

System name:

Automated Commercial System (ACS)—Treasury/Customs.

System location:

The Computer is located in Franconia, Virginia. Computer terminals are located at Customhouses and ports throughout the United States and at U.S. Customs Headquarters, Washington DC. (For addresses of Customhouses, see Customs Appendix A.)

Categories of individuals covered by the system:

U.S. Customs Service employees and individuals involved in the import trade.

Categories of records in the system:

The system data base is comprised of commodity and merchandise processing information relating to Customs administration of trade laws. Certain portions contain no information about individuals. These are the Tariff Schedules of the United States Annotated (TSUSA) file, country file, criteria file for the selection of routine items, Team TSUSA file, district port file, fines, penalties and forfeitures files, collections files, manifest files and the entry master file. The following system files may contain information about U.S. Customs Services employees and/or individuals/companies involved in the import trade. (1) ACS Security File: Contains randomly established five-digit identification codes and passwords assigned to Customs Service employees authorized to use the system. The file consists of the names and identification of all Customs Service employees using the remote terminals to input information into the system. It does not contain Social Security numbers. The degree of access to the system varies according to the users responsibilities in the system. (2) Importer/Broker/Consignee Bond Files and FP and F Violator file: Records consist of importer of record number, importer name, type of importation bond, expiration date, surety code and violation statistics. The importer of record number is used as the method of accessing the files. The number is assigned by any one of three code formats according to availability and the following hierarchy. The first choice is the IRS Employer Identification Number (EIN). The vast majority of importers have the EIN because of the business necessity of it. The second alternative is the Social Security number (SSN). The third alternative is a Customs-assigned number. This file is referenced during entry processing to verify that the individual or company making entry is authorized to import and is properly bonded. (3) Broker Files: A record consists of a three-digit Customs-assigned Customhouse broker number (non-SSN) and the broker name. The file is referenced during entry processing to validate the broker number and to prepare and distribute output from the Automated Broker Interface (ABI) System to the individual or company concerned. Information is disclosed only to the party-of-record. (4) Surety File: A record consists of a three-digit surety code (non-SSN) assigned by the Customs Accounting Division and the surety name. The file is referenced during entry processing to validate these surety codes. No information on surety company affairs is collected or disseminated in the system. (5) Liquidator File: A record consists of a Customs-assigned three-digit liquidator identification (non-SSN) and a Customs employee's name. The employee's liquidator code is input into the system as a means of maintaining quality control and an audit trail on entries liquidated. (6) Manufacturer File: The file contains only a manufacturer code constructed using a formula based on name and address, manufacturer name and address.

Carrier File:

This file consists of carrier names and codes (non-SSN) which are 4 characters (SCAC code) for vessel carriers and 2 or 3 character (IATA) for air carriers. This code is used to validate data input to the manifest and entry processing systems.

Authority for maintenance of the system:

19 U.S.C. 66, 1448, 1481, 1483, 1484, 1505, and 1624.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in the records may be used: (a) To disclose to the Bureau of the Census by providing magnetic tapes containing foreign trade data. (b) To disclose pertinent information to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (c) To disclose information to a Federal, State, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit. (d) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (e) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Magnetic Disc.

Retrievability:

By identification codes and/or name.

Safeguards:

Access to computer area is controlled by a security pass arrangement and personnel not connected with the operation of the computer are prohibited from entering. The building security is protected by a uniformed guard. At the ports of processing, terminal rooms are under close supervision during working hours and locked after close of business. The system security officer issues a unique private five digit identification code to each authorized user. The codes are changed periodically to enhance security. All computer terminals are key-locked when not in use. Access to the Customers computer from other than system terminals is controlled through the security software package TOP SECRET. Users must input a unique identification code and password during the terminal log-in procedure to gain access to the system. The password is not printed or displayed at the port of processing. The system validates the user ID by transaction type, thereby limiting a system user's access to information on a "need to know" basis. A listing of identification codes of authorized users can be printed only by request of the security officer.

Retention and disposal:

Files are periodically up-dated to reflect changes, etc., and are disposed of in accordance with the requirements of the Treasury Records Control Manual.

System manager(s) and address:

Director, Business Systems Division, Customs Service Headquarters, 1301 Constitution Avenue, NW., Washington, DC 20229, is responsible for all data maintained in the files.

Notification procedure:

See Customs Appendix A.

Record access procedures:

See Customs Appendix A.

Contesting record procedures:

See Access, Customs Appendix A.

Record source categories:

The system data base is limited to data about individuals and/or companies incidental to the conduct of foreign trade and required by the Customs Service in administering the tariff laws and regulations of the United States. No information concerning any individual's or company's importation activity, bonds status, and compliance or non-compliance with Customs Regulations will be disclosed for non-authorized purposes to any person other than the party-of-record upon receipt of a written request.

Systems exempted from certain provisions of the act:

None.

Treasury/Customs 00.284

System name:

Personnel Verification System (PVS) Treasury/Customs.

System location:

Office of the Comptroller, U.S. Customs Service, 1301 Constitution Avenue, NW., Washington, DC 20229, and Regional Offices of the U.S. Customs Service. (See Customs Appendix A.)

Categories of individuals covered by the system:

Authorized Customs personnel and non-Customs personnel who have received authorization to use the Regional Communications Centers.

Categories of records in the system:

Individual identifiers including but not limited to name, office address, home address, office telephone number, home telephone number, badge number, Social Security number, radio call sign, page number, organization, and unit.

Authority for maintenance of the system:

5 U.S.C. 301; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in the records may be used: (a) To disclose pertinent information to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (b) To disclose information to a Federal, State, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit. (c) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (d) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

(1) Alphabetic or numerical listings or card files; (2) microfiche; (3) magnetic disc and tapes; (4) other electronic storage media.

Retrievability:

By name, call sign, paging number, Social Security number, badge number, organizational code.

Safeguards:

Records are located in controlled access areas with alarm protection systems. Offices are staffed twenty-four hours a day, seven days a week.

Retention and disposal:

Records are maintained in the system until such time as the individual is no longer authorized usage of the Regional Communications Center. Disposal is by erasure of disc/tapes, shredding and/or burning of listings or card files, and burning of microfiche.

System manager(s) and address:

Assistant Commissioner, Office of the Comptroller, U.S. Customs Service, 1301 Constitution Avenue, NW., Washington, DC 20229.

Notification procedure:

See Customs Appendix A.

Record access procedures:

See Customs Appendix A.

Contesting record procedures:

See Access, Customs Appendix A.

Record source categories:

The sources include but are not limited to (1) the individual to whom the record relates; (2) internal Customs Service records; (3) Personnel Verification Sheet.

Systems exempted from certain provisions of the act: None.

Treasury/Customs .285

System name:

Automated Index to Central Enforcement Files—Treasury/Customs.

System location:

Office of Enforcement, U.S. Customs Service, 1301 Constitution Avenue NW., Washington, DC 20229.

Categories of individuals covered by the system:

(1) Known violators of U.S. Customs laws. (2) Convicted violators of U.S. Customs and/or drug laws in the United States and foreign countries. (3) Suspected violators of U.S. Customs or other related laws. (4) Private yacht masters and pilots arriving in the United States.

Categories of records in the system:

A listing of Memoranda of Information Received, Reports of Investigations; Search/Arrest/Seizure Reports, Penalties, and Forfeitures, reports required by Private Aircraft Reporting System, reports required by the Private Yacht Reporting System, reports on vessel violations. Reports relating to an individual, various other correspondence (letter, memoranda, etc.), which related to an individual in the Treasury Enforcement Communications System.

Authority for maintenance of the system:

5 U.S.C. 301 and Treasury Department Order No. 165, Revised, as amended. Authority for the collection and maintenance of the report included in the system is: 19 U.S.C. 1603; 19 U.S.C. 1431; 19 U.S.C. 66; 31 CFR Part 103.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in the records may be used: (a) To disclose pertinent information to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (b) To disclose information to a Federal, State, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit. (c) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (d) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Magnetic disc and tape, microfiche.

Retrievability:

Name, personal identification numbers, Customs case number, document's central file number.

Safeguards:

(1) All Central Files users must have a full field background investigation. (2) The "need to know" principle applies. (3) Procedural and physical safeguards are utilized such as accountability and receipt records, guard patrolling restricted areas, alarm protection systems, special communication security. (4) Access is limited to all Office of Enforcements terminals and all Law Enforcement Systems Division Headquarters and San Diego terminals.

Retention and disposal:

Records will be maintained in the Automated Index to Central Enforcement files for as long as the associated document or microfiche is retained. Records will be destroyed by erasure of the magnetic disc and by burning the microfiche.

System manager(s) and address:

Assistant Commissioner, Office of Enforcement, U.S. Customs Service, 1301 Constitution Avenue, NW., Washington, DC 20229.

Systems exempted from certain provisions of the act:

This system is exempt from 5 U.S.C. 552a (c)(3), (c)(4), (d)(1), (d)(2), (d)(3), (d)(4), (e)(1), (e)(2), (e)(3), (e)(4) (G), (H) and (I), (5) and (8), (f) and (g) of the Privacy Act pursuant to 5 U.S.C. 552a (j)(2) and (k)(2).

Treasury/Customs .287

System name:

Customs Automated Licensing Information System (CALIS)—Treasury/Customs.

System location:

ADP Branch, U.S. Customs Service, 6 World Trade Center, New York, NY 10048.

Categories of individuals covered by the system:

Individuals and firms who have applied for or been granted licenses in the New York Region as customhouse brokers, or as bonded cartmen or lightermen, and officers, employees and associates of licensed customhouse brokers or licensed bonded cartmen or lightermen; individuals who have applied for or been granted approval to act as container station operators or bonded warehouse proprietors, firms which have applied for approval or been approved as container stations or bonded warehouses, and officers, employees and associates of approved container stations or approved bonded warehouses.

Categories of records in the system:

Names, addresses, Social Security numbers, dates of birth, and other pertinent data extracted from Reports of Investigation, Regulatory Audit reports, Treasury Enforcement Communications System entries, and Search, Arrest, and Seizure Reports, information obtained from informants, reports from or to other law enforcement bodies.

Authority for maintenance of the system:

19 U.S.C. 1621; 19 CFR Part 111, 5 U.S.C. 301; Treasury Department Order No. 165, Revised, as amended; 19 U.S.C. 1561; 19 CFR Part 112; 19 CFR Part 19; 19 U.S.C. 1556.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in the records may be used: (a) To disclose pertinent information to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (b) To disclose information to a Federal, State, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit. (c) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (d) To disclose information to foreign governments in accordance with formal or informal international agreements. (e) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains. (f) To provide information to the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings. (g) To provide information to unions recognized as exclusive bargaining representatives under the Civil Service Reform Act of 1978, 5 U.S.C. 7111 and 7114. (h) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Magnetic disc.

Retrievability:

Records can be retrieved by name or personal identification numbers and by employer's name and employer's identification numbers.

Safeguards:

Access to the office where records are maintained is controlled at all times. A password is required to gain access to records in the computer. The office where the records are maintained is locked during non-working hours. The records are available to those personnel in Operational Analysis and other appropriate Customs personnel on a "need to know" basis.

Retention and disposal:

Records are periodically up-dated to reflect changes, and maintained as long as needed.

System manager(s) and address:

Operational Analysis Officer, U.S. Customs Service, 6 World Trade Center, Room 748, New York, NY 10048.

Notification procedure:

This system of records may not be accessed for purposes of determining if the system contains a record pertaining to a particular individual.

Record access procedures:

This system of records may not be accessed under the Privacy Act for the purpose of inspection.

Contesting record procedures:

Since this system of records may not be accessed for purposes of determining if the system contains a record pertaining to a particular individual and those records, if any, cannot be inspected, the system may not be accessed under the Privacy Act for the purpose of contesting the content of the record.

Record source categories:

This system contains investigatory material compiled for law enforcement purposes whose sources need not be reported.

Systems exempted from certain provisions of the act:

This system is exempt from 5 U.S.C. 552a (c)(3), (c)(4), (d), (e)(1), (e)(2), (e)(3), (e)(4)(G), (e)(4)(H), (e)(5), (e)(8), (f) and (g) of the Privacy Act pursuant to 5 U.S.C. 552a (j)(2) and (k)(2).

Treasury/BEP .002

System name:

Personal Property Claim File—Treasury/BEP.

System location:

Bureau of Engraving and Printing, 14th and C Streets, SW., Washington, DC 20228.

Categories of individuals covered by the system:

Civilian officers and employees of the Bureau of Engraving and Printing, former employees and their survivors having claim for damage to or loss of personal property incident to their service.

Categories of records in the system:

Contains investigative and adjudication documents relative to personal property damage claim.

Authority for maintenance of the system:

Military Personnel and Civilian Employees' Claims Act of 1964, as amended, Pub. L. 88-558.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in the records may be used: (1) To disclose pertinent information to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (2) To disclose information to a Federal, State, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit. (3) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (4) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains. (5) To provide information to the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings. (6) To provide information to unions recognized as exclusive bargaining representatives under the Civil Service Reform Act of 1978, 5 U.S.C. 7111 and 7114. (7) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File folder.

Retrievability:

By name.

Safeguards:

Access is limited to Office of Chief Counsel staff.

Retention and disposal:

Retained three years after case is closed, then destroyed.

System manager(s) and address:

Office of Chief Counsel, Bureau of Engraving and Printing, 14th and C Streets, SW., Washington, DC 20228.

Notification procedure:

Disclosure Officer, Bureau of Engraving and Printing, 14th and C Streets, SW., Washington, DC 20228.

Record access procedures:

See notification above.

Contesting record procedures:

See notification above.

Record source categories:

Individuals having claim for damage to or loss of personal property.

Systems exempted from certain provisions of the act:

None.

Treasury/BEP .004

System name:

Counseling Records—Treasury/BEP.

System location:

Bureau of Engraving and Printing, 14th and C Streets, SW., Washington, DC 20228.

Categories of individuals covered by the system:

Employees whose actions or conduct warrants counseling.

Categories of records in the system:

Contains correspondence relative to counseling information and follow-up reports.

Authority for maintenance of the system:

5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in the records may be used: (1) To disclose pertinent information to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (2) To disclose information to a Federal, State, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit. (3) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (4) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains, contingent upon that individual signing a release of information form. (5) To provide information to the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings. (6) To provide general educational information to unions recognized as exclusive bargaining representatives under the Civil Service Reform Act of 1978, 5 U.S.C. 7111 and 7114 (7) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

By name.

Safeguards:

Locked in file cabinets; access is limited to Administrator.

Retention and disposal:

Retained for one year after close of file, then destroyed.

System manager(s) and address:

EEO/Employee Counseling Services Staff Manager, Bureau of Engraving and Printing, 14th and C Streets, SW., Washington, DC 20228.

Notification procedure:

Disclosure Officer, Bureau of Engraving and Printing, 14th and C Streets, SW., Washington, DC 20228.

Record access procedures:

See notification above.

Contesting record procedures:

See notification above.

Record source categories:

Individual employee.

Systems exempted from certain provisions of the act:

None.

Treasury/BEP .005

System name:

Compensation Claims—Treasury/BEP.

System location:

Safety and Occupational Health Division, Office of Industrial Relations, Bureau of Engraving and Printing, 14th and C Streets, SW, Washington, DC 20228.

Categories of individuals covered by the system:

Bureau of Engraving and Printing employees incurring work-connected injuries or illnesses, who make claims under Federal Employee Compensation Act for medical expenses, continuation of pay or disability.

Categories of records in the system:

All pertinent documentation, including investigative reports, medical reports, forms, letters to BEP Office of Financial Management authorizing continuation of pay, Labor Department reports, etc. relative to work-connected injuries or illnesses of employees.

Authority for maintenance of the system:

Federal Employees Compensation Act, as amended, Pub. L. 93-416.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in the records may be used: (1) To disclose pertinent information to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (2) To disclose information to a Federal, State, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit. (3) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (4) To disclose information to foreign governments in accordance with formal or informal international agreements. (5) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains. (6) To provide information to the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings. (7) To provide information to unions recognized as exclusive bargaining representatives under the Civil Service Reform Act of 1978, 5 U.S.C. 7111 and 7114. (8) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File folder.

Retrievability:

Name and date of injury.

Safeguards:

Locked file cabinets; access is limited to Safety Managers and Compensation Claims staff.

Retention and disposal:

Retained for a period of employment plus 30 years, then destroyed.

System manager(s) and address:

Chief, Office of Industrial Relations, Bureau of Engraving and Printing, 14th and C Streets, SW., Washington, DC 20228.

Notification procedure:

Disclosure Officer, Bureau of Engraving and Printing, 14th and C Streets, SW., Washington, DC 20228.

Record access procedures:

See notification above.

Contesting record procedures:

See notification above.

Record source categories:

Health Unit Daily Report, Notification of Public Health Service Recommendations, private medical providers, Safety and Occupational Health Division Reports, Employee's supervisors reports, and information provided by employee.

Systems exempted from certain provisions of the act:

None.

Treasury/BEP .006

System name:

Debt Files (Employees)—Treasury/BEP.

System location:

Bureau of Engraving and Printing, 14th and C Streets, SW., Washington, DC 20228.

Categories of individuals covered by the system:

All Bureau of Engraving and Printing employees on whom debt complaints are received.

Categories of records in the system:

Contains employee's name, complaint information, court judgments, counseling efforts, receipts, and final disposition of complaint.

Authority for maintenance of the system:

Federal Personnel Manual.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in the records may be used: (a) To disclose pertinent information to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (b) To disclose information to a Federal, State, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit. (c) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (d) To disclose information to foreign governments in accordance with formal or informal international agreements. (e) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains. (f) To provide information to the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings. (g) To provide information to unions recognized as exclusive bargaining representatives under the Civil Service Reform Act of 1978, 5 U.S.C. 7111 and 7114. (h) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

By name.

Safeguards:

Maintained in locked cabinets; access is limited to Employee and Labor Relations Branch personnel.

Retention and disposal:

Retained for two years, then destroyed.

System manager(s) and address:

Chief, Office of Industrial Relations, Bureau of Engraving and Printing, 14th and C Streets, SW., Washington, DC 20228.

Notification procedure:

Disclosure Officer, Bureau of Engraving and Printing, 14th and C Streets, SW., Washington, DC 20228.

Record access procedures:

See notification above.

Contesting record procedures:

See notification above.

Record source categories:

Employees, Complainants, and Court Judgments.

Systems exempted from certain provisions of the act:

None.

Treasury/BEP .014

System name:

Employee's Production Record—Treasury/BEP.

System location:

Bureau of Engraving and Printing, 14th and C Streets, SW., Washington, DC 20228.

Categories of individuals covered by the system:

All current Bureau of Engraving and Printing employees.

Categories of records in the system:

Contains employee's name, dates, work hours, record of production, history of work assignments, training, work performance, and progress reports.

Authority for maintenance of the system:

5 U.S.C. 301, 4103 and 4302.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in the records may be used: (1) To disclose pertinent information to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (2) To disclose information to a Federal, State, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit. (3) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (4) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains. (5) To provide information to the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings. (6) To provide information to unions recognized as exclusive bargaining representatives under the Civil Service Reform Act of 1978, 5 U.S.C. 7111 and 7114. (7) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in data entry diskettes, file folders and production books.

Retrievability:

Indexed by name, work code number and cross-referenced by project number.

Safeguards:

Maintained in locked cabinets or desks; access is limited to personnel having a "need-to-know."

Retention and disposal:

Retained three years, then destroyed.

System manager(s) and address:

Office of Chief Counsel; Equal Employment Opportunity/Employee Counseling Services Staff; Chief, Office of Financial Management; Chief, Office of Industrial Relations; Chief, Office of Currency Production and Stamp Printing; Chief, Office of Design and Engraving Technology; Chief, Office of Security; Chief, Office of Stamp Processing and Surface Printing; Chief, Office of Engineering; Chief, Office of Research and Technical Services; Chief, Office of Production Management; Program Analysis and External Affairs staff; Chief Office of Currency Standards; Chief, Office of Currency Production and Stamp Printing; Chief, Office of Quality Assurance; Chief, Office of Management Services. Address: Bureau of Engraving and Printing, 14th and C Streets, SW., Washington, DC 20228.

Notification procedure:

Disclosure Officer, Bureau of Engraving and Printing, 14th and C Streets, SW., Washington, DC 20228.

Record access procedures:

See notification above.

Contesting record procedures:

See notification above.

Record source categories:

Information furnished by employee, developed by supervisor or by referral document.

Systems exempted from certain provisions of the act:

None.

Treasury/BEP .015

System name:

Executive Profiles—Treasury/BEP.

System location:

Office of Security, Bureau of Engraving and Printing, 14th and C Streets, SW, Washington, DC 20228.

Categories of individuals covered by the system:

The system contains vital personal information about high-level Bureau executives and their families. These executives who occupy high-level and/or sensititve positions may be targets for criminal extortion, kidnapping or other violent acts. The individuals to be covered by the system are designated by the Director, Bureau of Engraving and Printing, and are participating in the program voluntarily.

Categories of records in the system:

The system contains personal information about key Bureau employees, their spouses, children or other persons in the household. The employees' neighbors or other persons who might have knowledge of family members' locations are listed with addresses and phone numbers. Also included are fingerprints, samples of handwriting, and photographs of any residences and automoblies owned by the key employee and/or their families.

Authority for maintenance of the system:

5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Disclosures are not made outside the Department, except for emergency situations during which information may be released to appropriate Federal law enforcement agencies.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File folder in a sealed envelope.

Retrievability:

By name or position of employee.

Safeguards:

Locked file cabinet; access is limited to Office of Security managers and duty officers.

Retention and disposal:

Retained during employee's tenure with Bureau, then destroyed.

System manager(s) and address:

Chief, Office of Security, Bureau of Engraving and Printing, 14th and C Streets, SW, Washington, DC 20228.

Notification procedure:

Disclosure Officer, Bureau of Engraving and Printing, 14th and C Streets, SW, Washington, DC 20228, and direct personal contact by employee with system manager.

Record access procedures:

See notification above.

Contesting record procedures:

See notification above.

Record source categories:

Designated key personnel on a voluntary basis.

Systems exempted from certain provisions of the act:

None.

Treasury/BEP .016

System name:

Employee Suggestions—Treasury/BEP.

System location:

Bureau of Engraving and Printing, 14th and C Streets, SW, Washington, DC 20228.

Categories of individuals covered by the system:

All Bureau of Engraving and Printing employees submitting suggestions under the incentive award program.

Categories of records in the system:

Contains employee's suggestion, reviewer evaluation and final disposition information.

Authority for maintenance of the system:

Title 5, U.S.C., 4502 (c).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in the records may be used: (1) To disclose pertinent information to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (2) To disclose information to a Federal, State, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit. (3) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or or in connection with criminal law proceedings. (4) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains. (5) To provide information to the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings. (6) To provide information to unions recognized as exclusive bargaining representatives under the Civil Service Reform Act of 1978, 5 U.S.C. 7111 and 7114. (7) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Indexed by name.

Safeguards:

Maintained in locked file cabinets; access is limited to Training and Career Development Division personnel and employee's supervisor.

Retention and disposal:

Retained for three years following date of submission, then destroyed.

System manager(s) and address:

Chief, Office of Industrial Relations, Bureau of Engraving and Printing, 14th and C Streets SW., Washington, DC 20228.

Notification procedure:

Disclosure Officer, Bureau of Engraving and Printing, 14th and C Streets, SW., Washington, DC 20228.

Record access procedures:

See notification above.

Contesting record procedures:

See notification above.

Record source categories:

Individual employee, employee's supervisor and review committee.

Systems exempted from certain provisions of the act:

None.

Treasury/BEP .020

System name:

Industrial Truck Licensing Records—Treasury/BEP.

System location:

Bureau of Engraving and Printing, 14th and C Streets, SW., Washington, DC 20228.

Categories of individuals covered by the system:

Bureau of Engraving and Printing employees designated to operate self-propelled material and/or machinery handling equipment.

Categories of records in the system:

Record of employee physical examination, testing, license number and issue date for purpose of operating one or more types of material handling equipment used within the Bureau of Engraving and Printing.

Authority for maintenance of the system:

5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Disclosures are not made outside the Department.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File folder and card file.

Retrievability:

By Name.

Safeguards:

Locked file cabinet, access is limited to Materials and Industrial Services Division staff.

Retention and disposal:

Destroyed three years after license revocation.

System manager(s) and address:

Manager, Materials and Industrial Services Division, Office of Materials Management, Bureau of Engraving and Printing, 14th and C Streets SW., Washington, DC 20228.

Notification procedure:

Disclosure Officer, Bureau of Engraving and Printing, 14th and C Streets SW., Washington, DC 20228.

Record access procedures:

See notification above.

Contesting record procedures:

See notification above.

Record source categories:

Supervisor's request, results of physical examination, and data obtained during training or practical tests.

Systems exempted from certain provisions of the act:

None.

Treasury/BEP .021

System name:

Investigative Files—Treasury/BEP.

System location:

Bureau of Engraving and Printing, 14th and C Streets, SW., Washington, DC 20228.

Categories of individuals covered by the system:

Employees, Separated Bureau Employees, Employee Applicants, Visitors to the Bureau, News-Media Correspondents, Contractor and Service Company Employees (Current and Separated).

Categories of records in the system:

Category: Security Files, Personnel Clearance Requests, Case Files, Bank Shortage Letters, Contractor Files, Currency Discrepancy Reports, Intelligence Files, Stamp Discrepancy Reports, Case Records, Correspondence from the Public concerning Security Matters, Security Files Reference Record, Employee Indebtedness Record, Type of Information: Character references, Police force reports, Previous employment verifications, Newspaper articles, Social Security numbers, Laboratory reports to include handwriting results and latent fingerprint examinations, Law enforcement criminal and subversive record checks, Court records, Security registers, Residency information, Reports of shortages or thefts of Bureau products including subsequent investigations, Personnel records of various types, Fingerprint card, Photograph, Names of individuals including those at contractor plants who worked on a shortage involving Bureau products, Credit checks, Background investigation reports conducted by Office of Personnel Management, Bureau of Engraving and Printing, the Internal Revenue Service and other Federal Investigative Agencies, Disciplinary action recommended and/or received, Military record forms and extracted information, List of Bureau employees granted security clearances, Processes served, i.e. summons, subpoenas, warrants, etc., Personnel security case numbers, dates—case opened and closed, and recommendations, Certificate of Security Clearance, Reports of violations of Bureau regulations and procedures, Bureau visitor control documents, Correspondence relating to individuals, Claims of indebtedness from firms and collection agencies and other sources, and assorted documents, Tape-recorded testimony, Type of Information: Bureau investigation reports, Information supplied by Law Enforcement agencies, Applicant interview record, Anonymous tips concerning Bureau employees, Official investigative statements, Names of those requesting security assistance and report of the assistance rendered, other pertinent Governmental records, education records and information, Date of Birth and physical description of individual in the files.

Authority for maintenance of the system:

Executive Order 10450 and implementing Treasury and Bureau Regulations and 31 U.S.C. 427.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: These records and information in the records may be used: (1) To disclose pertinent information to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (2) To disclose information to a Federal, State, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit. (3) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (4) To disclose information to foreign governments in accordance with formal or informal international agreements. (5) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains. (6) To provide information to the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings. (7) To provide information to unions recognized as exclusive bargaining representatives under the Civil Service Reform Act of 1978, 5 U.S.C. 7111 and 7114. (8) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File Folders, 3 x 5 Index Cards, 5 x 8 Index Cards, Loose-leaf Binders, Ledger, Recording Tape, and Microfiche.

Retrievability:

Numerically by case number and year, alphabetically by name and Social Security number, and alphabetically by Company name.

Safeguards:

Access is limited to Office of Security staff and maintained in locked file cabinets.

Retention and disposal:

Destroyed within 90 days following notification that an applicant for employment was not hired; or, upon notification of employee's death, or, within five years after separation or transfer of incumbent employee; or, five years after expiration of contractual relationship.

System manager(s) and address:

Chief, Office of Security, Bureau of Engraving and Printing, 14th and C Streets, SW., Washington, DC 20228.

Notification procedure:

Disclosure Officer, Bureau of Engraving and Printing, 14th and C Streets, SW., Washington, DC 20228.

Record access procedures:

See notification above.

Contesting record procedures:

See notification above.

Record source categories:

The sources of the information are the individual concerned and information supplied by Federal, State and local investigative agencies, credit bureaus, financial institutions, court records, educational institutions, and individuals contacted concerning the person being investigated.

Systems exempted from certain provisions of the act:

This system is exempt from 5 U.S.C. 552a (c)(3), (d), (e)(1), (e)(4)(G), (e)(4)(H), (e)(4)(I) and (f) of the Privacy Act pursuant to 5 U.S.C. 552a(k)(2).

Treasury/BEP .022

System name:

Monthly Equal Employment Opportunity Activity Report—Treasury/BEP.

System location:

Bureau of Engraving and Printing, 14th and C Streets, SW., Washington, DC 20228.

Categories of individuals covered by the system:

Minority and female employees receiving significant appointments and promotions.

Categories of records in the system:

Name and Position of Promotion or Appointment.

Authority for maintenance of the system:

Affirmative Action Plan for Fiscal Year 1980 (5-year plan), Title VII, Civil Rights Law, as amended of 1964.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: These records and information in the records may be used: (1) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains. (2) To provide information to the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings. (3) To provide information to unions recognized as exclusive bargaining representatives under the Civil Service Reform Act of 1978, 5 U.S.C. 7111 and 7114. (4) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Cross-referenced by month and employee's name.

Safeguards:

Access is limited to Bureau Equal Employment Opportunity staff and is maintained in locked combination safe.

Retention and disposal:

Retained five years and then destroyed.

System manager(s) and address:

Deputy Director or Equal Opportunity Manager, Office of the Director, Bureau of Engraving and Printing; 14th and C Streets SW., Washington, DC 20228.

Notification procedure:

Disclosure Officer, Bureau of Engraving and Printing; 14th and C Streets SW., Washington, DC 20228.

Record access procedures:

See notification above.

Contesting record procedures:

See notification above.

Record source categories:

Personnel Action Records maintained by supervisor.

Systems exempted from certain provisions of the act:

None.

Treasury/BEP .023

System name:

Motor Vehicle Licensing Records—Treasury/BEP.

System location:

Bureau of Engraving and Printing, 14th and C Streets SW., Washington, DC 20228.

Categories of individuals covered by the system:

Bureau of Engraving and Printing employees designated to operate passenger vehicles, trucks, and/or vans for Bureau business.

Categories of records in the system:

Record of employee physical examination, testing, license number and issue date for purpose of operating passenger and/or truck vehicles.

Authority for maintenance of the system:

5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: These records and information in the records may be used: (1) To disclose pertinent information to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (2) To disclose information to a Federal, State, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit. (3) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (4) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains. (5) To provide information to the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings. (6) To provide information to unions recognized as exclusive bargaining representatives under the Civil Service Reform Act of 1978, 5 U.S.C. 7111 and 7114. (7) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File folder and card file.

Retrievability:

By name.

Safeguards:

Kept in locked file cabinets; access is limited to Manager, Materials and Industrial Services Division.

Retention and disposal:

Retained three years, then destroyed.

System manager(s) and address:

Manager, Materials and Industrial Services Division, Office of Materials Management, Bureau of Engraving and Printing; 14th and C Streets SW. Washington, DC 20228.

Notification procedure:

Disclosure Officer, Bureau of Engraving and Printing, 14th and C Streets SW., Washington, DC 20228.

Record access procedures:

See notification above.

Contesting record procedures:

See notification above.

Record source categories:

Supervisor's request, results of physical examination, and data obtained during training or practical tests.

Systems exempted from certain provisions of the act:

None.

Treasury/BEP .027

System name:

Programmable Access Security System (PASS)—Treasury/BEP.

System location:

Bureau of Engraving and Printing, 14th and C Streets SW., Washington, DC 20228.

Categories of individuals covered by the system:

Bureau of Engraving and Printing Employees and Bureau of the Public Debt Employees, plus Contractor and Service Company Employees and Official Visitors to both Bureaus. (Does not include visitors to the Bureau of Engraving and Printing public tour.)

Categories of records in the system:

A. Bureau of Public Debt Employees: Name; Social Security number; Date of Birth; Height; Weight; Eye color; Work Area; Badge number; Picture; Grade; Work shift; Access level; Access level clearance; Office telephone; Time, date and location of each passage through a Security Control Point; Vehicle license number, and Car pool participation.

B. BEP Employees: Same as Public Debt employees, plus position sensitivity, supervisory status, locker number, and home telephone number.

C. Contractors Issued Non-Escort Badges: Name; Date of Birth; Height; Weight; Eye Color; Contractor Name and Number; Vehicle license number; type, and color; Position; Office telephone extension; Bureau Sponsor; Badge Application Form Number; Work shift; Access level; Security Clearance; Badge number; Time, Date, and location of each passage through a Security Control; and Picture.

D. Official Visitors Issued Badges: Name; Company Name and telephone number; Bureau Sponsor and Bureau Telephone number; Contract Number; Nature of Visit; Vehicle Color, Type, and License Number; Whether visitor is the Driver, Number of Passengers; Security clearance; Type of Visitor; Access level; Visitor's Identification Number; and Time, Date, and location of each passage through a Security Control Point.

E. Cross reference badge listings.

Authority for maintenance of the system:

31 U.S.C. 321, 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: These records and information in the records may be used: (l) To disclose pertinent information to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (2) To disclose information to a Federal, State, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit. (3) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (4) To disclose information to foreign governments in accordance with formal or informal international agreements. (5) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains. (6) To provide information to the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings. (7) To provide information to unions recognized as exclusive bargaining representatives under the Civil Service Reform Act of 1978, 5 U.S.C. 7111 and 7114. (8) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Magnetic media, paper tapes, computer printouts, file folders, and loose-leaf binders.

Retrievability:

Numerical by PASS/badge number, alphabetically by last name, and appropriate index by subject.

Safeguards:

Paper records are maintained in locked cabinets in a locked room; access is limited to Physical Security Branch staff, office of Security plus senior management of the Office of Security. On line CRT terminals are installed in locked computer room in two (2) 24-hour manned police offices and selected Office of Security staff offices which are locked. These latter terminals will soon be on lines that are manually switchable in computer room. Access to these terminals is limited to Physical Security Branch staff, Office of Security and supervisory police personnel. Passwords further limit the extent of access to computer stored information. Bureau managers and supervisors have access to printouts pertaining to their subordinate employees.

Retention and disposal:

Retention period is for seven years, then destroyed.

System manager(s) and address:

Head, Physical Security Branch, Office of Security, Bureau of Engraving and Printing; 14th and C Streets SW., Washington, DC 2n228.

Notification procedure:

Disclosure Officer, Bureau of Engraving and Printing, 14th and C Streets SW., Washington, DC 20228.

Record access procedures:

See notification above.

Contesting record procedures:

See notification above.

Record source categories:

The individual concerned, his/her supervisor, or an official of the individual's firm or agency.

Systems exempted from certain provisions of the act:

None.

Treasury/BEP .029

System name:

Petition of Elections—Treasury/BEP.

System location:

Bureau of Engraving and Printing, 14th and C Streets SW., Washington, DC 20228.

Categories of individuals covered by the system:

Listing of employees eligible for inclusion within the union bargaining for recognition.

Categories of records in the system:

Alphabetical listing of eligible employees to include position title and occupational codes.

Authority for maintenance of the system:

Executive Order 11491, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in the records may be used: (1) To disclose information compiled and furnished to the United States Department of Labor, Labor-Management Services Administration in order to supervise the election; (2) and disclose to the petitioning Union and unions recognized to verify eligibility of voters at the poll. (3) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains. (4) To provide information to unions recognized as exclusive bargaining representatives under the Civil Service Reform Act of 1978, 5 U.S.C. 7111 and 7114; (5) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

By Union Title.

Safeguards:

Maintained in a locked cabinet; access is limited to Labor-Management Relations staff and designated Union Representatives as required.

Retention and disposal:

Retained until superseded or cancelled, then destroyed.

System manager(s) and address:

Chief, Office of Industrial Relations, Bureau of Engraving and Printing, 14th and C Streets, SW, Washington, DC 20228.

Notification procedure:

Disclosure Officer, Bureau of Engraving and Printing, 14th and C Streets SW., Washington, DC 20228.

Record access procedures:

See notification above.

Contesting record procedures:

See notification above.

Record source categories:

Position Description file and Personnel Manpower file.

System exempted from certain provisions of the Act:

None.

Treasury/BEP .035

System name:

Tort Claims (Against the United States)—Treasury/BEP.

System location:

Bureau of Engraving and Printing, 14th and C Streets, SW., Washington, DC 20228.

Categories of individuals covered by the system:

Individuals and/or organizations making claim for money damage against the United States for injury to or loss of property or personal injury or death caused by neglect, wrongful act, or omission of a Bureau of Engraving and Printing employee while acting within the scope of his office or employment.

Categories of records in the system:

Contains investigative and adjudication documents relative to personal injury and/or property damage claims.

Authority for maintenance of the system:

Federal Tort Claims Act, Title 28 U.S.C. 2672, Pub. L. 89-506.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in the records may be used: (1) To disclose pertinent information to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (2) To disclose information to a Federal, State, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit. (3) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (4) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains. (5) To provide information to unions recognized as exclusive bargaining representatives under the Civil Service Reform Act of 1978, 5 U.S.C. 7111 and 7114. (6) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File folder.

Retrievability:

By name.

Safeguards:

Access is limited to Office of Chief Counsel staff.

Retention and disposal:

Retained three years, then destroyed.

System manager(s) and address:

Office of Chief Counsel, Bureau of Engraving and Printing, 14th and C Streets SW., Washington, DC 20228.

Notification procedure:

Disclosure Officer, Bureau of Engraving and Printing, 14th and C Streets SW., Washington, DC 20228.

Record access procedures:

See notification above.

Contesting record procedures:

See notification above.

Record source categories:

Individual or organization's claim and/or investigative reports.

Systems exempted from certain provisions of the act: None.

Treasury/BEP .037

System name:

Union Index—Treasury/BEP.

System location:

Bureau of Engraving and Printing, 14th and C Streets SW., Washington, DC 20228.

Categories of individuals covered by the system:

Name and title of designated Union officials to include the President, Vice-President, Secretary, Treasurer, and Stewards.

Categories of records in the system:

Listing of recognized Union officials by title, bargaining unit, and jurisdiction.

Authority for maintenance of the system:

Executive Order 11491, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in the records may be used:

(1) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains. (2) To provide information to unions recognized as exclusive bargaining representatives under the Civil Service Reform Act of 1978, 5 U.S.C. 7111 and 7114. (3) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

By Union Title.

Safeguards:

Maintained in locked file; access is limited to Labor-Management Relations staff and Management officials as required. Informational copies are provided to each union.

Retention and disposal:

Retained during the period of recognition of the Union, then destroyed.

System manager(s) and address:

Chief, Office of Industrial Relations, Bureau of Engraving and Printing, 14th and C Streets SW., Washington, DC 20228.

Notification procedure:

Disclosure Officer, Bureau of Engraving and Printing, 14th and C Streets SW., Washington, DC 20228.

Record access procedures:

See notification above.

Contesting record procedures:

See notification above.

Record source categories:

Provided by recognized unions.

Systems exempted from certain provisions of the act:

None.

Treasury/BEP .038

System name:

Unscheduled Absence Record—Treasury/BEP.

System location:

Bureau of Engraving and Printing, 14th and C Streets SW., Washington, DC 20228.

Categories of individuals covered by the system:

All Bureau of Engraving and Printing employees who have had unscheduled absences.

Categories of records in the system:

Record contains chronological documentation of unscheduled absences.

Authority for maintenance of the system:

5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in the records may be used: (1) To disclose pertinent information to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (2) To disclose information to a Federal, State, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit. (3) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (4) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains. (5) To provide information to unions recognized as exclusive bargaining representatives under the Civil Service Reform Act of 1978, 5 U.S.C. 7111 and 7114. (6) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

By name.

Safeguards:

Kept in locked file cabinets; access to these records is restricted to Supervisor and authorized timekeeping personnel.

Retention and disposal:

Retained for one year following separation or transfer, then destroyed.

System manager(s) and address:

Chief, Office of Industrial Relations, Bureau of Engraving and Printing, 14th and C Streets SW., Washington, DC 20228.

Notification procedure:

Disclosure Officer, Bureau of Engraving and Printing, 14th and C Streets SW., Washington, DC 20228.

Record access procedures:

See notification above.

Contesting record procedures:

See notification above.

Record source categories:

Individual employee's time and attendance records, and his/her supervisor.

Systems exempted from certain provisions of the act:

None.

Treasury/BEP .040

System name:

Freedom of Information and Privacy Acts Requests—Treasury/BEP.

System location:

Bureau of Engraving and Printing, 14th and C Streets SW., Washington, DC 20228.

Categories of individuals covered by the system:

Individuals who are requesting information.

Categories of records in the system:

Correspondence pursuant to the Freedom of Information and Privacy Acts; internal processing documents and memoranda, referrals and copies of requested records.

Authority for maintenance of the system:

Freedom of Information Act, 5 U.S.C. 552, 31 CFR Part 1, and Privacy Act of 1974, 5 U.S.C. 552a.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in the records may be used: (1) To disclose pertinent information to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (2) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (3) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains. (4) To provide information to unions recognized as exclusive bargaining representatives under the Civil Service Reform Act of 1978, 5 U.S.C. 7111 and 7114.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File folders locked in filing cabinet.

Retrievability:

By name of requester(s) and date of request.

Safeguards:

Filed in locked filing cabinet and released only to those parties authorized pursuant to the Freedom of Information Act or the Privacy Act.

Retention and disposal:

Disposition as prescribed by General Records Schedule 14 issued by the National Archives and Records Administration.

System manager(s) and address:

Program Analysis and External Affairs Staff, Bureau of Engraving and Printing, 14th and C Streets SW., Washington, DC 20228.

Notification procedure:

Disclosure Officer, Bureau of Engraving and Printing, 14th and C Streets SW., Washington, DC 20228.

Record access procedures:

See notification above.

Contesting record procedures:

See notification above.

Record source categories:

Individuals who make Freedom of Information and/or Privacy Act requests. Federal officials responding to Freedom of Information and/or Privacy Act requests and documents from official records.

Systems exempted from certain provisions of the act:

None.

Treasury/BEP .041

System name:

Record of Discrimination Complaints—Treasury/BEP.

System location:

Bureau of Engraving and Printing, 14th and C Streets, SW., Washington, DC 20228.

Categories of individuals covered by the system:

Employees who have initiated discrimination complaints.

Categories of records in the system:

Data developed as a result of inquiry by the person making the allegation of discrimination.

Authority for maintenance of the system:

Executive Order 11478.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

(1) To disclose to EEOC to adjudicate discrimination complaints. These records and information in the records may be used: (2) To disclose pertinent information to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (3) To disclose information to a Federal, State, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit. (4) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (5) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains. (6) To provide information to unions recognized as exclusive bargaining representatives under the Civil Service Reform Act of 1978, 5 U.S.C. 7111 and 7114. (7) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders. Locked in combination safe.

Retrievability:

By name and case number.

Safeguards:

Access is limited to Complainants, Equal Employment Opportunity Staff, Equal Employment Opportunity Investigator; maintained in locked combination safe.

Retention and disposal:

Retained four years after resolution, then destroyed.

System manager(s) and address:

Equal Opportunity Officer, Bureau of Engraving and Printing, 14th and C Streets, SW., Washington, DC 20228.

Notification procedure:

Disclosure Officer, Bureau of Engraving and Printing, 14th and C Streets, SW., Washington, DC 20228.

Record access procedures:

See notification above.

Contesting record procedures:

See notification above.

Record source categories:

Individual employees who have discrimination complaints.

Systems exempted from certain provisions of the act:

None.

Treasury/BEP .042

System name:

Informal EEO Complaint Processing Records—Treasury/BEP.

System location:

Bureau of Engraving and Printing, 14th and C Streets, SW., Washington, DC 20228.

Categories of individuals covered by the system: Employees who register informal EEO complaints.

Categories of records in the system:

Contains information and data developed through counseling sessions and appropriate inquiries.

Authority for maintenance of the system:

Executive Order 11478.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

(1) To disclose to EEO Complaint Investigator to perform investigations. These records and information in the records may be used: (2) To disclose pertinent information to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (3) To disclose information to a Federal, State, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit. (4) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (5) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains. (6) To provide information to unions recognized as exclusive bargaining representatives under the Civil Service Reform Act of 1978, 5 U.S.C. 7111 and 7114. (7) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

By name.

Safeguards:

Locked in a combination-lock safe. Access is limited to EEO Specialists and Counselors.

Retention and disposal:

Retained four years after resolution of case, then destroyed.

System manager(s) and address:

Equal Employment Opportunity Staff, Bureau of Engraving and Printing, 14th and C Streets, SW., Washington, DC 20228.

Notification procedure:

Disclosure Officer, Bureau of Engraving and Printing, 14th and C Street, SW., Washington, DC 20228.

Record access procedures:

Same as above.

Contesting record procedures:

Same as above.

Record source categories:

Individual complainants and other employees and supervisors necessary to make an appropriate inquiry.

Systems exempted from certain provisions of the act:

None.

Treasury/BEP .043

System name:

Parking Program Records—Treasury/BEP.

System location:

Bureau of Engraving and Printing, 14th and C Streets, SW., Washington, DC 20228.

Categories of individuals covered by the system:

Bureau and Non-bureau personnel who have applied for carpool parking privileges.

Categories of records in the system:

Parking space applicant information—shows applicant's name and address, vehicle model and year, vehicle license number, work hours, work component, home/work phone numbers.

Authority for maintenance of the system:

5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Disclosures are not made outside the Department.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

5" x 8" card file lettersize file folders, and microcomputer floppy disks.

Retrievability:

Alphabetically by applicant, or parking space number.

Safeguards:

Access is limited to Office of Security staff and maintained in a locked office.

Retention and disposal:

Destroyed upon change in, or revocation of, parking assignment.

System manager(s) and address:

Chief, Office of Security, Bureau of Engraving and Printing; 14th and C Streets, SW., Washington, DC 20228.

Notification procedure:

Disclosure Officer, Bureau of Engraving and Printing, 14th and C Streets, SW., Washington, DC 20228.

Record access procedures:

See notification above.

Contesting record procedures:

See notification above.

Record source categories:

Parking permit applicants.

Systems exempted from certain provisions of the act:

None.

Treasury/BEP .044

System name:

Personnel Security Files and Indices—Treasury/BEP.

System location:

Bureau of Engraving and Printing, 14th and C Streets, SW., Washington, DC 20228.

Categories of individuals covered by the system:

Employee applicants, current and former Bureau employees, contractor and service company employees.

Categories of records in the system:

Investigative information related to personnel investigations conducted by the Bureau of Engraving and Printing Security office and other Federal, State, and local Agencies.

Authority for maintenance of the system:

Executive Order 10450.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in the records may be used: (1) To disclose pertinent information to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (2) To disclose information to a Federal, State, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit. (3) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (4) To disclose information to foreign governments in accordance with formal or informal international agreements. (5) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains. (6) To provide information to the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings. (7) To provide information to unions recognized as exclusive bargaining representatives under the Civil Service Reform Act of 1978, 5 U.S.C. 7111 and 7114. (8) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File folders; 3" x 5" index cards, and microfiche.

Retrievability:

Alphabetically by name.

Safeguards:

Access is limited to Office of Security staff and records are maintained in locked file cabinets.

Retention and disposal:

Destroyed within 90 days following notification that an applicant for employment was not hired; or upon notification of employee death; or within five years after separation or transfer of incumbent employee; or five years after expiration of contractual relationship.

System manager(s) and address:

Chief, Office of Security, Bureau of Engraving and Printing, 14th and C Streets, SW., Washington, DC 20228.

Notification procedure:

Disclosure Officer, Bureau of Engraving and Printing, 14th and C Streets, SW., Washington, DC 20228.

Record access procedures:

Same as above.

Contesting record procedures:

Same as above.

Record source categories:

Individual employee and information supplied by other Federal Investigative Agencies.

Systems exempted from certain provisions of the act:

This system is exempt from 5 U.S.C. 552a (c)(3), (d), (e)(1), (e)(4)(G), (e)(4)(H), (e)(4)(I), and (f) of the Privacy Act pursuant to 5 U.S.C. 552a(k)(5).

Treasury/FLETC .001

System name:

FLETC Payroll/Personnel Records System—Treasury/FLETC.

System location:

FLETC, Office of Administration, Building 94, Glynco, GA 31524.

Categories of individuals covered by the system:

Present and former employees.

Categories of records in the system:

All payroll records including Standard Forms 50 and 52, time and attendance reports, leave status, health, employee training, Equal Employment Opportunity and personnel records consisting of records other than those described and reported by the Office of Personnel Management on behalf of all agencies.

Authority for maintenance of the system:

5 U.S.C. 301, 5 U.S.C. 4101 et seq; Executive Order No. 11348, dated April 20, 1967, Treasury Order 217 (Revision 1), dated July 1, 1970, and Treasury Order 140-01, dated January 13, 1987.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Disclosure to the individual's parent agency and Federal regulatory agencies on a "need to know" basis which include the Department of Labor, Department of Health and Human Services, Merit Systems Protection Board, Federal and Labor Relations Authority, Equal Employment Opportunity Commission and the Office of Personnel Management concerning pay, leave, benefits, retirement deductions, and other information necessary for OPM to carry out its government-wide personnel management functions. These records and information in the records may be used: (a) To disclose pertinent information to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (b) To disclose information to a Federal, State, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit. (c) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceeding. (d) To disclose information to foreign governments in accordance with formal or informal international agreements. (e) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains. (f) To provide information to the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings. (g) To provide information to unions recognized as exclusive bargaining representatives under the Civil Service Reform Act of 1978, 5 U.S.C. 7111 and 7114. (h) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper files, microfiche and computer. The computers at Glynco access the TPIS and PERMITS payroll and personnel systems described and reported by the Department of the Treasury.

Retrievability:

Social Security Number, name, or position.

Safeguards:

Physical security, personnel screening, access codes, and security checklists are all used to prevent unauthorized disclosure of records.

Retention and disposal:

Disposition as prescribed by General Records Schedules 1 and 2 issued by the National Archives and Records Administration. For more information contact: Records Retention Officer, FLETC, Building 94, Glynco, GA 31524.

System manager(s) and address:

Assistant Director (Administration), Building 94, FLETC, Glynco, GA 31524.

Notification procedure:

The individual must provide full name, Social Security Number, and date of employment with the Center to the System Manager.

Record access procedures:

By written request to the System Manager.

Contesting record procedures:

See Access above.

Record source categories:

The employee on whom the record is maintained, prior employers, and FLETC.

Systems exempted from certain provisions of the act:

None.

Treasury/FLETC .002

System name:

FLETC Trainee Records—Treasury/FLETC.

System location:

Buildings—39, 46, 67, 94, 210, 221, 252, and 262, Glynco, GA 31524.

Categories of individuals covered by the system:

Any person who officially attends a Center Basic or Advanced Training Program.

Categories of records in the system:

Personal background information supplied by the trainee; grades and performance or conduct evaluations, advisory letters to parent agencies, class rosters/photographs and relevant health/physical conditioning records.

Authority for maintenance of the system:

Treasury Order No. 217 (Revision 1), dated July 1, 1970, Treasury Order 140-01, dated January 13, 1987, and Memorandum of Understanding for the Sponsorship and Operation of the Consolidated Federal Law Enforcement Training Center, dated September 30, 1970.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Disclosure upon request to the individual's parent agency, to a prospective Federal employer, and to other government officials involved in training or research. These records and information in the records may be used: (a) To disclose to the Office of Personnel Management concerning pay, leave, benefits, retirement deductions, and other information necessary for OPM to carry out its government-wide personnel management functions. (b) To disclose pertinent information to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (c) To disclose information to a Federal, State, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit. (d) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (e) To disclose information to foreign governments in accordance with formal or informal international agreements. (f) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains. (g) To provide information to the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings. (h) To provide information to unions recognized as exclusive bargaining representatives under the Civil Service Reform Act of 1978, 5 U.S.C. 7111 and 7114. (i) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Magnetic disc and tape, and paper files.

Retrievability:

Name, class number, and Social Security number.

Safeguards:

Access to these systems of records will be controlled by software, hardware, and other physical security procedures. Software will be used to ensure, in all technically feasible ways, that data cannot be made available to unauthorized persons. User-identifiers and passwords will be used where feasible to protect the data. Physical security will protect all terminals, magnetic disc and tapes filed from access by unauthorized persons. Offices will be locked except when authorized persons are present. Warehoused paper records are secured, the building alarmed, and access controlled by the Records Management Officer.

Retention and disposal:

Computer print-out records are destroyed within six months of production. All other records are retained and disposed of in accordance with the General Records Schedule issued by the National Archives and Records Administration. For more information contact: Records Management Officer, FLETC, Building 94, Glynco, GA 31524.

System manager(s) and address:

Assistant Director (Administration), Office of Administration, Building 94, FLETC, Glynco, GA 31524.

Notification procedure:

The individual must provide full name, Social Security number, date of birth, parent agency, type of course and approximate dates of attendance to the System Manager.

Record access procedures:

By written request to the System Manager.

Contesting record procedures:

See Access above.

Record source categories:

The trainee himself and members of the staff responsible for processing the grading, rating or evaluating of the trainee.

Systems exempted from certain provisions of the act:

None.

Treasury/FLETC .003

System name:

FLETC Confidential Financial Records Treasury/FLETC.

System location:

FLETC, Building 94, Glynco, GA 31524.

Categories of individuals covered by the system:

Employees in positions where the basic duties and responsibilities require the incumbent to exercise judgment in making a Government decision or in taking Government action on contracting or procurement. Specifically, all officials graded SES or GS/GM-15 and above; Deputy Assistant Director (Administration); Chief (Media Support

Division), Procurement Officer, Property Management Officer, Supervisory General Engineer, Facility Manager, Financial Operations Officer, Budget Officer, Contract Administrator, Contract Specialist, Chief (Driver and Marine Division), Chief (Firearms Division), and Chief (Physical Techniques Division).

Categories of records in the system:

All information required by or related to employment and financial interests of select GS-12 and above employees.

Authority for maintenance of the system:

Federal personnel Manual Chapter 735 and Executive Order 11222.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To provide certification to the office of Personnel Management that Statements of employment and Financial Interests are on file for each employee and special Government employees required to submit such statement under the regulations of the employing agency. Also, information for the agency head only to be disclosed upon his determination or that of the Chairman of the Office of Personnel Management for good cause shown. These records and information in the records may be used: (a) To disclose pertinent information to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (b) To disclose information to a Federal, State, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit. (c) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (d) To disclose information to foreign governments in accordance with formal or informal international agreements. (e) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains. (f) To provide information to the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings. (g) To provide information to unions recognized as exclusive bargaining representatives under the Civil Service Reform Act of 1978, 5 U.S.C. 7111 and 7114. (h) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper files.

Retrievability:

Name.

Safeguards:

Physical security, personnel screening and security checklist are all utilized to prevent unauthorized disclosure of records.

Retention and disposal:

Retained and updated annually and destroyed by shredding at the departure of employee from FLETC rolls.

System manager(s) and address:

Director, FLETC, Building 94, Glynco, GA 31524.

Notification procedure:

The individual must provide full name, date of birth, dates of employment with the Center to: Director, FLETC, Building 94, Glynco, GA 31524.

Record access procedures:

By formal letter to the System Manager.

Contesting record procedures:

See Access above.

Record source categories:

The employee on whom the record is maintained.

Systems exempted from certain provisions of the act:

None.

TREASURY/FLETC .004

System name:

FLETC Administrative Employee Records—Treasury/FLETC.

System location:

For Locator, Identification, Vehicle/Driver, Lost and Found, and Key records: Buildings 1 and 94. For Training Management System Instructor Records, Equipment Control or Property Pass/Accountability records: Buildings 1, 18, 28, 29, 46, 67, 68, 94, 142, 200, 205, 210, 221, 252, and 262. All buildings are located at Glynco, GA 31524.

Categories of individuals covered by the system:

Students, current employees, past employees, employees of tenant agencies, contractor employees, guests, and visiting personnel.

Categories of records in the system:

Locator records, Identification records, Training Management System Instructor Records, Vehicle Registration and Driver Violation records, Equipment Control records, Property Pass/Accountability records, Lost and Found records, and Key records.

Authority for maintenance of the system:

Treasury Order 217, dated July 1, 1970, revised, and Treasury Order 140-01, dated January 13, 1987.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Disclosure to the contract employer, the individual's parent agency, and Federal regulatory agencies on a "need to know" basis. These records and information in the records may be used: (a) To disclose pertinent information to appropriate Federal, State, local, or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (b) To disclose information to a Federal, State, or local agency, maintaining civil, criminal or other relevant enforcement information, or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit. (c) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (d) To disclose information to foreign governments in accordance with formal or informal international agreements. (e) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains. (f) To provide information to the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings. (g) To provide information to unions recognized as exclusive bargaining representatives under the Civil Service Reform Act of 1978, 5 U.S.C. 7111 and 7114. (h) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation. (i) To provide FLETC Management the information necessary to properly manage and control available resources and to properly manage student/staff support services.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper files and computer.

Retrievability:

Name, Social Security number, or employer.

Safeguards:

Physical security, personnel screening, and security checklists are all used to prevent unauthorized disclosure of records.

Retention and disposal:

Disposition as prescribed by the General Records Schedules.

System manager(s) and address:

Assistant Director (Administration), Building 94, FLETC, Glynco, GA 31524.

Notification procedure:

The individual must provide full name, social security number, and dates of duty at the Center to the System Manager.

Record access procedures:

By written request to the System Manager.

Contesting record procedures:

See Access above.

Record source categories:

The employee on whom the record is maintained, employers, and FLETC.

Systems exempted from certain provisions of the act:

None.

Treasury/FMS .001

System name:

Administrative Records—Treasury/Financial Management Service.

System location:

Financial Management Service, U.S. Department of the Treasury, Liberty Loan Building, Room 163, 401 14th Street SW., Washington, DC 20226.

Categories of individuals covered by the system:

Service personnel.

Categories of records in the system:

(l) Civil Defense Cards. (2) Motor Vehicle Drivers Permits. (3) Motor Vehicle Accident Reports. (4) Parking Permits. (5) Distribution List of individuals requesting various Treasury publications. (6) Treasury Credentials.

Authority for maintenance of the system:

5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

(a) To disclose to FEMA and other concerned agencies on holders of Civil Defense Cards. (b) To disclose to GSA for drivers permits, parking permits, accident report,s and credentials. (c) To disclose to GPO for servicing public on Treasury publications. These records and information in the records may be used: (d) To disclose information to foreign governments in accordance with formal or informal international agreements.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Hardcopy.

Retrievability:

By name.

Safeguards:

Locked containers.

Retention and disposal:

(l) Civil Defense Cards—destroy upon resignation, retirement, or transfer; Hold-Individual no longer assigned relocation duties. (2) Motor Vehicle Drivers Permits—destroy 3 years from date of separation or 3 years after rescission of authorization. (3) Distribution List—destroy when superseded. (4) Motor Vehicle Accident Reports—indefinitely. (5) Parking permits and Treasury Credentials—destroy upon retirement, resignation, or transfer.

System manager(s) and address:

Director, Facilities Management Division, Financial Management Service, U.S. Department of the Treasury, Treasury Annex No. 1, Room 124, Pennsylvania Avenue and Madison Place NW., Washington, DC 20226.

Notification procedure:

Inquiries under the Privacy Act of 1974 shall be sent to the Disclosure Officer at above address in Room 112. All individuals making inquiries should provide with their request as much descriptive matter as is possible to identify the particular record desired. The Systems Manager will advise as to whether the Service maintains the record requested by the individual.

Record access procedures:

Individuals requesting information under the Privacy Act of 1974 concerning procedures for gaining access or contesting records should write to the Disclosure Officer at the address shown above. All individuals are urged to examine the rules of the U.S. Department of the Treasury published in 31 CFR Part 1, Subpart C concerning requirements of this Department with respect to the Privacy Act of 1974.

Contesting record procedures:

See Access above.

Record source categories:

Service personnel.

Systems exempted from certain provisions of the act:

None.

Treasury/FMS .002

System name:

Payment issue records for regular recurring benefit payments—Treasury/Financial Management Service.

System location:

Financial Management Service, U.S. Department of the Treasury, Washington, DC 20226. Records maintained in Financial Centers in seven Regions: Austin, TX; Birmingham, AL; Chicago, IL; Kansas City, MO; Philadelphia, PA; San Francisco, CA; and Washington, DC. Also maintained in all Federal Record Centers by GSA.

Categories of individuals covered by the system:

(1) Beneficiaries of Title II of the Social Security Act.
(2) Beneficiaries of Title XVI of the Social Security Act.
(3) Beneficiaries of the Civil Service Retirement System.
(4) Beneficiaries of the Railroad Retirement System.
(5) Beneficiaries of the Foreign Service Retirement System.
(6) Holders of Series H and HH Bonds (interest payment).

Categories of records in the system:

Payment issue records for regular recurring benefit payments showing name, check number and symbol, or other identification, address, account number, payment amount, and date of issuance for each of the categories of individuals listed above.

Authority for maintenance of the system:

5 U.S.C. 301; Executive Order 6166, dated June 10, 1933.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

(a) To disclose to Banking industry for payment verification. (b) To disclose to Federal investigative agencies, Departments and agencies for whom payments are made, and payees. These records and information in the records may be used: (c) To disclose pertinent information to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (d) To disclose information to a Federal, State, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit. (e) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (f) To disclose information to foreign governments in accordance with formal or informal international agreements. (g) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains. (h) To provide information to the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings. (i) To provide information to unions recognized as exclusive bargaining representatives under the Civil Service Reform Act of 1978, 5 U.S.C. 7111 and 7114. (j) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Microfilm-magnetic tape for categories of individuals 1 through 6.

Retrievability:

By account number.

Safeguards:

Computer password system, card-key entry system, limited to authorized personnel.

Retention and disposal:

Indefinitely.

System manager(s) and address:

Disclosure Officer, Financial Management Service, U.S. Department of the Treasury, Treasury Annex No. 1, Room 112, Pennsylvania Avenue and Madison Place NW., Washington, DC 20226.

Notification procedure:

Inquiries under the Privacy Act of 1974 shall be addressed to the Disclosure Officer at above address. All individuals making inquiries should provide with their request as much descriptive matter as is possible to identify the particular record desired. The Systems Manager will advise as to whether the Service maintains the record requested by the individual.

Record access procedures:

Individuals requesting information under the Privacy Act of 1974 concerning procedures for gaining access or contesting records should write to the Disclosure Officer at the address shown above. All individuals are urged to examine the rules of the U.S. Department of the Treasury published in 31 CFR, Part 1, Subpart C concerning requirements of this Department with respect to the Privacy Act of 1974.

Contesting record procedures:

See Access above.

Record source categories:

Vouchers certifications by Departments and agencies for whom payments are made.

Systems exempted from certain provisions of the act:

None.

Treasury/FMS .003

System name:

Claims and Inquiry Records on TreasuryChecks, U S. Currencies, and International Claimants—Treasury/Financial Management Service.

System location:

Financial Management Service, U.S. Department of the Treasury, Washington, DC 20226.

Categories of individuals covered by the system:

(1) Payees and holders of Treasury checks, (2) Holders of mutilated currency, (3) Claimants awarded benefits under War Claims Act and International Claims Settlement Act of 1949.

Categories of records in the system:

(1) Treasury check claim file: Treasury check, claim of payee with name and address, settlement action taken. (2) Awards for claims for losses sustained by individuals.

Authority for maintenance of the system:

5 U.S.C. 301; (1) For Treasury check claims—31 U.S.C. 71 with delegation of authority from Comptroller General of the United States; (2) International claims—50 U.S.C. 2012; 22 U.S.C. 1627, 1641, 1642.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

(a) Information is routinely disclosed to endorsers concerning checks for which there is liability, Federal agencies, State and local law enforcement agencies, General Accounting Office, Congressional offices and media assistance offices on behalf of payee claimants. (b) International Claims—Information in files is used by claimants (awardees) and their representatives; Foreign Claims Settlement Commission, and Congressmen. These records and information in the records may be used: (c) To disclose pertinent information to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (d) To disclose information to a Federal, State, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit. (e) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (f) To disclose information to foreign governments in accordance with formal or informal international agreements. (g) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains. (h) To provide information to the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings. (i) To provide information to unions recognized as exclusive bargaining representatives under the Civil Service Reform Act of 1978, 5 U.S.C. 7111 and 7114. (j) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

(l) Claim file folders, Card checks, microfilm, and magnetic media. (2) Correspondence files. (3) Claim file folders.

Retrievability:

(1) Name of payee and check number and symbol. (2) Alpha cross-reference to case number. (3) Name of claimant or alpha reference to claim number.

Safeguards:

(1) Secured building, (2) Secured files in secured building.

Retention and disposal:

(1) Claim files and checks, six years seven months; Microfilm, indefinitely. (2) Correspondence files—seven years. (3) Claim file folders—indefinitely.

System manager(s) and address:

Disclosure Officer, Financial Management Service, U.S. Department of the Treasury, Liberty Loan Building, Room 520, 401 14th Street, SW, Washington, DC 20226.

Notification procedure:

Inquiries under the Privacy Act of 1974 shall be addressed to the Disclosure Officer as shown above. All individuals making inquiries should provide with their request as much descriptive matter as is possible to identify the particular record desired. The Systems Manager will advise as to whether the Service maintains the record requested by the individual.

Record access procedures:

Individuals requesting information under the Privacy Act of 1974 concerning procedures for gaining access or contesting records should write to: Disclosure Officer, Room 112, Personnel Office, U.S. Department of the Treasury, Treasury Annex No. 1, Madison Place and Pennsylvania Avenue, Washington, DC 20226. All individuals are urged to examine the rules of the U.S. Department of the Treasury published in 31 CFR Part 1, Subpart C concerning requirements of this Department with respect to the Privacy Act of 1974.

Contesting record procedures:

See Access above.

Record source categories:

(1) Individual payees of Treasury checks, endorsers of Treasury checks, investigative agencies, contesting claimants. (2) Awards certified to Treasury for payment by Foreign Claims Settlement Commission.

Systems exempted from certain provisions of the act:

None.

Treasury/FMS .005

System name:

FMS Personnel Records—Treasury/Financial Management Service.

System location:

Financial Management Service, Treasury Annex No. 1, Room 126, Pennsylvania Avenue and Madison Place, NW., Washington, DC 20226. FMS location—ICC Building, 1201 Constitution Avenue, NW, Washington, DC; Treasury Annex No. 1; and Premier Building, 1725 I Street, NW, Washington, DC.

Categories of individuals covered by the system:

All Employees of Service (Separated employees—in certain cases) and applicants.

Categories of records in the system:

(1) Official Personnel Folder. (2) Personnel Roster. (3) Logs of SF-52's, (4) Locator Cards. (5) Chronological Journal File. (6) Service Record Card (SF-7). (7) Correspondence File. (8) Written Verifications of Employment. (9) Summary of Training (Card File). (10) Training Course Nominations. (11) Evaluation of Training Program. (12) Tuition Assistance Files. (13) GED Test Scores. (14) Senior Executive Service Development File. (15) Management Development File. (16) Position Listings. (17) Position Descriptions with Evaluation Statements. (18) Personnel Management Evaluation Survey Reports. (19) Position Maintenance Reviews. (20) Applicant Supply File. (21) Suitability File. (22) Incentive Awards Record. (23) Request for Certification File. (24) Merit Promotion File. (25) Exit Interview File. (26) Performance File (27) Statistical Reports—retrievable by names. (a) Personnel Status Report. (b) Monthly Retiree

Report. (c) Monthly EEO report. (d) Direct Hire Authority Report. (e) Registers Worked File. (f) Statements of Employment and Financial Interest. (g) Other similar files or registers.

Authority for maintenance of the system:

Executive Order 10561, dated September 13, 1954, Federal Personnel Manual, and Title 5 of U.S. Code.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

(1) (a) Process Personnel Actions; (b) Verifying Service Computation Date. (2) (a) For Promotion Information; (b) Verification of Employment. (3) (a) Control of Processing SF-52's; (b) Verify Receipt and Non Receipt of SF-52's. (4) (a) Emergency Notifications; (b) Listing for Department Phone Directory; (c) Verification of Employment. (5) (a) Regulatory Audits; (b) Personnel Management Evaluations. (6) (a) A comprehensive and continuing Record of each Employee's status, skills, etc; (b) Cards on Separated Employees are used to verify prior employment. (7) Reference of prior actions. (8) Verify current or past employment. (9) Documented duties of employees for original allocated positions. (10) Audit and Evaluation of programs and specific positions. (11) Official Record of Annual Review of positions required by FPM. (12) Current Source of Recruitment. (13) (a) Reconstruction of case if appealed or grieved; (b) Assure continuity in handling troubled employees. (c) Document positive efforts made to rehabilitate employees, (d) Serve as source documents for suspensions or reprimands as cases warrant. (14) (a) Quarterly and Annual Reports, (b) Used as reference to assure approval of an award or amount of award consistent with regulations. (15) (a) Reconstruction of actions if appeal is filed. (b) Assure compliance with FPM regulations. (16) To determine skills and employee performance. (17) Maintenance of records for reporting and informational purposes. (18) Used to assure compliance with OPM regulations. (19) Used to determine conflict of interest or possible conflict of interest. These records and information in the records may be used: (20) To disclose pertinent information to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (21) To disclose information to a Federal, State, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit. (22) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (23) To disclose information to foreign governments in accordance with formal or informal international agreements. (24) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains. (25) To provide information to the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings. (26) To provide information to unions recognized as exclusive bargaining representatives under the Civil Service Reform Act of 1978, 5 U.S.C. 7111 and 7114. (27) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Hard copy and magnetic storage.

Retrievability:

Alphabetically by name; also in some instances by organization, then Social Security number.

Safeguards:

Secured building, secured room, and locked cabinets. Non-FMS access is limited to investigators from OPM, etc., members of Fair Employment staff and Union officials.

Retention and disposal:

Records are maintained and disposed of in accordance with General Records Schedules issued by the National Archives and Records Administration.

System manager(s) and address:

Personnel Officer, Financial Management Service, U.S. Department of the Treasury, Treasury Annex No. 1, Room 112, Pennsylvania Avenue and Madison Place NW., Washington, DC 20226.

Notification procedure:

Inquiries under the Privacy Act of 1974 shall be addressed to the Disclosure Officer. All individuals making inquiries should provide with their request as much descriptive matter as is possible to identify the particular record desired. The Systems Manager will advise as to whether the Service maintains the record requested by the individual.

Record access procedures:

Individuals requesting information under the Privacy Act of 1974 concerning procedures for gaining access or contesting records should write to the Disclosure Officer at the address shown above. All individuals are urged to examine the rules of the U.S. Department of the Treasury published in 31 CFR Part 1, Subpart C concerning requirements of this Department with respect to the Privacy Act of 1974.

Contesting record procedures:

See Access above.

Record source categories:

Applicant Personnel Action Forms (SF-50), SF-171 (Completed by applicant), Payroll Actions References, Educational Institutions, etc.

Systems exempted from certain provisions of the act:

None.

Treasury/FMS .007

System name:

Payroll and Pay Administration—Treasury/Financial Management Service.

System location:

Financial Management Service, U.S. Department of the Treasury, Washington, DC 20226.

Categories of individuals covered by the system:

All Employees of the Service and Separated Employees.

Categories of records in the system:

(1) Official Payroll Folder (a) Levy and Garnishment Records. (b) SF-1192—Savings Bond Authorization. (c) SF-1198—Allotment of Pay to Saving Account. (d) Copies of SF-50—Notification of Personnel Action. (e) Withholding Tax Exemptions. (f) Copy of Health Benefit Designation. (g) Copy of Life Insurance Forms. (h) Payroll Change Slips. (i) Combined Federal Campaign Designations. (j) Copy of SF-1150. (2) Time and Attendance Reports (TUS-430)—(a) SF-71 Request for Leave. (b) Court Leave Documents. (c) Request for Advancement of Leave. (3) Payroll Comprehensive Listing (a) Current Payment Information. (b) Record of Leave Earned and Used. (c) All Deductions from Pay. (d) Personnel Information such as Grade, Step, Salary, Title, Date of Birth, Social Security Number, Veterans Preference, Tenure, etc. (4) Payroll Control Registers.

Authority for maintenance of the system:

Title 5—Pay, Leave and Allowances.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

(a) Disclosure permitted to Federal Agencies and to State and Local Agencies for tax purposes.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Hard copy, microfiche, and magnetic media.

Retrievability:

By Social Security number.

Safeguards:

Secured building, secured room and locked cabinets.

Retention and disposal:

Records are stored, maintained and disposed of in accordance with General Records Schedules issued by the National Archives and Records Administration.

System manager(s) and address:

Disclosure Officer, Financial Management Service, U.S. Department of the Treasury, Treasury Annex No. 1, Room 112, Pennsylvania Avenue and Madison Place NW., Washington, DC 20226.

Notification procedure:

Inquiries under the Privacy Act of 1974 shall be addressed to the Disclosure Officer as shown above. All individuals making inquiries should provide with their request as much descriptive matter as is possible to identify the particular record desired. The Systems Manager will advise as to whether the Service maintains the record requested by the individual.

Record access procedures:

Individuals requesting information under the Privacy Act of 1974 concerning procedures for gaining access or contesting records should write to the Disclosure Officer at the address shown above. All individuals are urged to examine the rules of the U.S. Department of the Treasury published in 31 CFR Part 1, Subpart C concerning requirements of this Department with respect to the Privacy Act of 1974.

Contesting record procedures:

See Access above.

Record source categories:

From individual Service employees.

Systems exempted from certain provisions of the act:

None.

Treasury/FMS .008

System name:

Personnel Security Records—Treasury/Financial Management Service.

System location:

Financial Management Service, Pennsylvania Avenue and Madison Place NW., Washington, DC 20226.

Categories of individuals covered by the system:

Employees and applicants for position in the Service.

Categories of records in the system:

Results of full field investigations, national agency checks and written inquiries, and other limited investigations.

Authority for maintenance of the system:

Title 5, U.S.C., Chapter 73, Executive Order 10450, as Amended, and Treasury Order 82.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The records are reviewed for purpose of granting clearances for employees to occupy non-sensitive and sensitive positions. Users: Federal Agencies, Federal, State and Local Law Enforcement Agencies. These records and information in the records may be used: (a) To disclose pertinent information to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (b) To disclose information to a Federal, State, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit. (c) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (d) To disclose information to foreign governments in accordance with formal or informal international agreements. (e) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains. (f) To provide information to the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings. (g) To provide information to unions recognized as exclusive bargaining representatives under the Civil Service Reform Act of 1978, 5 U.S.C. 7111 and 7114. (h) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

The records are hard copy.

Retrievability:

Filed alphabetically by name.

Safeguards:

Stored in a safe cabinet secured with a combination lock and/or magnetic media. Access to the records is restricted to key personnel who have been granted clearances to occupy critical-sensitive positions.

Retention and disposal:

The records on employees are retained by the Service during their employment. The records on applicants not selected and separated employees are returned to the investigating agency.

System manager(s) and address:

Director, Program Review Division, 613 Matomic Building, U.S. Treasury, FMS, Washington, DC 20226.

Notification procedure:

Inquiries under the Privacy Act of 1974 shall be addressed to the Disclosure Officer. All individuals making inquiries should provide with their request as much descriptive matter as is possible to identify the particular record desired. The Systems Manager will advise as to whether the Service maintains the record requested by the individual.

Record access procedures:

Individuals requesting information under the Privacy Act of 1974 concerning procedures for gaining access or contesting records should write to the Disclosure Officer. All individuals are urged to examine the rules of the U.S. Department of the Treasury published in 31 CFR Part 1, Subpart C concerning requirements of this Department with respect to the Privacy Act of 1974.

Contesting record procedures:

See Access above.

Record source categories:

Sources are applicants, employers, former employers, references, fellow workers, neighbors, educational authorities, military records, police and criminal records, credit records and others as required.

Systems exempted from certain provisions of the act:

None.

Treasury/FMS .010

System name:

Records of Accountable Officers' Authority with Treasury—Treasury/Financial Management Service.

System location:

Financial Management Service, U.S. Department of the Treasury, Washington, DC 20226.

Categories of individuals covered by the system:

(1) Regional Directors. (2) Certifying Officers. (3) Agent Cashiers. (4) Designated Agents.

Categories of records in the system:

Records are maintained on the above listed accountable officers showing the designation or removal of the officer to act in the specified capacity pursuant to a proper authorization.

Authority for maintenance of the system:

5 U.S.C. 301; Executive Order 6166, dated June 10, 1933.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

(a) To disclose to Banking institutions, Federal Reserve Banks, and Government agencies for verification of information on authority of accountable officers to determine propriety of actions taken by such individuals. These records and information in the records may be used: (b) To disclose pertinent information to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (c) To disclose information to a Federal, State, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit. (d) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (e) To disclose information to foreign governments in accordance with formal or informal international agreements. (f) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains. (g) To provide information to the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings. (h) To provide information to unions recognized as exclusive bargaining representatives under the Civil Service Reform Act of 1978, 5 U.S.C. 7111 and 7114. (i) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Card files.

Retrievability:

By name.

Safeguards:

Held in secured buildings. Regional Directors file is locked.

Retention and disposal:

Indefinitely.

System manager(s) and address:

Disclosure Officer, Financial Management Service, U.S. Department of the Treasury, Room 112, Treasury Annex No. 1, Pennsylvania Avenue and Madison Place NW., Washington, DC 20226.

Notification procedure:

Inquiries under the Privacy Act of 1974 shall be addressed to the Disclosure Officer. All individuals making inquiries should provide with their request as much descriptive matter as is possible to identify the particular record desired. The Systems Manager will advise as to whether the Service maintains the record requested by the individual.

Record access procedures:

Individuals requesting information under the Privacy Act of 1974 concerning procedures for gaining access or contesting records should write to the Disclosure Officer. All individuals are urged to examine the rules of the U.S. Department of the Treasury published in 31 CFR Part 1, Subpart C concerning requirements of this Department with respect to the Privacy Act of 1974.

Contesting record procedures:

See Access above.

Record source categories:

Government Departments and Agencies requiring services of Treasury Department for issuance and payment of Treasury checks.

Systems exempted from certain provisions of the act:

None.

Treasury/FMS .011

System name:

Individual Retirement Cards, SF 2806—Treasury/Financial Management Service.

System location:

Financial Management Service, U.S. Department of the Treasury, Washington, DC 20226.

Categories of individuals covered by the system:

Employees of the Service.

Categories of records in the system:

Individual retirement cards maintained to record annual contribution to the Retirement Fund of each employee.

Authority for maintenance of the system:

5 U.S.C. 8707; 5 CFR 831. 102.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

(a) Used by the Bureau to record annual contribution to the Retirement Fund. These records and information in the records may be used: (b) To disclose pertinent information to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (c) To disclose information to a Federal, State, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit. (d) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (e) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains. (f) To provide information to unions recognized as exclusive bargaining representatives under the Civil Service Reform Act of 1978, 5 U.S.C. 7111 and 7114. (g) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Card.

Retrievability:

By name.

Safeguards:

All persons requesting information are screened.

Retention and disposal:

Retained for tenure of employment then transferred to OPM or other Government agency.

System manager(s) and address:

Personnel Officer, Financial Management Service, U.S. Department of the Treasury, Room 112, Treasury Annex No. 1, Pennsylvania Avenue and Madison Place NW., Washington, DC 20226.

Notification procedure:

Inquiries under the Privacy Act of 1974 shall be addressed to the Systems Manager as shown above. All individuals making inquiries should provide with their request as much descriptive matter as is possible to identify the particular record desired. The Systems Manager will advise as to whether the Service maintains the record requested by the individual.

Record access procedures:

Individuals requesting information under the Privacy Act of 1974 concerning procedures for gaining access or contesting records should write to the Disclosure Officer at the address shown above. All individuals are urged to examine the rules of the U.S. Department of the Treasury concerning requirements of this Department with respect to the Privacy Act of 1974.

Contesting record procedures:

See Access above.

Record source categories:

Service Personnel Office.

Systems exempted from certain provisions of the act:

None.

Treasury/FMS .012

System name:

Pre-complaint Counseling and Complaint Activities—Treasury/Financial Management Service.

System location:

Financial Management Service, U.S. Treasury Department, Premier Building, Room 1104, 1725 I Street, NW., Washington, DC 20226.

Categories of individuals covered by the system:

Employees seeking services of EEO Counselors.

Categories of records in the system:

Monthly pre-complaint activity reports from seven Financial Centers and Headquarters.

Authority for maintenance of the system:

5 U.S.C. 7154; 42 U.S.C. 200e-16; Executive Order 11478; and 5 CFR Part 713.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used to keep records on EEO Counseling activities for monthly submission to Treasury.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File cabinet.

Retrievability:

Filed by station and date of receipt.

Safeguards:

Staff supervision is maintained during the day. Records are kept locked in the files.

Retention and disposal:

Reports destroyed at the end of four years.

System manager(s) and address:

EEO Officer, Financial Management Service, Premier Building, Room 1104, 1725 I Street, NW, Washington, DC 20226.

Notification procedure:

Inquiries under the Privacy Act of 1974 shall be addressed to the Disclosure Officer. All individuals making inquiries should provide with their request as much descriptive matter as is possible to identify the particular record desired. The Systems Manager will advise as to whether the Service maintains the record requested by the individual.

Record access procedures:

Individuals requesting information under the Privacy Act of 1974 concerning procedures for gaining access or contesting records should write to the Disclosure Officer. All individuals are urged to examine the rules of the U.S. Department of the Treasury published in 31 CFR Part 1, Subpart C concerning requirements of this Department with respect to the Privacy Act of 1974.

Contesting record procedures:

See Access above.

Record source categories:

Monthly submissions by Financial Centers and Headquarters.

Systems exempted from certain provisions of the act:

None.

Treasury/FMS .013

System name:

Gifts to the United States—Treasury/Financial Management Service.

System location:

U.S. Treasury Department, Legal Division, Office of the Chief Counsel, Financial Management Service, Pennsylvania Ave. and Madison Place, NW., Room 600 ANX, Washington, DC 20226.

Categories of individuals covered by the system:

Donors of intervivos and testamentary gifts to the United States.

Categories of records in the system:

Correspondence, copies of wills and court proceedings, and other material related to gifts to the United States.

Authority for maintenance of the system:

31 U.S.C. 3113.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosures are not made outside of the Department.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Filing cabinets.

Retrievability:

Name of donor.

Safeguards:

Access is limited to persons on official business.

Retention and disposal:

Records are maintained for 10 years.

System manager(s) and address:

Chief, Financial Operations Branch, Financial Division, Financial Management Service, U.S. Department of the Treasury, Washington, DC 20226.

Notification procedure:

Individuals wishing to be notified if they are named in this system of records, or gain access to records maintained in this system must submit a written request containing the following elements: (1) Identify the record system; (2) identify the category and type of records sought; and (3) provide at least two items of secondary identification (date of birth, employee identification number, dates of employment or similar information). Address inquiries to Disclosure Officer (See "Record access procedures" below).

Record access procedures:

Disclosure Officer, Financial Management Service, U.S. Department of the Treasury, Liberty Loan Building, Room 520, 401 14th Street, SW., Washington, DC 20226.

Contesting record procedures:

See "Record access procedures" above.

Record source categories:

Individuals, executors, administrators and other involved persons.

Systems exempted from certain provisions of the act:

None.

Treasury/IRS 00.001

System name:

Correspondence Files and Correspondence Control Files—Treasury/IRS.

System location:

Various offices of the Internal Revenue Service maintain files of correspondence received. (See IRS Appendix A).

Categories of individuals covered by the system:

(1) Initiators of the correspondence. (2) Persons upon whose behalf the correspondence was initiated. (3) Subjects of the correspondence.

Categories of records in the system:

(1) Correspondence received. (2) Responses to correspondence. (3) Associated records. Special categories of correspondence may be included in other systems of records described by specific notices. Files are maintained in connection with a variety of correspondence received and the uses vary—widely in accordance with the content of the correspondence. Correspondence may include letters, telegrams, memoranda of telephone calls, and other forms of communication.

Authority for maintenance of the system:

5 U.S.C. 301, 26 U.S.C. 7801 and 7802.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

A record or information from a record maintained in this system of records may be disclosed as a routine use: (1) To the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice. Disclosure may be made during judicial processes. (2) To other agencies to the extent provided by law or regulation and as necessary to report apparent violation of law to appropriate law enforcement agencies. (3) To appropriate Federal, State, local, or foreign agencies responsible for enforcing or implementing a statute, rule, regulation, order or license. (4) To a Federal, State, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an employee, or issuance of a security clearance, license, contract, grant or other benefit. (5) In response to a court subpoena, to appropriate parties engaged in litigation or in preparation of possible litigation such as potential witnesses for the purpose of securing their testimony to courts, magistrates or administrative tribunals, to parties and their attorneys in connection with litigation or settlement of disputes, to individuals seeking information through established discovery procedures in connection with civil, criminal or regulatory proceedings. (6) To foreign governments in accordance with formal or informal international agreements. (7) To a Congressional office in response to an inquiry made at the request of the individual to whom the record pertains. (8) To the news media, in accordance with guidelines contained in 28 CFR 50.2, concerning this agency's functions relating to civil and criminal proceedings. (9) To unions recognized as exclusive bargaining representatives under the Civil Service Reform Act of 1978, 5 U.S.C. 7111 and 7114. (10) To third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation. (11) To the extent that any records in this system constitute return information, they may be disclosed only as provided by 26 U.S.C. 6103.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records and/or magnetic media.

Retrievability:

Controlled items are generally retrievable by name; some items are not retrievable, depending upon the controls established locally. No centralized index exists.

Safeguards:

Access controls will be not less than provided for by the Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal:

Disposition varies in accordance with the nature of the correspondence file, but is made in accordance with the Records Disposition Handbook, IRM 1(15)59.

System manager(s) and address:

Head of the Office maintaining the file. (See IRS Appendix A.)

Notification procedure:

Individuals seeking to determine if a system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the office believed to have received the correspondence. (See IRS Appendix A.)

Record access procedures:

Individuals seeking access to any record contained in a system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the office believed to have received the correspondence.

Contesting record procedures:

See Access procedures above.

Record source categories:

Information supplied by the initiators of the correspondence and information secured internally from other systems of records.

Systems exempted from certain provisions of the act:

None.

Treasury/IRS 00.002

System name:

Correspondence Files/Inquiries About Enforcement Activities—Treasury/IRS.

System location:

National Office, National Computer Center, Data Center, Regional Offices, District Offices and Service Centers. (See Appendix A.)

Categories of individuals covered by the system:

(1) Initiators of correspondence. (2) Persons upon whose behalf the correspondence was initiated. (3) Persons who are subjects of the correspondence. Includes individuals for whom tax liabilities exist, individuals who have made a complaint or inquiry relative to an Internal Revenue tax matter, or individuals for whom a third party is interceding relative to an Internal Revenue tax matter.

Categories of records in the system:

Taxpayer name, address, taxpayer identification number (if applicable), information about tax matters (if applicable), chronological investigative history. Other information relative to the conduct of the case and/or the taxpayer's compliance history (if applicable). Correspondence may include letters, telegrams, memoranda of telephone calls and other forms of communication.

Authority for maintenance of the system:

5 U.S.C. 301; 26 U.S.C. 7602; 26 U.S.C. 7801, 7802.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in these records may be used: (1) To disclose information to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice. (2) To appropriate Federal, State, local, or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license. (3) To a Federal, State, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an employee, or issuance of a security clearance, license, contract, grant, or other benefit. (4) To a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (5) In response to a court subpoena, to appropriate parties engaged in litigation or in preparation of possible litigation such as potential witnesses for the purpose of securing their testimony to courts, magistrates or administrative tribunals, to parties and their attorneys in connection with litigation or settlement of disputes, to individuals seeking information through established discovery procedures in connection with civil, criminal or regulatory proceedings. (6) To a congressional office in response to an inquiry made at the request of the individual to whom the record pertains. (7) To the news media, in accordance with guidelines contained in 28 CFR 50.2 concerning this agency's functions relating to civil and criminal proceedings. (8) To unions recognized as exclusive bargaining representatives under the Civil Service Reform Act of 1978, 5 U.S.C. 7111 and 7114. (9) To third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation. (10) Disclosure of returns and return information may be made only as provided by 26 U.S.C. 6103. (11) Disclosure may be made to other agencies to the extent provided by law or regulation and as necessary to report apparent violation of law to appropriate law enforcement agencies. (12) Information may be disclosed to States, the District of Columbia, the Commonwealth of Puerto Rico, or possessions of the United States, to assist in the administration of tax laws.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records and/or magnetic media.

Retrievability:

Controlled items are generally retrievable by name; some items are not retrievable, depending upon the controls established locally. No centralized index exists.

Safeguards:

Access controls will be not less than provided for by the Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal:

Disposition varies in accordance with the nature of the correspondence file, but is made in accordance with the Records Disposition Handbook, IRM 1(15)59.

System manager(s) and address:

Assistant Commissioners, Regional Commissioners, District Directors and Service Center Directors of Internal Revenue.

Notification procedure:

This system is exempt from the notification provisions of the Privacy Act.

Record access procedures:

This system is exempt from the Access and Contest provisions of the Privacy Act.

Contesting record procedures:

26 U.S.C. 7852(e) prohibits Privacy Act amendment of tax records.

Record source categories:

This system of records contains investigatory material compiled for law enforcement purposes whose sources need not be reported.

Systems exempted from certain provisions of the act:

This system has been designated as exempt from certain provisions of the Privacy Act.

Treasury/IRS 10.001

System name:

Biographical Files, Public Affairs—Treasury/IRS.

System location:

National, Regional and District Offices and Service Centers (see IRS Appendix A).

Categories of individuals covered by the system:

IRS Employees.

Categories of records in the system:

Records are biographical data and photographs of key IRS employees.

Authority for maintenance of the system:

5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in these records may be used to disclose information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains. Information contained in this system may be included in news releases issued to the media and the public.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Stored in file cabinets without locks or on magnetic media.

Retrievability:

By name.

Safeguards:

Office doors locked at night.

Retention and disposal:

Generally governed by the Records Management Handbook IRM 1(15)59.

System manager(s) and address:

Assistant to the Commissioner (Public Affairs), Regional, District and Service Center Public Affairs Officers (see IRS Appendix A).

Notification procedure:

Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to Assistant to the Commissioner (Public Affairs), IRS, Washington, DC 20224, for national office file. See Appendix A for appropriate address for regional and district office or service center files.

Record access procedures:

Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed as in Notification Procedures.

Contesting record procedures:

See Access.

Record source categories:

Information is supplied by the IRS official on an IRS biographical data form.

Systems exempted from certain provisions of the act:

None.

Treasury/IRS 10.004

System name:

Subject Files, Public Affairs—Treasury/IRS.

System location:

National, Regional and District Offices and Service Centers (see IRS Appendix A).

Categories of individuals covered by the system:

In general, records are maintained on individuals whose names have been mentioned in the press in connection with their relationship with IRS.

Categories of records in the system:

The records include correspondence, newspaper clippings, interoffice memoranda and similar documents.

Authority for maintenance of the system:

5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To the extent information contained in this system is used in response to inquiries from the media, routine disclosures may be made to the media and the public.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are stored in file cabinets without locks or on magnetic media.

Retrievability:

Alphabetical by subject.

Safeguards:

Office doors locked at night.

Retention and disposal:

Generally governed by the Records Disposition Handbook IRM 1(15)59.

System manager(s) and address:

Assistant to the Commissioner (Public Affairs), Regional, District and Service Center Public Affairs Officers (see IRS Appendix A).

Notification procedure:

Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to Assistant to the Commissioner (Public Affairs), IRS, Washington, DC 20224, for national office file. See Appendix A for appropriate address for regional and district office or service center files.

Record access procedures:

Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed as in Notification Procedures.

Contesting record procedures:

See Access.

Record source categories:

Records generally are clippings from newspapers, magazines, and similar sources, internal documents and memoranda.

Systems exempted from certain provisions of the act:

None.

Treasury/IRS 21.001

System name:

Tax Administration Advisors Resources File, Office of Tax Administration Advisory Services—Treasury/IRS.

System location:

Office of the Assistant Commissioner (International), 950 L'Enfant Plaza SW., Fourth Floor, Washington, DC 20024.

Categories of individuals covered by the system:

Past and potential tax administration advisors who have served or indicated an interest in serving on advisory assignments, and selected officials engaged in tax administration and related fields.

Categories of records in the system:

Applicant roster database, locator cards and lists with names, addresses, telephone numbers, and organizational affiliations of officials engaged in tax administration; work assignment or application folders of past and potential tax administration advisors, which contain employment history, information, medical abstracts, security clearances, and passport information; bio-data sketches on IRS employees and others engaged in tax administration and related fields.

Authority for maintenance of the system:

5 U.S.C. 301, 26 U.S.C. 7801 and 7802.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Maintained for use by office management officials as a reference in obtaining and presenting information related to tax administration, and for administrative selection and processing of overseas and domestic assignments. The records and information in these records may be used to disclose information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains. Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice. Disclosure may be made during judicial processes.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records and magnetic media.

Retrievability:

By individual name.

Safeguards:

Access limited to authorized office personnel. File folders kept in locked file or locked room.

Retention and disposal:

Disposed when no longer useful or official use. Auth: IRM 1(15)59, Records Disposition Handbook.

System manager(s) and address:

Office of the Assistant Commissioner (International) (see IRS Appendix A).

Notification procedure:

Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to Office of the Assistant Commissioner (International) 950 L'Enfant Plaza SW., Fourth Floor, Washington, DC 20024.

Record access procedures:

Individuals seeking access to any record contained in the system of records may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to Office of the Assistant Commissioner (International), 950 L'Enfant Plaza SW., Fourth Floor, Washington, DC 20024.

Contesting record procedures:

Individuals seeking access to any record contained in the system of records to contest its contents, may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Address inquiries to the Office of the Assistant Commissioner (International), 950 L'Enfant Plaza SW., Fourth Floor, Washington, DC 20024.

Record source categories:

From the individual, from the organization with which he is associated, or from other knowledgeable experts in the field of Tax Administration.

Systems exempted from certain provisions of the act:

None.

Treasury/IRS 22.003

System name:

Annual Listing of Undelivered Refund Checks, D:R:T—Treasury/IRS.

System location:

Internal Revenue Service Centers and District Offices (see IRS Appendix A).

Categories of individuals covered by the system:

Taxpayers whose refund checks have been returned as undeliverable since the last Annual Listing of Undelivered Refund Checks was produced.

Categories of records in the system:

Taxpayer entity information (Name, Street Address, City, State, Zip Code and Taxpayer Identification Number) and records containing tax module information (Tax Period, Amount of Credit Balance and Control Document Locator Number).

Authority for maintenance of the system:

5 U.S.C. 301, 26 U.S.C. 7801, 26 U.S.C. 7802, 26 U.S.C. 7602.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Individuals entitled to undeliverable refund checks will be notified of such checks by publication of their names in the news media. Disclosure of returns and return information may be made only as provided by 26 U.S.C. 6103.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper document stored in files or on magnetic media.

Retrievability:

Information is retrievable by taxpayer's name or taxpayer identification number (social security number (SSN) or employer identification number (EIN)).

Safeguards:

Safeguards will not be less than provided by the Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal:

The policies and practices regarding retention and disposal are as specified in IRM 1(15)59, Records Disposition Handbook.

System manager(s) and address:

Official prescribing policies and practices—Assistant Commissioner (D:R). Officials maintaining the system—Directors, Internal Revenue Service Centers. (See IRS Appendix A.)

Notification procedure:

Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Internal Revenue Service Center servicing the area in which the individual resided at the time he/she filed the return which created the undeliverable refund. (See IRS Appendix A.)

Record access procedures:

Individuals seeking access to any record contained in the system of records may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Internal Revenue Service Center servicing the areas in which the individual resided at the time he/she filed the return which created the undeliverable refund. (See IRS Appendix A.)

Contesting record procedures:

26 U.S.C. 7852(e) prohibits Privacy Act amendment of tax records.

Record source categories:

Tax returns and other filings made by the individual and agency entries made in the administration of the individual's tax account.

Systems exempted from certain provisions of the act:

None.

Treasury/IRS 22.011

System name:

File of Erroneous Refunds, D:R:R—Treasury/IRS.

System location:

Internal Revenue Service Centers. (See IRS Appendix A.)

Categories of individuals covered by the system:

Taxpayers issued erroneous refunds.

Categories of records in the system:

Case reference name, number, control number, date of erroneous refund, statute expiration date, status of case, location, correspondence and research material.

Authority for maintenance of the system:

5 U.S.C. 301, 26 U.S.C. 7801, 26 U.S.C. 7802, 26 U.S.C. 7602.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Disclosure of returns and return information may be made only as provided by 26 U.S.C. 6103.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper document file.

Retrievability:

Retrieved by social security number (SSN) or employer identification number (EIN).

Safeguards:

Safeguards will not be less than provided by the Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal:

Retained four years then destroyed. Auth: IRM 1(15)59, Records Disposition Handbook.

System manager(s) and address:

Official prescribing policies and practices—Assistant Commissioner (D:R). Officials maintaining the system—Directors, Internal Revenue Service Centers. (See IRS Appendix A.)

Notification procedure:

Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Internal Revenue Service Center servicing the area in which the individual resides. (See IRS Appendix A.)

Record access procedures:

Individuals seeking access to any record contained in the system of records may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Internal Revenue Service Center servicing the areas in which the individual resides. (See IRS Appendix A.)

Contesting record procedures:

26 U.S.C. 7852(e) prohibits Privacy Act amendment of tax records.

Record source categories:

Tax returns and other filings made by the individual and agency entries made in the administration of the individual's tax account.

Systems exempted from certain provisions of the act:

None.

Treasury/IRS 22.026

System name:

FORM 1042S Index By Name of Recipient, D:R:R—Treasury/IRS.

System location:

Philadelphia Internal Revenue Service Center (see IRS Appendix A).

Categories of individuals covered by the system:

Non-resident aliens and U.S. citizens living abroad whose taxes are covered by IR Chapter 3 Withholding.

Categories of records in the system:

Records include taxpayer's name, address, tax data, country of residence and employer identification number and name of withholding agent.

Authority for maintenance of the system:

5 U.S.C. 301, 26 U.S.C. 7801, 26 U.S.C. 7802, 26 U.S.C. 7602.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Disclosure of returns and return information may be made only as provided by 26 U.S.C. 6103.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Microfilm.

Retrievability:

By taxpayer name.

Safeguards:

Safeguards will not be less than provided by the Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal:

Retained at Service Center 5 years, then at Federal Records Center 25 years. Auth: IRM 1(15)59, Records Disposition Handbook.

System manager(s) and address:

Official prescribing policies and practices—Assistant Commissioner (D:R). Officials maintaining the system—Director, Philadelphia Internal Revenue Service Center. (See IRS Appendix A.)

Notification procedure:

Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Internal Revenue Service Center servicing the area in which the individual resides. (See IRS Appendix A.)

Record access procedures:

Individuals seeking access to any record contained in the system of records may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Internal Revenue Service Center servicing the areas in which the individual resides. (See IRS Appendix A.)

Contesting record procedures:

26 U.S.C. 7852(e) prohibits Privacy Act amendment of tax records.

Record source categories:

Tax returns and other filings made by the individual and agency entries made in the administration of the individual's tax account.

Systems exempted from certain provisions of the act:

None.

Treasury/IRS 22.027

System name:

Foreign Information System (FIS), D:R:R—Treasury/IRS.

System location:

Detroit Data Center, Philadelphia Internal Revenue Service Center, its servicing Federal Records Centers, all Regional Offices, District Offices and National Office. (See IRS Appendix A.)

Categories of individuals covered by the system: :

Taxpayers who file Form 5471, Information Return with Respect to a Foreign Corporation.

Categories of records in the system:

Taxpayer entity records (name, address, and identification number), foreign corporation identification, information relating to stock, U.S. shareholders, Earnings and Profits, Balance Sheet, and other available accounting information relating to a specific taxable period.

Authority for maintenance of the system:

5 U.S.C. 301, 26 U.S.C. 7801, 26 U.S.C. 7802, 26 U.S.C. 7602.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Disclosure of returns and return information may be made only as provided by 26 U.S.C. 6103.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Magnetic media. (Various tables are published from this media.)

Retrievability:

Documents are stored and retrieved by Document Locator Numbers.

Safeguards:

Safeguards will not be less than provided by the Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal:

Retention and Disposal Instructions for this file are as specified in the Records Disposition Handbook, Service Centers, IRM 1(15)59.26.

System manager(s) and address:

Official prescribing policies and practices—Assistant Commissioner (D:R).

Officials maintaining the system—Directors, Internal Revenue Service Centers. (See IRS Appendix A.)

Notification procedure:

Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Internal Revenue Service Center servicing the area in which the individual resides. (See IRS Appendix A.)

Record access procedures:

Individuals seeking access to any record contained in the system of records may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Internal Revenue Service Center servicing the areas in which the individual resides. (See IRS Appendix A.)

Contesting record procedures:

26 U.S.C. 7852(e) prohibits Privacy Act amendment of tax records.

Record source categories:

Tax returns and other filings made by the individual and agency entries made in the administration of the individual's tax account.

Systems exempted from certain provisions of the act:

None.

Treasury/IRS 22.032

System name:

Individual Microfilm Retention Register, D:R:R:—Treasury/IRS.

System location:

All IRS Service Centers, District Offices, and National Computer Center. (See IRS Appendix A.)

Categories of individuals covered by the system:

Categories of individuals on whom records are maintained are: For Individual Master File (IMF) registers—Individuals who file, or may be required to file, individual tax returns such as Form 1040, 1040A, or 1040EZ.

Categories of records in the system:

The categories of records maintained are abstracts of tax and/or entity modules that have been removed from the IMF. These abstract records indicate the taxpayer name, identification number, specific tax returns filed, document locator number, tax years, debit and credit amounts, balances, and other transactions which have been recorded relative to the module(s).

Authority for maintenance of the system:

5 U.S.C. 301, 26 U.S.C. 7801, 26 U.S.C. 7802, 26 U.S.C. 7602.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure of returns and return information may be made only as provided by 26 U.S.C. 6103.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Microfilm Tape.

Retrievability:

IMF Reference Register (for IMF Register only), taxpayer identification number, Tax Period, name, and type of tax Methods of retrievability are explained in the Research Operations Handbook, IRM 36(66)0.

Safeguards:

Safeguards will not be less than provided by the Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal:

As specified in the Records Disposition Handbook, IRM 1(15)59.

System manager(s) and address:

Official prescribing policies and practices—Assistant Commissioner (D:R). Officials maintaining the system—Directors, Internal Revenue Service Centers, and National Computer Center. (See IRS Appendix A.)

Notification procedure:

Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Internal Revenue Service Center servicing the area in which the individual resides. (See IRS Appendix A.)

Record access procedures:

Individuals seeking access to any record contained in the system of records may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Internal Revenue Service Center servicing the area in which the individual resides. (See IRS Appendix A.)

Contesting record procedures:

26 U.S.C. 7852(e) prohibits Privacy Act amendment of tax records.

Record source categories:

Tax returns and other filings made by the individual and agency entries made in the administration of the individual's tax account.

Systems exempted from certain provisions of the act:

None.

Treasury/IRS 22.034

System name:

Individual Returns Files, Adjustments and Miscellaneous Documents Files. D:R:R—Treasury/IRS.

System location:

Internal Revenue Service Centers and Federal Records Centers. (See IRS Appendix A.)

Categories of individuals covered by the system:

Taxpayers or return preparers who have had changes made to their accounts, or have had information posted to the Individual Master File or other tax accounting files as a result of filing returns, applications, or other documents, or as a result of actions initiated by the Service. A record will be maintained for those taxpayers whose individual income tax overpayments have been retained or transferred from the IMF to apply against past due child and/or spousal support payments as reported to IRS by the states under Pub. L. 97-35.

Categories of records in the system:

A variety of records reflecting tax matters which have served as input documents or supporting documentation for entries on the Individual Master File, or other tax accounting files, including tax return forms, declarations, applications, case records, processing documents, vouchers, computer notices, posting and correction forms, Interest Equalization Tax Forms, withholding allowance certificates, and similar records.

Information will be maintained as to the name, SSN, address of individuals owing past due child and/or spousal support payments submitted by states under Pub. L. 97-35. Also maintained will be the name of the submission state, the amount owed, and the amount of any individual income tax overpayment retained and transferred to the state to apply against the amount owed.

Authority for maintenance of the system:

5 U.S.C. 301, 26 U.S.C. 7801, 26 U.S.C. 7802, 26 U.S.C. 7602.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Disclosure of returns and return information may be made only as provided by 26 U.S.C. 6103.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper document files or magnetic media.

Retrievability:

Documents are stored and retrieved by Document Locator Numbers and by taxpayer name. The Document Locator Numbers can be determined by reference to the Individual Master File entries for the individual to whom they relate.

Safeguards:

Safeguards will not be less than provided by the Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal:

Retention and Disposal Instructions for paper documents and magnetic media in these files is as specified in the Records Disposition Handbook, Service Centers, IRM 1(15)59.26.

System manager(s) and address:

Official prescribing policies and practices—Assistant Commissioner (D:R). Officials maintaining the system—Directors, Internal Revenue Service Centers. (See IRS Appendix A.)

Notification procedure:

Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Internal Revenue Service Center servicing the area in which the individual resides. (See IRS Appendix A.)

Record access procedures:

Individuals seeking access to any record contained in the system of records may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Internal Revenue Service Center servicing the area in which the individual resides. (See IRS Appendix A.)

Contesting record procedures:

26 U.S.C. 7852(e) prohibits Privacy Act amendment of tax records.

Record source categories:

Tax returns and other filings made by the individual and agency entries made in the administration of the individual's tax account.

Systems exempted from certain provisions of the act:

None.

Treasury/IRS 22.043

System name:

Potential Refund Litigation Case Files, D:R:R—Treasury/IRS.

System location:

Internal Revenue Service Centers and Federal Records Centers. (See IRS Appendix A.)

Categories of individuals covered by the system:

Taxpayers who have indicated to the Service that they may file suit against the Service for a refund.

Categories of records in the system:

Forms filed by the taxpayer and case documents determined by the Service to be related.

Authority for maintenance of the system:

5 U.S.C. 301, 26 U.S.C. 7801, 26 U.S.C. 7802, 26 U.S.C. 7602.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Disclosure of returns and return information may be made only as provided by 26 U.S.C. 6103.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

This is a paper document file.

Retrievability:

Documents are stored and retrieved by taxpayer name.

Safeguards:

Safeguards will not be less than provided by the Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal:

Retention and Disposal Instruction for paper documents in these files is as specified in the Records Disposition Handbook, Service Centers, IRM 1 (15) 59.26.

System manager(s) and address:

Official prescribing policies and practices—Assistant Commissioner (D:R). Officials maintaining the system—Directors, Internal Revenue Service Centers. (See IRS Appendix A.)

Notification procedure:

Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Internal Revenue Service Center servicing the area in which the individual resides. (See IRS Appendix A.)

Record access procedures:

Individuals seeking access to any record contained in the system of records may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Internal Revenue Service Center servicing the area in which the individual resides. (See IRS Appendix A.)

Contesting record procedures:

26 U.S.C. 7852(e) prohibits Privacy Act amendment of tax records.

Record source categories:

Tax returns and other filings made by the individual and agency entries made in the administration of the individual's tax account.

Systems exempted from certain provisions of the act:

None.

Treasury/IRS 22.044

System name:

P.O.W./M.I.A. Reference File, D:R:T—Treasury/IRS.

System location:

Austin Service Center and each district office. (See IRS Appendix A.)

Categories of individuals covered by the system:

P.O.W./M.I.A.-originated from Department of Defense lists.

Categories of records in the system:

Lists of P.O.W./M.I.A., Regulations, Rulings, and Instructions as to how to handle specific tax questions relating to their special tax status, copies of individual tax returns, claims, and other documents germane to specific cases.

Authority for maintenance of the system:

5 U.S.C. 301, 26 U.S.C. 7801, 26 U.S.C. 7802, 26 U.S.C. 7602.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Disclosure of returns and return information may be made only as provided by 26 U.S.C. 6103.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper documents in file folders.

Retrievability:

Cases filed alphabetically by last name.

Safeguards:

Safeguards will not be less than provided by the Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal:

All cases have been retained and no current provisions have been established for disposal. Auth:
IRM (15)59.

System manager(s) and address:

Official prescribing policies and practices—Assistant Commissioner (D:R). Officials maintaining the system—Director, Internal Revenue Austin Service Center and District Directors of Internal Revenue. (See IRS Appendix A.)

Notification procedure:

Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Internal Revenue Service Center servicing the area in which the individual resides. (See IRS Appendix A.)

Record access procedures:

Individuals seeking access to any record contained in the system of records may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Internal Revenue Service Center servicing the area in which the individual resides. (See IRS Appendix A.)

Contesting record procedures:

26 U.S.C. 7852(e) prohibits Privacy Act amendment of tax records.

Record source categories:

Tax returns and other filings made by the individual and agency entries made in the administration of the individual's tax account.

Systems exempted from certain provisions of the act:

None.

Treasury/IRS 22.054

System name:

Subsidiary Accounting Files, D:R—Treasury/IRS.

System location:

Internal Revenue Service Centers and District Offices. (See IRS Appendix A.)

Categories of individuals covered by the system:

The categories of individuals on whom records are maintained are taxpayers affected by one or more of the transactions reflected in the categories of records listed below.

Categories of records in the system:

The types of records maintained in the system are documents containing entity information (name, address, social security number or employer identification number and other information necessary to identify the taxpayer) and accounting information relevant to one of the following categories: Funds held pending, disposition and not applied to the taxpayer's liability at present, properties, tangible or intangible, now in the custody of the Internal Revenue Service, counterfeit money, misappropriations or robbery of Internal Revenue Service funds, credits which cannot be applied to a specific taxpayer account at this time, accounts transferred to other Service Centers or agencies, substantiation for the receipt of funds collected by the Service for other agencies, abatements or assessments of tax on individuals, deposits received from taxpayers, refunds to taxpayers, taxpayer accounts written off by the Service as uncollectible, credits allowed taxpayers requiring special consideration due to processing constraints, litigation, seized and acquired property and Offers-in-Compromise. A General Ledger with all fiscal accounting information is maintained within the RACS system which is an automated accounting control system.

Authority for maintenance of the system:

5 U.S.C. 301, 26 U.S.C. 7801, 26 U.S.C. 7802, 26 U.S.C. 7602.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Disclosure of returns and return information may be made only as provided by 26 U.S.C. 6103.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Accounting Files consist of paper documents and computer printouts stored in files.

Retrievability:

Records are retrievable by Social Security number and by name.

Safeguards:

Safeguards will not be less than provided by the Physical and Document Security Handbook, IRM 1 (16) 41.

Retention and disposal:

Records are retired to the Federal Records Center and are retrieved by request from authorized individuals where account substantiation is necessary. Policies regarding disposal are as specified in the Records Disposition Handbook, IRM 1(15)59.

System manager(s) and address:

Official prescribing policies and practices—Assistant Commissioner (D:R). Officials maintaining the system—Directors, Internal Revenue Service Centers. (See IRS Appendix A.)

Notification procedure:

Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Internal Revenue Service Center servicing the area in which the individual resides. (See IRS Appendix A.)

Record access procedures:

Individuals seeking access to any record contained in the system of records may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Internal Revenue Service Center servicing the area in which the individual resides. (See IRS Appendix A.)

Contesting record procedures:

26 U.S.C. 7852(e) prohibits Privacy Act amendment of tax records.

Record source categories:

Tax returns and other filings made by the individual and agency entries made in the administration of the individual's tax account. Some Justice Department investigations are an additional source for the information contained in litigation case files.

Systems exempted from certain provisions of the act:

None.

Treasury/IRS 22.059

System name:

Unidentified Remittance File, D:R—Treasury/IRS.

System location:

Internal Revenue Service Centers. See IRS Appendix A for locations.

Categories of individuals covered by the system:

Remittances which have been received but cannot be positively identified, either as to the taxpayer who sent it or the tax period to which it is to be applied.

Categories of records in the system:

Each record contains a fourteen digit unidentified remittance (UR) control number, the amount, received date, and all known identifying data. In addition, the UR contains a record of all doubtfully applied Estimated Tax (ES) credits. The ES record contains the taxpayer's name, address, type of payment, taxpayer identification number, tax period, received date, money amount, and the transaction document locator number (DLN).

Authority for maintenance of the system:

5 U.S.C. 301, 26 U.S.C. 7801, 26 U.S.C. 7802, 26 U.S.C. 7602.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Disclosure of returns and return information may be made only as provided by 26 U.S.C. 6103.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Disk Storage.

Retrievability:

Remittance amount, unidentified remittance control number, taxpayer name.

Safeguards:

Safeguards will not be less than provided by the Physical and Document Security Handbook, IRM 1(16) 41.

Retention and disposal:

180 days after the amount is reduced to zero balance. Auth: IRM 1(15)59.

System manager(s) and address:

Official prescribing policies and practices—Assistant Commissioner (D:R). Officials maintaining the system—Directors, Internal Revenue Service Centers. (See IRS Appendix A.)

Notification procedure:

Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Internal Revenue Service Center servicing the area in which the individual resides. (See IRS Appendix A.)

Record access procedures:

Individuals seeking access to any record contained in the system of records may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Internal Revenue Service Center servicing the area in which the individual resides. (See IRS Appendix A.)

Contesting record procedures:

26 U.S.C. 7852(e) prohibits Privacy Act amendment of tax records.

Record source categories:

Remittances received from taxpayers that cannot be positively identified either as to the taxpayer who sent it or the type of tax to which it is to be applied.

Systems exempted from certain provisions of the act:

None.

Treasury/IRS 22.060

System name:

Unit Ledger Cards, D:R:R—Treasury/IRS.

System location:

Internal Revenue Service Centers and Records Center.

Categories of individuals covered by the system:

Records are maintained on taxpayers having accounts with the Internal Revenue Service which are not compatible with normal master file processes; e.g., penalties, transferee assessments, termination assessments, excise protest accounts, Master File overflow accounts, culpable and non-petitioning spouses, Forms 1042, 1040-NR, 926, 5330, 4720, 990-AR (Penalty) and any pre-ADP returns. Also, a record will be maintained for those taxpayers whose individual income tax overpayment have been retained and transferred from the IMF to apply against past due child and/or spousal support payments as reported to IRS by the States under Pub. L. 97-35.

Categories of records in the system:

The categories of records maintained are taxpayer entity records (name, address, taxpayer identification number or employer identification number and other indicators relevant to entity maintenance) and records containing tax module information (the tax return, the tax period, the balance due or credit balance, and transactions which have been recorded relative to the module). Information will be maintained as to the name, SSN, address of individuals owing past due child and/or spousal support payments submitted by the States under Pub. L. 97-35. Also maintained will be names of the submission state, the amount owed, and the amount on any individual income tax overpayment retained and transferred to the state to apply against the amount owed.

Authority for maintenance of the system:

5 U.S.C. 301, 26 U.S.C. 7801, 26 U.S.C. 7802, 26 U.S.C. 7602.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Disclosure of returns and return information may be made only as provided by 26 U.S.C. 6103.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Card file.

Retrievability:

Information is retrievable by taxpayer Identification Number (social security number or employer identification number).

Safeguards:

Safeguards will not be less than provided by the Physical and Document Security Handbook, IRM 1 (16) 41.

Retention and disposal:

Disposition is prescribed in IRM 1(15)59, Records Disposition Handbook.

System manager(s) and address:

Official prescribing policies and practices—Assistant Commissioner (D:R). Officials maintaining the system—Directors, Internal Revenue Service Centers. (See IRS Appendix A.)

Notification procedure:

Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Internal Revenue Service Center servicing the area in which the individual resides. (See IRS Appendix A.)

Record access procedures:

Individuals seeking access to any record contained in the system of records may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Internal Revenue Service Center servicing the area in which the individual resides. (See IRS Appendix A.)

Contesting record procedures:

26 U.S.C. 7852(e) prohibits Privacy Act amendment of tax records.

Record source categories:

Tax returns and other filings made by the individual and agency entries made in the administration of the individual's tax account.

Systems exempted from certain provisions of the act:

None.

Treasury/IRS 22.061

System name:

Wage and Information Returns Processing (IRP) File; D:R—Treasury/IRS.

System location:

National Computer Center, Martinsburg, W. Va.

Categories of individuals covered by the system:

Recipients of various types of income; wages; dividends; interest; rents and royalties; medical payments; capital gains distributions; nontaxable distributions; pensions, annuities, retired pay or IRA payments; patronage dividends, distributions, and allocations; fishing crew payments; sales or redemption of securities, future transactions, commodities, bartering exchange transactions; original issue discount; distributions and prizes; currency transactions; state tax refunds; unemployment compensation, agricultural payments, taxable grants, indebtedness forgiveness; non-employees compensation; gambling winnings; and miscellaneous income.

Categories of records in the system:

Records maintained are records representing certain wage and information returns: Forms W-2, W-2P, the 1087 and 1099 series; currency transaction reports; state tax refunds; statements of sales of equity obligations; and records of agricultural subsidy payments. Information included on each record identifies the recipient of the income (name, address, taxpayer identifying number, and other indicators relating to payee identification), identifies the income payer (very similar information), and identifies the type(s) and amount(s) of income.

Authority for maintenance of the system:

5 U.S.C. 301, 26 U.S.C. 7801, 26 U.S.C. 7802, 26 U.S.C. 7602.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Disclosure of returns and return information may be made only as provided by 26 U.S.C. 6103.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Magnetic tape in social security number sequence.

Retrievability:

By taxpayer social security number and name control.

Safeguards:

Safeguards will not be less than provided by the Physical Document Security Handbook, IRM 1(16)41.

Retention and disposal:

Until tax year 1974, only until processed; after tax year 1974, four years; then magnetically erased. Auth: IRM 1(15)59.

System manager(s) and address:

Official prescribing policies and practices-Assistant Commissioner (D:R), National Office. Officials maintaining the system—Directors, Internal Revenue Service Centers. (See IRS Appendix A for locations.)

Notification procedure:

This system of records may not be accessed for purposes of determining if the system contains a record pertaining to a particular individual.

Record access procedures:

This system of records may not be accessed for purposes of inspection or for contest of content of records.

Contesting record procedures:

26 U.S.C. 7852(e) prohibits Privacy Act amendment of tax records.

Record source categories:

This system of records contains investigatory material compiled for law enforcement purposes whose sources need not be reported.

Systems exempted from certain provisions of the act:

This system has been designated as exempt from certain provisions of the Privacy Act.

Treasury/IRS 24.013

System name:

Combined Account Number File, Returns and Information Processing, D:R:R.—Treasury/IRS.

System location:

Internal Revenue Service Centers. (See IRS Appendix A.)

Categories of individuals covered by the system:

Individuals and businesses having specific, current business with IRS.

Categories of records in the system:

Taxpayer entity records (name, address, taxpayer identification number, and filing requirements related to entity liability); and tax modules (specific tax returns, tax years, and transactions which have been recorded relative to the module) when specifically requested by a service center, or if a notice for balance of tax due has been issued; a specific tax period is in taxpayer delinquent account status (TDA); a specific tax period is either credit or debit balance; no return has posted and the return due date (RDD) has passed; or when a specific tax period is in taxpayer delinquent return (TDI) status.

Authority for maintenance of the system:

5 U.S.C. 301, 26 U.S.C. 7801, 26 U.S.C. 7802, 26 U.S.C. 7602.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Disclosure of returns and return information may be made only as provided by 26 U.S.C. 6103.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Disk storage.

Retrievability:

Social security number or employer identification number.

Safeguards:

Safeguards will not be less than provided by the Physical and Document Security Index IRM 1(16)41.

Retention and disposal:

The policies and practices regarding storage, retention, and disposal are governed by the principle that a specific tax period will be retained on the file dependent upon specified criteria prescribed in the Internal Revenue Manual. The disposal of documents output from this file is specified in the Records Disposition Handbook, IRM 1(15)59.

System manager(s) and address:

Official prescribing policies and practices-Assistant Commissioner Returns and Information Processing. Officials maintaining the system—Directors, Internal Revenue Service Centers. (See IRS Appendix A.)

Notification procedure:

Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Internal Revenue Service Center servicing the area in which the individual resides. (See IRS Appendix A.)

Record access procedures:

Individuals seeking access to any record contained in the system of records may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Internal Revenue Service Center servicing the area in which the individual resides. (See IRS Appendix A.)

Contesting record procedures:

26 U.S.C. 7852(e) prohibits Privacy Act amendment of tax records.

Record source categories:

Tax returns and other filings made by the individual and agency entries made in the administration of the individual's tax account.

Systems exempted from certain provisions of the act:

None.

Treasury/IRS 24.029

System name:

Individual Account Number File (IANF), Returns and Information Processing—Treasury/IRS.

System location:

Internal Revenue Service Centers. (See IRS Appendix A.)

Categories of individuals covered by the system:

Individuals having specific, current business with IRS.

Categories of records in the system:

Taxpayer entity records (name, address, taxpayer identification number, and filing requirements related to entity liability); and tax modules (specific tax returns, tax years, and transactions which have been recorded relative to the module) when specifically requested by a service center, or if a notice for balance of tax due has been issued; a specific tax period is in taxpayer delinquent account status (TDA); a specific tax period is either credit or debit balance, no return has posted and the return due date (RDD) has passed; or when a specific tax period is in taxpayer delinquent return (TDI) status.

Authority for maintenance of the system:

5 U.S.C. 301, 26 U.S.C. 7801, 26 U.S.C. 7802, 26 U.S.C. 7602.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Disclosure of returns and return information may be made only as provided by 26 U.S.C. 6103.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Disk storage.

Retrievability:

Social security number.

Safeguards:

Safeguards will not be less than provided by the Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal:

The policies and practices regarding storage, retention and disposal are governed by the principle that a specific tax period will be retained on the file dependent upon specified criteria prescribed in IRM 1(15)59. The disposal of documents output from this file is specified in the Records Retention Handbook published by the Service and in the Internal Revenue Manual.

System manager(s) and address:

Officials prescribing policies and practices—Assistant Commissioner Returns and Information Processing. Officials maintaining the system—Directors, Internal Revenue Service Centers. (See IRS Appendix A.)

Notification procedure:

Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Internal Revenue Service Center servicing the area in which the individual resides. (See IRS Appendix A.)

Record access procedures:

Individuals seeking access to any record contained in the system of records may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Internal Revenue Service Center servicing the area in which the individual resides. (See IRS Appendix A.)

Contesting record procedures:

26 U.S.C. 7852(e) prohibits Privacy Act amendment of tax records.

Record source categories:

Tax returns and other filings made by the individual and agency entries made in the administration of the individual's tax account.

Systems exempted from certain provisions of the act:

None.

Treasury/IRS 24.030

System name:

Individual Master File (IMF): Returns and Information Processing, D:D:T—Treasury/IRS.

System location:

National Computer Center (NCC), Martinsburg, West Virginia.

Categories of individuals covered by the system:

Taxpayers who file Federal Individual Income Tax Returns (i.e. Forms 1040, 1040A and 1040EZ) and power of attorney notifications for individuals.

Categories of records in the system:

Taxpayer entity records (name, address, identification number (SSN) and other indicators pertaining to entity maintenance, including zip code), and tax modular records which contain all records relative to specific tax returns for each applicable tax period or year. Modular records for authorization information (name, address, identification number and type of authority granted, and the name of the representative(s) for the taxpayer. Modular records for the representative (name, address and unique identification number). Recorded here are tax transactions such as tax amount, additions, abatements of tax payments, interest and like type transactions recorded relative to each tax module, power or attorney authorization transactions, and a code identifying taxpayers who threatened or assaulted IRS employees. An indicator will be added to any taxpayer's account who owes past due child and/or spousal support payments and whose name has been submitted to IRS by a state under provisions of Pub. L. 97-35.

Authority for maintenance of the system:

5 U.S.C. 301, 26 U.S.C. 7801, 26 U.S.C. 7802, 26 U.S.C. 7602.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Disclosure of returns and return information may be made only as provided by 26 U.S.C. 6103.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Magnetic media.

Retrievability:

By identification number and alphabetically.

Safeguards:

Safequards will not be less than provided by the Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal:

As specified in the Records Disposition Handbook published by the Service, IRM 1(15)59. The code identifying taxpayers who threatened or assaulted IRS employees may be removed after five years after initial input.

System manager(s) and address:

Official prescribing policies and practices—Assistant Commissioner Returns and Information Processing. Officials maintaining the system—Directors, Internal Revenue Service Centers. (See IRS Appendix A).

Notification procedure:

Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Internal Revenue Service Center servicing the area in which the individual resides. (See IRS Appendix A).

Record access procedures:

Individuals seeking access to any record contained in the system of records may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Internal Revenue Service Center servicing the area in which the individual resides. (See IRS Appendix A.)

Contesting record procedures:

26 U.S.C. 7852(e) prohibits Privacy Act amendment of tax records.

Record source categories:

Tax returns and other filings made by the individual and agency entries made in the administration of the individual's tax account.

Systems exempted from certain provisions of the act:

None.

Treasury/IRS 24.046

System name:

Business Master File (BMF), Returns and Information Processing, D:R:R—Treasury/IRS.

System location:

National Computer Center (NCC) Martinsburg, West Virginia.

Categories of individuals covered by the system:

Persons in a sole proprietary role who file Excise Tax Returns (Form 720), Wagering Returns (Form 11C and 730), Highway Use Returns (Form 2290), and U. S. Fiduciary Return (Form 1041) and Estate and Gift Taxes (Form 706, 706NA and 709). The latter can be individuals not in a sole proprietorship role.

Categories of records in the system:

Taxpayer entity records (name, address, identification name (TIN) which may be either EIN or SSN, and other indicators pertaining to entity maintenance, including Zip Code), and tax modules which are all the records relative to specific tax returns for each applicable tax period. Recorded are tax transactions such as tax amount, statements/additions to tax, payments, interest and like type transactions relative to each tax module.

Authority for maintenance of the system:

5 U.S.C. 301, 26 U.S.C. 7801, 26 U.S.C. 7802, 26 U.S.C. 7602.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Disclosure of returns and return information may be made only as provided by 26 U.S.C. 6103.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Magnetic media.

Retrievability:

By name, type of tax, and identifying number.

Safeguards:

Safeguards will not be less than provided by the Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal:

As specified in the Records Disposition Handbook, IRM 1(15)59.

System manager(s) and address:

Official prescribing policies and practices—Assistant Commissioner (Returns and Information Processing). Officials maintaining the system—Directors, Internal Revenue Service Centers. (See IRS Appendix A.)

Notification procedure:

Individuals seeking to determine if the system contains a record pertaining to themselves may inquire in accordance with Instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Internal Revenue Service Center servicing the area in which the individual resides.

Record access procedures:

Individuals seeking access to any record contained in the system of records may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Internal Revenue Service Center servicing the area in which the individual resides. (See IRS Appendix A.)

Contesting record procedures:

26 U.S.C. 7852(e) prohibits Privacy Act amendment of tax records.

Record source categories:

Tax returns and other filings made by the individual and agency entries made in the administration of the individual's tax account.

Systems exempted from certain provisions of the act:

None.

Treasury/IRS 24.070

System name:

Debtor Master File (DMF)—Treasury/IRS.

System location:

National Computer Center (NCC), Martinsburg, West Virginia.

Categories of individuals covered by the system:

The file is built upon the entity records, name and social security number (SSN), of people who have delinquent obligations to a Federal or state agency. It will contain the amount owed by the obligor, the name of the Federal or state agency to whom the obligation is owed and a cross-reference number (SSN) of the spouse in the case of a jointly filed return.

Authority for maintenance of the system:

5 U.S.C. 301, 26 U.S.C. 6305, 26 U.S.C. 6402 (c) and (d), 31 U.S.C. 3720A.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Disclosure of returns and return information may be made only as provided by 26 U.S.C. 6103.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Magnetic tape and disk file.

Retrievability:

Name, address and social security number.

Safeguards:

Safeguards will not be less than those provided by the Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal:

The information is kept for one year, then destroyed. A new Debtor Master File is established each year.

System manager(s) and address:

Officials prescribing policies and practices—Assistant Commissioners, Returns and Information Processing and Computer Services. Officials maintaining the system—Directors, Returns Processing and Accounting, and Software Divisions. (See IRS Appendix A.)

Notification procedure:

Individuals seeking to determine if the system of records contain a record pertaining to themselves, may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Internal Revenue Service Center servicing the area in which the individual resides. (See IRS Appendix A.)

Record access procedures:

Individuals seeking access to any record contained in the system of records may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Internal Revenue Service Center servicing the area in which the individual resides.

Contesting record procedures:

Individuals seeking to contest any record contained in the system of records must contact the agency to whom the debt is owed.

Record source categories:

Names, SSNs, and obligation amount are supplied by the Federal or state agency to whom the delinquent obligation is owed.

Systems exempted from certain provisions of the act:

None.

Treasury/IRS 26.001

System name:

Acquired Property Records, OP:C—Treasury/IRS.

System location:

District Offices. (See IRS Appendix A.)

Categories of individuals covered by the system:

Delinquent taxpayers whose property has been acquired by purchase by government or right of redemption.

Categories of records in the system:

Taxpayer name, address, taxpayer identification number, revenue officer reports.

Authority for maintenance of the system:

5 U.S.C. 301 and 26 U.S.C. 7801 and 7802.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Disclosure of returns and return information may be made only as provided by 26 U.S.C. 6103.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records, magnetic media.

Retrievability:

Retrievable by taxpayer name, taxpayer identification number, seizure number.

Safeguards:

Access controls will be not less than provided for by the Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal:

As specified in Records Disposition Handbook IRM 1(15)59.

System manager(s) and address:

Official prescribing policies and practices—Assistant Commissioner (Collection). Officials maintaining the system—District Directors. (See IRS Appendix A.)

Notification procedure:

This system of records may not be accessed for purposes of determining if the system contains a record pertaining to a particular individual.

Record access procedures:

This system of records may not be accessed for purposes of inspection or for contest of content of records.

Contesting record procedures:

26 U.S.C. 7852(e) prohibits Privacy Act amendment of tax records.

Record source categories:

This system of records contains investigatory material compiled for law enforcement purposes whose sources need not be reported.

Systems exempted from certain provisions of the act:

This system has been designated as exempt from certain provisions of the Privacy Act.

Treasury/IRS 26.006

System name:

Form 2209, Courtesy Investigations, OP:C—Treasury/IRS.

System location:

District Offices Service Centers. (See IRS Appendix A.)

Categories of individuals covered by the system:

Taxpayers on whom a delinquent account or delinquency or other investigation is or was located in one IRS district office, but the individual is now living or has assets located in the jurisdiction of another IRS District office. Taxpayers on whom an investigation has been initiated for purposes of securing information necessary for federal tax administration purposes.

Categories of records in the system:

Contains taxpayer name, current and former addresses, taxpayer identifying number, if known. Contains the information, including class of tax, if applicable, or information concerning the action desired to be taken. The name and address of party that was contacted, chronological investigative history and/or information secured. The following types of investigations are included in this system: Form SSA-1273 cases—Notice of determination of FICA wages—issued when SSA obtains evidence that wages paid to claimant have not been recorded on his earnings record; requests for data needed in proof of claim cases; applications for discharge of property from tax lien; service of tax court subpoenas; complaints of employers failing to provide withholding statements; recovery of unassessable erroneous refunds; Form SSA-7010 cases—Request for preferential investigation. This is a request for preferential treatment (over other SSA cases) on an earning discrepancy case. Secure application for exemption from self-employment tax. Offers in compromise and related activities; i.e., follow-up on defaulted installments, secure payments on collateral agreements, etc. Maximize compliance with withholding requirements on alien's earnings; other miscellaneous uses.

Authority for maintenance of the system:

5 U.S.C. 301 and 26 U.S.C. 7801 and 7802.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Disclosure of returns and return information may be made only as provided by 26 U.S.C. 6103.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records, magnetic media.

Retrievability:

By taxpayer name and taxpayer identification number.

Safeguards:

Access Controls will be not less than provided for by the Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal:

As specified in Records Disposition Handbook, IRM 1(15)59.

System manager(s) and address:

Official prescribing policies and practices—Assistant Commissioner (Collection). Officials maintaining the system—District Directors and Service Center Directors. (See IRS Appendix A).

Notification procedure:

This system of records may not be accessed for purposes of determining if the system contains a record pertaining to a particular individual.

Record access procedures:

This system of records may not be accessed for purposes of inspection or for contest of content of records.

Contesting record procedures:

26 U.S.C. 7852(e) prohibits Privacy Act amendment of tax records.

Record source categories:

This system of records contains investigatory material compiled for law enforcement purposes whose sources need not be reported.

Systems exempted from certain provisions of the act:

This system has been designated as exempt from certain provisions of the Privacy Act.

Treasury/IRS 26.008

System name:

IRS and Treasury Employee Delinquency, OP:C—Treasury/IRS.

System location:

National Office, Regional Offices, District Offices and Service Centers. (See IRS Appendix A).

Categories of individuals covered by the system:

IRS and Treasury employees who are shown on the Master File as delinquent in meeting Federal tax requirements.

Categories of records in the system:

Taxpayer name, social security number, address, fact of IRS or Treasury employment code, District location code.

Authority for maintenance of the system:

5 U.S.C. 301 and 26 U.S.C. 7801 and 7802.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Disclosure of returns and return information may be made only as provided by 26 U.S.C. 6103.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records, magnetic media.

Retrievability:

By taxpayer name, taxpayer identification number.

Safeguards:

Access Controls will be not less than provided for by the Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal:

As specified in Records Disposition Handbook, IRM 1(15)59.

System manager(s) and address:

Official prescribing policies and practices—Assistant Commissioner (Collection). Officials maintaining the system—Assistant Commissioner (Collection), Regional Commissioners, District Directors and Service Center Directors. (See IRS Appendix A).

Notification procedure:

This system of records may not be accessed for purposes of determining if the system contains a record pertaining to a particular individual.

Record access procedures:

This system of records may not be accessed for purposes of inspection or for contest of content of records.

Contesting record procedures:

26 U.S.C. 7852(e) prohibits Privacy Act amendment of tax records.

Record source categories:

This system of records contains investigatory material compiled for law enforcement purposes whose sources need not be reported.

Systems exempted from certain provisions of the act:

This system has been designated as exempt from certain provisions of the Privacy Act.

Treasury/IRS 26.009

System name:

Lien Files (Open and Closed), OP:C—Treasury/IRS.

System location:

District Offices (See IRS Appendix A).

Categories of individuals covered by the system:

Taxpayers on whom Federal tax liens have been filed.

Categories of records in the system:

Taxpayer name, address, taxpayer identification number, information about basis of assessment including class of tax, period, dollar amount. Open and closed Federal tax liens including: Certificates of Discharge of Property from Federal Tax Lien; Certificates of Subordination; Certificates of Non-Attachment; Exercise of Government's Right of Redemption of Seized Property; Releases of Government's Right of Redemption. Federal tax lien information entered in Treasury Enforcement Communications System.

Authority for maintenance of the system:

5 U.S.C. 301 and 26 U.S.C. 7801 and 7802, 26 U.S.C. 6323.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Disclosure of returns and return information may be made only as provided by 26 U.S.C. 6103. Notices of lien and the index thereto are available to the public.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records, magnetic media.

Retrievability:

By taxpayer name, taxpayer identification number.

Safeguards:

Access Controls will be not less than provided for by the Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal:

As specified in Records Disposition Handbook IRM 1(15)59.

System manager(s) and address:

Official prescribing policies and practices—Assistant Commissioner (Collection). Officials maintaining the system—Assistant Commissioner (Collection), Regional Commissioners, District Directors and Service Center Directors. (See IRS Appendix A).

Notification procedure:

Individuals seeking to determine if the system of records contains a record pertaining to themselves may address inquiries to District Director for each District whose records are to be searched.

Record access procedures:

This system contains copies of public records, the originals of which are filed in accordance with the laws of each State, the District of Columbia, the Commonwealth of Puerto Rico, or possessions of the United States. See Notification above.

Contesting record procedures:

26 U.S.C. 7852(e) prohibits Privacy Act amendment of tax records.

Record source categories:

Taxpayers' Federal Tax Returns.

Systems exempted from certain provisions of the act:

None.

Treasury/IRS 26.010

System name:

Lists of Prospective Bidders at Internal Revenue Sales of Seized Property, OP:C—Treasury/IRS.

System location:

District Offices. (See IRS Appendix A).

Categories of individuals covered by the system:

Individuals who have requested that they be notified of Internal Revenue sales of seized property.

Categories of records in the system:

Name and address and phone number (if provided).

Authority for maintenance of the system:

5 U.S.C. 301 and 26 U.S.C. 7801 and 7802.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in these records may be used: (1) To disclose pertinent information to appropriate Federal, state, local, or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation (2) to disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations in response to a subpoena, or in connection with criminal law proceedings.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records, magnetic media.

Retrievability:

By name of prospective bidder.

Safeguards:

Access Controls will be not less than provided for by the Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal:

As specified in Records Disposition Handbook IRM 1(15)59.

System manager(s) and address:

Official prescribing policies and practices—Assistant Commissioner (Collection). Officials maintaining the system—District Directors determine if need for this system exists. (See IRS Appendix A).

Notification procedure:

Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the District Director of Internal Revenue Service servicing the area in which the individual resides.

Record access procedures:

Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the Director of Internal Revenue Service servicing the area in which the individual resides.

Contesting record procedures:

See Access above.

Record source categories:

Supplied voluntarily by the subject prospective bidder.

Systems exempted from certain provisions of the act:

None.

Treasury/IRS 26.011

System name:

Litigation Case Files, OP:C—Treasury/IRS.

System location:

District Offices (See IRS Appendix A).

Categories of individuals covered by the system:

Taxpayers on whom Federal tax assessments have been made but against whom litigation has been initiated or is being considered by the government or who have instituted suits against the government.

Categories of records in the system:

Taxpayer name, address, taxpayer identification number, information about basis of assessment, including class of tax, period, and dollar amount. This file includes: Suit to Reduce Tax Claim to Judgment; Suit for Failure to Honor a Levy; Suit to Enforce Federal Tax Lien; Suit Against Transferee; Suit to Set Aside Fraudulent Transfer; Suit to Recover Erroneous Refund; other suits include those which the United States may intervene to assert a Federal tax lien; a proceeding to require opening of a safe deposit box, etc. The following suits against the United States are also included in this file: Quiet Title Suit; Foreclosure of Mortgage or other Lien; Partition; Condemnation; Interpleader; Refund Suits Involving 100-Percent Penalty Assessments; Injunction Suits under Freedom of Information Act. Also included in Litigation Files are: Individuals against whom bankruptcy proceedings are pending; decedent estates in probate with outstanding Federal tax liabilities; individuals executing Assignments for the Benefit of Creditors; individuals in Receivership Proceedings; individuals conducting a bulk sale; summons referrals; subpoena files; advisory opinions; collateral security agreements; revenue officer reports; and various other legal instruments and correspondence.

Authority for maintenance of the system:

5 U.S.C. 301 and 26 U.S.C. 7801 and 7802.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Disclosure of returns and return information may be made only as provided by 26 U.S.C. 6103.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records, magnetic media.

Retrievability:

By taxpayer name, taxpayer identification number.

Safeguards:

Access Controls will be not less than provided for by the Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal:

As specified in Records Disposition Handbook IRM 1(15)59.

System manager(s) and address:

Official prescribing policies and practices—Assistant Commissioner (Collection), Officials maintaining the system: District Directors. (See IRS Appendix A).

Notification procedure:

This system of records may not be accessed for purposes of determining if the system contains a record pertaining to a particular individual.

Record access procedures:

This system of records may not be accessed for purposes of inspection or for contest of content of records.

Contesting record procedures:

26 U.S.C. 7852(e) prohibits Privacy Act amendment of tax records.

Record source categories:

This system of records contains investigative material compiled for law enforcement purposes whose sources need not be reported.

Systems exempted from certain provisions of the act:

This system has been designated as exempt from certain provisions of the Privacy Act.

Treasury/IRS 26.012

System name:

Offer in Compromise (OIC) File, OP:C—Treasury/IRS.

System location:

District Offices, Service Centers, and Regional Offices. (See IRS Appendix A).

Categories of individuals covered by the system:

Taxpayers who have submitted an offer to compromise a liability imposed by the Internal Revenue Code.

Categories of records in the system:

Form 2515, used to control offer cases, contains space for entering taxpayer name, address, taxpayer identification number, and all other pertinent information for identifying and assigning the OIC investigation. The file contains all records, documents, reports and work papers relating to the assignment, investigation, review and adjudication of the offer. This includes such items as the original offer, results of property records checks, interviews with third parties and the taxpayer, collateral income agreements, financial statements, tax return copies, and other information submitted by the taxpayer.

Authority for maintenance of the system:

5 U.S.C. 301 and 26 U.S.C. 7801 and 7802.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Disclosure of returns and return information may be made only as provided by 26 U.S.C. 6103, and to the extent necessary to permit public inspection of any accepted offer-in-compromise as required by 26 U.S.C. 6103 (k)(1).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records, magnetic media.

Retrievability:

By taxpayer name.

Safeguards:

Access Controls will be not less than provided for by the Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal:

As specified in Records Disposition Handbook, IRM 1(15)59.

System manager(s) and address:

Official prescribing policies and practices—Assistant Commissioner (Collection). Officials maintaining the system—Regional Commissioners, Service Center Directors and District Directors. (See IRS Appendix A).

Notification procedure:

This system of records may not be accessed for purposes of determining if the system contains a record pertaining to a particular individual.

Record access procedures:

This system of records may not be accessed for purposes of inspection or for contest of content of records.

Contesting record procedures:

26 U.S.C. 7852(e) prohibits Privacy Act amendment of tax records.

Record source categories:

This system of records contains investigative material compiled for law enforcement purposes whose sources need not be reported. If an offer is accepted, an Abstract and Statement which identifies the taxpayer, the liability, the amount compromised and the basic circumstances of the case is made available for public inspection in accordance with Executive Order 10386 and Executive Order 10906.

Systems exempted from certain provisions of the act:

This system has been designated as exempt from certain provisions of the Privacy Act.

Treasury/IRS 26.013

System name:

One Hundred Percent Penalty Cases, OP:C—Treasury/IRS.

System location:

District Offices and Service Centers. (See IRS Appendix A).

Categories of individuals covered by the system:

Individuals against whom Federal tax assessments have been made or are being considered as a result of their being deemed responsible for payment of unpaid corporation withholding taxes and social security contributions.

Categories of records in the system:

Taxpayer name, address, taxpayer identification number, information about basis of assessment, including class of tax, period, dollar figures, waiver extending the period for asserting the 100-percent penalty (if any) and correspondence.

Authority for maintenance of the system:

5 U.S.C. 301 and 26 U.S.C. 7801 and 7802.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Disclosure of returns and return information may be made only as provided by 26 U.S.C. 6103.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records, magnetic media.

Retrievability:

By individual, or corporation name, taxpayer identification number.

Safeguards:

Access Controls will be not less than provided for by the Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal:

As specified in Records Disposition Handbook, IRM 1(15)59.

System manager(s) and address:

Official prescribing policies and practices:
Assistant Commissioner (Collection). Officials maintaining the system: District Directors and Service Center Directors. (See IRS Appendix A).

Notification procedure:

This system of records may not be accessed for purposes of determining if the system contains a record pertaining to a particular individual.

Record access procedures:

This system of records may not be accessed for purposes of inspection or for contest of content of records.

Contesting record procedures:

26 U.S.C. 7852(e) prohibits Privacy Act amendment of tax records.

Record source categories:

This system of records contains investigative material compiled for law enforcement purposes whose sources need not be reported.

Systems exempted from certain provisions of the act:

This system has been designated as exempt from certain provisions of the Privacy Act.

Treasury/IRS 26.014

System name:

Record 21, Record of Seizure and Sale of Real Property, OP:C—Treasury/IRS.

System location:

District Offices (See IRS Appendix A).

Categories of individuals covered by the system:

Individuals against whom tax assessments have been made and whose real property was seized and sold to satisfy their tax liability. Also name and address of purchaser.

Categories of records in the system:

Taxpayer name, address, taxpayer identification number, information about basis of assessment, including class of tax, period, dollar amounts, property description.

Authority for maintenance of the system:

5 U.S.C. 301 and 26 U.S.C. 7801 and 7802.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The contents of this system of records evidences chain of title to real property and is a matter of public record.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records, magnetic media.

Retrievability:

By taxpayer name, taxpayer identification number and seizure number.

Safeguards:

Access Controls will be not less than provided for by the Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal:

As specified in Records Disposition Handbook, IRM 1(15)59.

System manager(s) and address:

Official prescribing policies and practices—Assistant Commissioner (Collection); officials maintaining the system—District Directors. (See IRS Appendix A).

Notification procedure:

Individuals seeking to determine if the system of records contains a record pertaining to themselves may address inquiries to District Director for each District whose records are to be searched.

Record access procedures:

Individuals seeking access to any record contained in the system of records or seeking to contest its content, may address inquiries to or appear in person at the Office of District Director for each District whose records are to be searched.

Contesting record procedures:

26 U.S.C. 7852(e) prohibits Privacy Act amendment of tax records.

Record source categories:

This system of records evidences chain of title to real property and is a matter of public record. (See Categories of Records above).

Systems exempted from certain provisions of the act:

None.

Treasury/IRS 26.016

System name:

Return Compliance Program (RCP), OP:C—Treasury/IRS.

System location:

District Offices and Service Centers (See IRS Appendix A).

Categories of individuals covered by the system:

Taxpayers who may be delinquent in filing or paying Federal taxes.

Categories of records in the system:

Records consist of name, address, taxpayer identification number (if known) and information concerning the potential tax liability. Returns Compliance Programs involve any type of Federal tax administered by the Collection Division and are conducted in accordance with Section 7601 of the Internal Revenue Code. RCP programs can be initiated by the National Office, Regional Offices, or by individual districts.

Authority for maintenance of the system:

5 U.S.C. 301 and 26 U.S.C. 7801 and 7802.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Disclosure of returns and return information may be made only as provided by 26 U.S.C. 6103.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records, magnetic media.

Retrievability:

By taxpayer name, taxpayer identification number.

Safeguards:

Access Controls will be not less than provided for by the Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal:

As specified in Records Disposition Handbook, IRM 1(15)59.

System manager(s) and address:

Official prescribing policies and practices—Assistant Commissioner (Collection), Officials maintaining the system—District Directors, and Service Center Directors. (See IRS Appendix A.)

Notification procedure:

This system of records may not be accessed for purposes of determining if the system contains a record pertaining to a particular individual.

Record access procedures:

This system of records may not be accessed for purposes of inspection or for contest of content of records.

Contesting record procedures:

26 U.S.C. 7852(e) prohibits Privacy Act amendment of tax records.

Record source categories:

This system of records contains investigative material compiled for law enforcement purposes whose sources need not be reported.

Systems exempted from certain provisions of the act:

This system has been designated as exempt from certain provisions of the Privacy Act.

Treasury/IRS 26.019

System name:

TDA (Taxpayer Delinquent Accounts) including subsystems: (a) Adjustments and Payment Tracers Files, (b) Collateral Files, (c) Seized Property Records, (d) Tax Collection Waiver, Forms 900, Files, (e) Accounts on ChildSupport Obligations, OP:C—Treasury/IRS.

System location:

District Offices and Service Centers (see IRS Appendix A)

Categories of individuals covered by the system:

Taxpayers on whom Federal tax assessments have been made, and persons who owe child support obligations.

Categories of records in the system:

Taxpayer name, address, taxpayer identification number, information about basis of assessment, including class of tax, period, dollar amounts, chronological investigative history, cancelled checks, amended returns, claims, collateral submitted to stay collection, copies of notices of Federal tax liens, revenue officer reports, waivers to extend statutory period for collection, etc., and similar information about persons who owe child support obligations. This system includes Installment Agreement Files; Delinquent Account Inventory Profile (DAIP); Currently Not Collectible Register; Currently Not Collectible Register (over 25,000); Advance Dated Remittance Check Files; Currently Not Collectible Accounts Files; File of taxpayer names entered in the Treasury Enforcement Communications System and a code identifying taxpayers that threatened or assaulted IRS employees.

Authority for maintenance of the system:

5 U.S.C. 301 and 26 U.S.C. 7801 and 7802.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Disclosure of returns and return information may be made only as provided by 26 U.S.C. 6103.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records and magnetic media.

Retrievability:

By taxpayer name, or name of person who owes child support obligations, and taxpayer identification number.

Safeguards:

Access Controls will be not less than provided for by the Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal:

As specified in Records Disposition Handbook, IRM 1(15)59.

System manager(s) and address:

Official prescribing policies and practices—Assistant Commissioner (Collection) Officials maintaining the system—District Directors and Service Center Directors. (See IRS Appendix A).

Notification procedure:

This system of records may not be accessed for purposes of determining if the system contains a record pertaining to a particular individual.

Record access procedures:

This system of records may not be accessed for purposes of inspection or for contest of content of records.

Contesting record procedures:

26 U.S.C. 7852(e) precludes Privacy Act amendment of tax records.

Record source categories:

This system of records contains investigative material compiled for law enforcement purposes whose sources need not be reported.

Systems exempted from certain provisions of the act:

This system has been designated as exempt from certain provisions of the Privacy Act.

Treasury/IRS 26.020

System name:

TDI (Taxpayer Delinquency Investigation) Files, OP:C—Treasury/IRS.

System location:

District Offices and Service Centers. (See IRS Appendix A).

Categories of individuals covered by the system:

Taxpayers believed to be delinquent in filing Federal tax returns.

Categories of records in the system:

Taxpayer name, address, taxpayer identification number, information from previously filed returns, information about the potential delinquent return(s), including class of tax, chronological investigative history; Delinquency Investigation Inventory Profile (DIIP) and a code identifying taxpayers that threatened or assaulted IRS employees.

Authority for maintenance of the system:

5 U.S.C. 301 and 26 U.S.C. 7801 and 7802.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Disclosure of returns and return information may be made only as provided by 26 U.S.C. 6103.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: aper records and magnetic media.

Retrievability:

By taxpayer name, taxpayer identification number.

Safeguards:

Access Controls will be not less than provided for by the Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal:

As specified in Records Disposition Handbook, IRM 1(15)59.

System manager(s) and address:

Official prescribing policies and practices—Assistant Commissioner (Collection), Officials maintaining the system—District Directors and Service Center Directors. (See IRS Appendix A).

Notification procedure:

This system of records may not be accessed for purposes of determining if the system contains a record pertaining to a particular individual.

Record access procedures:

This system of records may not be accessed for purposes of inspection or for contest of content of records.

Contesting record procedures:

26 U.S.C. 7852(e) prohibits Privacy Act amendment of tax records.

Record source categories:

This system of records contains investigative material compiled for law enforcement purposes whose sources need not be reported.

Systems exempted from certain provisions of the act:

This system of records has been designated as exempt from certain provisions of the Privacy Act.

Treasury/IRS 26.021

System name:

Transferee Files, OP:C—Treasury/IRS.

System location:

District Offices. (See IRS Appendix A).

Categories of individuals covered by the system:

Includes taxpayers on whom tax assessments have been made but who have allegedly transferred their assets in order to place them beyond the reach of the government.

Categories of records in the system:

Taxpayer name, address, taxpayer identification number, information about basis of assessment, including class of tax, period, dollar amounts. Also, the name, address, taxpayer identification number and related information about transferee.

Authority for maintenance of the system:

5 U.S.C. 301 and 26 U.S.C. 7801 and 7802.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Disclosure of returns and return information may be made only as provided by 26 U.S.C. 6103.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper record, magnetic media.

Retrievability:

By taxpayer name, taxpayer identification number.

Safeguards:

Access controls will be not less than provided for by the Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal:

As specified in Records Disposition Handbook, IRM 1(15)59.

System manager(s) and address:

Official prescribing policies and practices—Assistant Commissioner (Collection). Officials maintaining the system—District Directors, Service Center and Data Center Directors. (See IRS Appendix A).

Notification procedure:

This system of record may not be accessed for purposes of determining if the system contains a record pertaining to a particular individual.

Record access procedures:

This system of records may not be accessed for purposes of inspection or for contest of content of records.

Contesting record procedures:

26 U.S.C. 7852(e) prohibits Privacy Act amendment of tax records.

Record source categories:

This system of records contains investigative material compiled for law enforcement purposes whose sources need not be reported.

Systems exempted from certain provisions of the act:

This system has been designated as exempt from certain provisions of the Privacy Act.

Treasury/IRS 26.022

System name:

Delinquency Prevention Programs, OP:C—Treasury/IRS.

System location:

District Offices. (See IRS Appendix A.)

Categories of individuals covered by the system:

Taxpayers having a history of Federal tax delinquency.

Categories of records in the system:

Taxpayer name, taxpayer identification number, address, filing requirements, chronological investigative history.

Authority for maintenance of the system:

5 U.S.C. 301 and 26 U.S.C. 7801 and 7802.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Disclosure of returns and return information may be made only as provided by 26 U.S.C. 6103.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records and magnetic media.

Retrievability:

By taxpayer name.

Safeguards:

Access Controls will be not less than provided for by the Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal:

As specified in Records Disposition Handbook, IRM 1(15)59.

System manager(s) and address:

Official prescribing policies and practices—Assistant Commissioner (Collection). Officials maintaining the system—District Directors, Service Center Directors, and Data Center Director. (See IRS Appendix A.)

Notification procedure:

This system of records may not be accessed for purposes of determining if the system contains a record pertaining to a particular individual.

Record access procedures:

This system of records may not be accessed for purposes of inspection or for contest of content of records.

Contesting record procedures:

26 U.S.C. 7852(e) prohibits Privacy Act amendment of tax records.

Record source categories:

This system of records contains investigative material compiled for law enforcement purposes whose sources need not be reported.

Systems exempted from certain provisions of the act:

This system has been designated as exempt from certain provisions of the Privacy Act.

Treasury/IRS 30.003

System name:

Requests for Printed Tax Materials Including Lists—Treasury/IRS.

System location:

National Office (See IRS Appendix A).

Categories of individuals covered by the system:

Files include those individuals that request various IRS printed materials such as publication 1045, reproduction proofs, etc.

Categories of records in the system:

Name and address of individual or company wanting to receive District Director's newsletters, and/or ordering tax forms materials on certain distribution programs. (i.e. Tax Practition Program; Bank, Post Office and Library Program; Reproducible Forms Program, etc.). A cross reference index may be developed to identify and control requests.

Authority for maintenance of the system:

5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine disclosure of information contained in this system of records may be made: (1) To mailing or distribution services contractors for the purpose of executing mailouts, order fulfillment, or subscription fulfillment. (2) To mailing or distribution services contractors for the purpose of maintaining mailing lists.

Disclosure to consumer reporting agencies:

Disclosures pursuant to 5 U.S.C. 552a(b)(12). Disclosures of debt information concerning a claim against an individual may be made from this system to consumer reporting agencies as defined in the Fair Credit Reporting Act (15 U.S.C. 1681a(f)) or the Federal Claims Collection Act of 1966 (31 U.S.C. 3701(a)(e)).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Magnetic media, paper records or mailing plates.

Retrievability:

Alphabetically or numerically, by zip code.

Safeguards:

Not less than provided for by the Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal:

In accordance with IRM 1(15)59.31, RCS 301, GRS 13, Printing, Binding, Duplication, and Distribution Records.

System manager(s) and address:

Chief, Publishing Services Branch, National Office, (See IRS Appendix A).

Notification procedure:

Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the Chief, Publishing Services Branch (See IRS Appendix A).

Record access procedures:

Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the Chief, Publishing Services Branch (See IRS Appendix A).

Record source categories:

The information is supplied by the individual and/or company making the request. The Service adds data pertaining to the fulfillment of the request.

Systems exempted from certain provisions of the act:

None.

Treasury/IRS 30.004

System name:

Security Violations—Treasury/IRS.

System location:

National Office, Regional Offices, Service Centers, and District Offices. (See IRS Appendix A).

Categories of individuals covered by the system:

Violators of IRS Security Regulations.

Categories of records in the system:

Name of violator, circumstances of violation (date, time, actions of violator, etc), supervisory action taken.

Authority for maintenance of the system:

5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

(1) Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice. Disclosure may be made during judicial processes. (2) Disclosure may be made to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File folder (notices of violation); 3 by 5 inch card file; and electronic storage.

Retrievability:

3 x 5 inch card file-name; lateral file cabinets, access by security officer and staff only.

Retention and disposal:

As specified in the Records Disposition Handbook, IRM 1(15)59.

System manager(s) and address:

Security Offices, National Office, Regional Office District Offices and Service Centers. (See IRS Appendix A).

Notification procedure:

Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the Chief, Property, Security, and Records Unit, National Office, or security officer for regional offices, service centers, and district offices. (See IRS Appendix A).

Record access procedures:

Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the system manager as noted.

Record source categories:

Contract Guard Force and Security Inspections.

Systems exempted from certain provisions of the act:

None.

Treasury/IRS 32.001

System name:

Travel Expense Record—Treasury/IRS.

System location:

National Office, Regional Offices and District Offices. (See IRS Appendix A).

Categories of individuals covered by the system:

All IRS employees who have incurred travel or moving expenses in conjunction with official business.

Categories of records in the system:

Records consist of travel advances, personal travel vouchers, household move vouchers, Forms W-2, Schedule of Disbursements, GAO decisions/rulings, Transportation Requests, Overdue Notices, Certification of Deposits, Government Bills of Lading & Forms 2221, (Schedule of Collections). Records are for the purpose of maintaining accurate financial accounting of travel and moving expenses of employees.

Authority for maintenance of the system:

GAO Policy and Procedures Manual for Guidance of Federal Agencies, Title 2, Chapter 2, Sections 5 & 6.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

(1) Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice. (2) Disclosure may be to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains. (3) Disclosure may be made during judicial processes. (4) Routine disclosure of information may be made to furnish another federal agency information to affect inter-agency salary offset; to furnish a consumer reporting agency information to obtain commercial credit reports; to furnish a debt collection agency information for debt collection services; to furnish a consumer reporting agency with delinquency and default data available to private sector credit grantors.

Disclosure to consumer reporting agencies:

Disclosures pursuant to 5 U.S.C. 552a(b)(12). Disclosures of debt information concerning a claim against an individual may be made from this system to consumer reporting agencies as defined in the Fair Credit Reporting Act (15 U.S.C. 1681a(f)) or the Federal Claims Collection Act of 1966 (31 U.S.C. 3701(a)(e)).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Magnetic media or paper records.

Retrievability:

Alphabetically or numerically.

Safeguards:

Access is restricted to designated Fiscal Management employees, to individuals concerned on a need-to-know basis, and to administrative offices through the authority of the Travel Management Supervisor. As required, IRS Internal Audit and Security have access to the files.

Retention and disposal:

Retired after one to three years to Federal Records Center; disposed in accordance with Records Disposition Handbook, IRM 1(15)59.

System manager(s) and address:

Chief, IRS National Office, Financial Operations Branch, or Chief, Accounting Section, IRS Regional Offices. (See IRS Appendix A).

Notification procedure:

Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the appropriate System Manager.

Record access procedures:

Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the appropriate System Manager.

Contesting record procedures:

See Access above.

Record source categories:

Information supplied by employees, by GAO as required, and consumer reporting agencies.

Systems exempted from certain provisions of the act:

None.

Treasury/IRS 32.003

System name:

Schedules of Collections and Schedules of Cancelled Checks—Treasury/IRS.

System location:

National Office and Regional Offices. (See IRS Appendix A).

Categories of individuals covered by the system:

Employees of Internal Revenue Service.

Categories of records in the system:

Checks received from employees in connection with jury duty and overpayments. System maintained to place all collections under security control promptly upon receipt and to record amount of deposit to general ledger control accounts.

Authority for maintenance of the system:

5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

(1) Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice. (2) Disclosure may be made to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains. (3) Disclosure may be made during judicial processes. (4) Routine disclosure of information may be made to furnish another federal agency information to effect inter-agency salary offset; to furnish a consumer reporting agency information to obtain commercial credit reports; to furnish debt collection agency information for debt collection services; to furnish a consumer reporting agency with delinquency and default data available to private sector credit grantors.

Disclosure to consumer reporting agencies:

Disclosures pursuant to 5 U.S.C. 552a(b)(12). Disclosures of debt information concerning a claim against an individual may be made from this system to 'consumer reporting agencies' as defined in the Fair Credit Reporting Act (15 U.S.C. 1681a(f)) or the Federal Claims Collection Act of 1966 (31 U.S.C. 3701(a)(3)).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records maintained in locked file cabinet.

Retrievability:

Indexed by name.

Safeguards:

Access controls are not less than provided for by the Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal:

Records are maintained until transferred to the Federal Records Center to be retained in accordance with the Records Disposition Handbook, IRM 1(15)59.

System manager(s) and address:

Chief, National Office Financial Operations Branch, or Chief, Accounting Section, Regional Offices. (See IRS Appendix A).

Notification procedure:

Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the System Manager for each office whose records are to be searched.

Record access procedures:

Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the System Manager for each Office whose records are to be accessed or contested.

Contesting record procedures:

See Access above.

Record source categories:

Employees, District Directors, Regional Commissioners.

Systems exempted from certain provisions of the act:

None.

Treasury/IRS 34.003

System name:

Assignment and Accountability of Personal Property Files—Treasury/IRS.

System location:

National Office, Regional Offices, District Offices, Service Centers, IRS Data Center and National Computer Center. (See IRS Appendix A).

Categories of individuals covered by the system:

All individuals receiving Government property for temporary use and repair.

Categories of records in the system:

Descriptions of property, receipts, reasons for removal, and property passes.

Authority for maintenance of the system:

5 U.S.C. 301 and FPMR (41 CFR)101-19.108.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

(1) Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution of civil litigation, and in connection with requests for legal advice. Disclosure may be made during judicial processes. These records and information in these records may be used: (2) To disclose pertinent information to appropriate Federal, state, local, or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (3) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (4) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains. (5) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Information is stored on various forms and ledgers maintained in locked filing cabinets.

Retrievability:

Indexed alphabetically by name.

Safeguards:

Access controls will not be less than provided for by the Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal:

In accordance with the Records Disposition Handbook, IRM 1(15)59.31, RCS 301, General Records Schedule 18, Security and Protective Services Records.

System manager(s) and address:

Chief, Space and Property Branch, National Office; Chief, National Office Facilities Management Branch; Regional Offices, District Offices, Service Centers, IRS Data Center and National Computer Center. (See IRS Appendix A).

Notification procedure:

Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the System Manager for each office whose records are to be searched.

Record access procedures:

Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the System Manager for each office whose records are to be accessed.

Contesting record procedures:

See Access above.

Record source categories:

Individuals who receive property or request property passes.

Systems exempted from certain provisions of the act:

None.

Treasury/IRS 34.005

System name:

Parking Space Application and Assignment—Treasury/IRS.

System location:

National Office, Regional Offices, District Offices, Service Centers, IRS Data Center and National Computer Center. (See IRS Appendix A).

Categories of individuals covered by the system

Internal Revenue Service employees who apply for assignment of carpool or reserved parking spaces.

Categories of records in the system:

Contains the name, position title, organization, vehicle identification, arrival and departure time, and service computation date of individual or principal carpool applicant. Contains name, place of employment, duty telephone, vehicle license number and service computation date of applicants, individuals or carpool members, for parking spaces.

Authority for maintenance of the system:

5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice. Disclosure may be made to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains. Disclosure may be made during judicial processes.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained on an 8½ x 10 inch or other local form.

Retrievability:

Indexed by name of individual or principal carpool applicant.

Safeguards:

Records are maintained in a file cabinet in a locked room.

Retention and disposal:

In accordance with IRM 1(15)59.311, GRS 11, Space and Maintenance Records.

System manager(s) and address:

Chief, National Office Protective Programs Staff, National Office; Regional Offices, District Offices, Service Centers, IRS Data Center and National Computer Center. (See IRS Appendix A).

Notification procedure:

Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the System Manager for each office whose records are to be searched.

Record access procedures:

Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the System Manager for each office whose records are to be accessed.

Contesting record procedures:

See Access above.

Record source categories:

Individuals applying for parking spaces.

Systems exempted from certain provisions of the act:

None.

Treasury/IRS 34.007

System name:

Record of Government Books of Transportation Requests—Treasury/IRS.

System location:

National Office, Regional Offices, District Offices, Service Centers, IRS Data Center, and National Computer Center. (See IRS Appendix A).

Categories of individuals covered by the system:

IRS employees issued Transportation Requests.

Categories of records in the system:

Form 496, alphabetical card record by name or the serial numbers of Transportation Requests issued to the employee; and Form 4678, numerical list by serial number listing the name of the employee to whom issued.

Authority for maintenance of the system:

5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

(1) Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice. (2) Disclosure may be made to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains. (3) Disclosure may be made during judicial processes. (4) Routine disclosure of

information may be made to furnish another federal agency information to effect inter-agency salary offset; to furnish a consumer reporting agency information to obtain commercial credit reports; to furnish a debt collection agency information for debt collection services; to furnish a consumer reporting agency with delinquency and default data available to private sector credit grantors.

Disclosure to consumer reporting agencies:

Disclosures pursuant to 5 U.S.C. 552a(b)(12). Disclosures of debt information concerning a claim against an individual may be made from this system to consumer reporting agencies as defined in the Fair Credit Reporting Act (15 U.S.C. 1681a(f)) or the Federal Claims Collection Act of 1966 (31 U.S.C. 3701(a)(3)).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in card file box or file cabinets.

Retrievability:

By name or serial number.

Safeguards:

Access controls will not be less than provided for by the Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal:

In accordance with Records Disposition Handbook, IRM 1(15)59.31 GRS 9, Travel and Transportation Records.

System manager(s) and address:

Administrative Officers, National Office; Regional Offices, District Offices, Service Centers, IRS Data Center and National Computer Center. (See IRS Appendix A).

Notification procedure:

Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the System Manager for each office whose records are to be searched.

Record access procedures:

Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the System Manager for each office whose records are to be accessed.

Contesting record procedures:

See Access above.

Record source categories:

Government Books of Transportation Requests and employees to whom books were issued.

Systems exempted from certain provisions of the act:

None.

Treasury/IRS 34.009

System name:

Safety Program Files—Treasury/IRS.

System location:

National Office, Regional Offices, District Offices, Service Centers, IRS Data Center, National Computer Center. (See IRS Appendix A).

Categories of individuals covered by the system:

IRS employees and others involved in an IRS motor vehicle accident, an accident or injury on IRS property, or a tort or personal property claim against the Service. All individuals issued an IRS driver's license are covered by this system.

Categories of records in the system:

Individual driving records and license applications, motor vehicle accident reports, lost time and no-lost time personal injury reports, tort and personal property claims case files, informal and formal investigative report files.

Authority for maintenance of the system:

5 USC 301, Executive Order 12196.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in these records may be used: (1) To disclose information to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice. (2) To provide the Department of Labor in connection with investigations of accidents occurring in the work place. (3) To disclose information during judicial processes. (4) To provide information to other federal agencies for the purpose of effecting interagency salary offset or interagency administrative offset. (5) To provide information to consumer reporting agencies in accordance with 31 U.S.C. 3711(f). (6) To provide information to a debt collection agency for debt collection services. (7) To disclose pertinent information to appropriate Federal, state, local, or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license, when the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (8) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains. (9) To provide information to unions recognized as exclusive bargaining representatives under the Civil Service Reform Act of 1978, 5 U.S.C. 7111 and 7114. (10) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation. (11) To the extent the records in this system contain return information, disclosures thereof may be made only as provided by 26 U.S.C. 6103.

Disclosure to consumer reporting agencies:

Disclosures pursuant to 5 U.S.C. 552a(b)(12). Disclosures of debt information concerning a claim against an individual may be made from this system to consumer reporting agencies as defined in the Fair Credit Reporting Act (15 U.S.C. 1681(f)) or the Federal Claims Collection Act of 1966 (31 U.S.C. 3701(a)(3)).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File folders with corresponding card indexes.

Retrievability:

Indexed alphabetically by name.

Safeguards:

Access to information is restricted to official use of IRS employees and not less than that required by the Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal:

In accordance with the Records Disposition Handbook, IRM (15)59.31, RCS 301, GRS 1, 10, 18, IRM 1(15)59.1(14) and IRM 2(15)59.2(12).

System manager(s) and address:

For National Office—Safety Management Officer, Space and Property Branch, Facilities Management Division; Chief, National Office Facilities Management Branch; Regional and District Offices—Chief, Facilities Management Branch, appropriate Regional or District office. (See IRS Appendix A).

Notification procedure:

Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the System Manager for each office whose records are to be searched.

Record access procedures:

Individuals seeking to determine if the system of records contains information pertaining to themselves may inquire in accordance with instructions appearing in 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the System Manager for each office whose records are to be accessed.

Contesting record procedures:

Individuals seeking access to any record contained in the system of records to contest its contents, may inquire in accordance with instructions appearing in 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the system manager for each office whose records are to be accessed or contested.

Record source categories:

Information originates from IRS employees, private individuals and private parties.

Systems exempted from certain provisions of the act:

None.

Treasury/IRS 34.012

System name:

Emergency Preparedness Cadre Assignments and Alerting Rosters Files—Treasury/IRS.

System location:

National Office, Regional Offices, District Offices, and Service Centers. (See IRS Appendix A).

Categories of individuals covered by the system:

Key IRS and Treasury personnel.

Categories of records in the system:

Cadre assignments-personal information on employees; i.e., name, address, phone number, family data, security clearance, relocation assignment, etc. Alerting rosters-current listing of individuals by name and title stating their work and home address and phone numbers.

Authority for maintenance of the system:

5 USC 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice. Disclosure may be made to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains. Disclosure may be made during judicial processes.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Individual forms; correspondence kept in file folders; and electronic storage.

Retrievability:

Cadre assignments are filed by relocation site and alerting rosters by title of list.

Safeguards:

Records are kept in a secured office.

Retention and disposal:

In accordance with IRM 1(15)59.31, GRS 18, Records Disposition Handbook.

System manager(s) and address:

For National Office—Chief, Physical Security Section, Facilities Standards Branch, Facilities and Information Support Division. For regional offices and service centers and district offices, security officer. (See IRS Appendix A).

Notification procedure:

Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the System Manager for each office whose records are to be searched.

Record access procedures:

Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the System Manager for each office whose records are to be accessed.

Contesting record procedures:

See Access above.

Record source categories:

Provided by individuals themselves.

Systems exempted from certain provisions of the act:

None.

Treasury/IRS 34.013

System name:

Identification Media Files for Employees and Others Issued IRS ID—Treasury/IRS.

System location:

National Office, Regional Offices, District Offices, Service Centers, IRS Data Center, National Computer Center. (See IRS Appendix A).

Categories of individuals covered by the system:

IRS employees having one or more items of identification and federal and non-federal personnel working in or visiting IRS facilities.

Categories of records in the system:

Records contain individual's name, home address, and other personal information and reports on loss, theft, or destruction of pocket commissions, enforcement badges and other forms of identification.

Authority for maintenance of the system:

5 USC 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

(1) Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice. (2) Disclosure may be made to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains. (3) Disclosure may be made during judicial processes.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Correspondence file folders; 3 x 5 inch card files; and electronic storage.

Retrievability:

Indexed separately by name and Identification Media serial number.

Safeguards:

Access to the records is restricted to official use of Internal Revenue. The files are stored in locked security containers in offices which are locked or guarded during non-work hours. Access controls will be not less than provided for by the Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal: In accordance with IRM 1(15)59.31, GRS 11, Space and Maintenance Records.

System manager(s) and address:

Chief, Physical Security Section, Facilities Standards Branch, Facilities and Information Management Support Divisions; security officer, each region, service center and district; and Chief, Property, Security and Records Unit, National Office.

Notification procedure:

Individual's name, SSN, address and type of ID media, plus the approximate date that he/she was issued and/or returned the particular item of identification, would have to be furnished to the Service office that issued the item for the Service to be able to ascertain whether or not the system contains a record about the individual. (See IRS Appendix A).

Record access procedures:

Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C for each office whose records are to be accessed.

Contesting record procedures:

See Access above.

Record source categories:

Information was furnished by each individual at the time they received the particular item of identification.

Systems exempted from certain provisions of the act:

None.

Treasury/IRS 34.014

System name:

Motor Vehicle Registration and Entry Pass Files—Treasury/IRS.

System location:

Service Centers. (See IRS Appendix A).

Categories of individuals covered by the system:

Individuals requiring continued access to the facility and parking area violators.

Categories of records in the system:

Name of employee, registered owner of vehicle, branch, telephone number, description of car, license number, employee's signature, name and expiration date of insurance, parking violations, decal number.

Authority for maintenance of the system:

5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

(1) Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice. (2) Disclosure may be

best copy available

made to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains. (3) Disclosure may be made during judicial processes.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File folders and card file.

Retrievability:

Indexed by name.

Safeguards:

Records are kept in a secured container in a secured office.

Retention and disposal:

Records are kept until obsolete. Auth:
IRM 1(15)59.

System manager(s) and address:

Chief, Security Function, Service Centers. (See IRS Appendix A).

Notification procedure: Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the System Manager for each office whose records are to be searched.

Record access procedures:

Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the System Manager for each office whose records are to be accessed.

Contesting record procedures:

See Access above.

Record source categories:

Information is supplied by individual, except for parking violations information which is supplied by Security guard personnel.

Systems exempted from certain provisions of the act: None.

Treasury/IRS 34.016

System name:

Security Clearance Files—Treasury/IRS.

System location:

National Office, Regional Offices, District Offices, Service Centers. (See IRS Appendix A).

Categories of individuals covered by the system:

Employees of the Internal Revenue Service requiring a security clearance, having their security clearance cancelled or transferred and individuals who have violated IRS security regulations regarding classified national security information.

Categories of records in the system:

Records contain individual's name, employing office, date of security clearance, level of clearance, reason for the need for the national security clearance, and any changes in such clearance. Security violations records contain name of violator, circumstance of violation and supervisory action taken.

Authority for maintenance of the system:

5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

(l) Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice. (2) Disclosure may be made to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains. (3) Disclosure may be made during judicial processes. (4) To provide information to agencies and on a need-to-know basis to determine the current status of an individual's security clearance.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Correspondence file folders.

Retrievability:

Indexed by name and cross filed by functional area.

Safeguards:

Stored in locked security container in offices which are locked or guarded during non-work hours. Access controls will be not less than provided for by the Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal:

As specified in the Records Disposition Handbook, IRM 1(15)59.

System manager(s) and address:

Chief, Physical Security Section, Facilities Standards Branch, Facilities and Information Management Support Division, National Office, for security violations, and Chief, Employment Branch, Personnel Division, National Office for security clearances.

Notification procedure:

Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the System Manager for each office whose records are to be searched.

Record access procedures:

Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the System Manager for each office whose records are to be accessed.

Contesting record procedures:

See Access above.

Record source categories:

Information is provided by the employee, his/her supervisor or employee's personnel record. Security violation information is obtained from a variety of sources, such as guard reports, security inspections, supervisor's reports, Internal Audit Reports, etc.

Systems exempted from certain provisions of the act:

None.

Treasury/IRS 34.018

System name:

Integrated Data Retrieval System (IDRS) Security Files—Treasury/IRS.

System location:

Internal Revenue Service Centers and District Offices (See IRS Appendix A).

Categories of individuals covered by the system:

Individual employees who input or are authorized to input IDRS transactions or who are subjects of IDRS inputs.

Categories of records in the system:

Record logs of the employees who are authorized access to IDRS and of employee inputs and inquiries processed through IDRS terminals.

Authority for maintenance of the system:

5 U.S.C. 301, 26 U.S.C. 7801, 26 U.S.C. 7802, 26 U.S.C. 7602.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Disclosures are not made outside the Department.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are maintained on magnetic media, disk, flat paper, lists, and card files.

Retrievability:

These records are indexed by employee's SSN or EIN.

Safeguards:

Safeguards will not be less than provided by the Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal:

All records are disposed of in conformance with established Retention Schedules contained in IRM 1(15)59.

System manager(s) and address:

Chief, Computer Security Section, Field Operations Branch, Systems Management and Operations Services Division, National Office.

Notification procedure:

Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Internal Revenue Service Center or District Office servicing the area in which the individual resides. (See IRS Appendix A.)

Record access procedures:

Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Internal Revenue Service Center or District Office servicing the area in which the individual resides. (See IRS Appendix A).

Contesting record procedures:

26 U.S.C. 7852(e) prohibits Privacy Act amendment of tax records.

Record source categories:

Information supplied by the IRS employee on standard personnel forms and computer generated records of all inputs to IDRS. Data may also be retrieved from other published systems of records used in processing of this system.

Systems exempted from certain provisions of the act:

None.

Treasury/IRS 36.001

System name:

Appeals, Grievances and Complaints Records—Treasury/IRS.

System location:

National, Regional and District Offices, POD's, Service Centers, The National Computer Center and the IRS Data Center (See Appendix A).

Categories of individuals covered by the system:

Applicants for Federal employment, current and former Federal employees (including annuitants) who submit appeals, grievances, or complaints for resolution.

Categories of records in the system:

This system of records contains information or documents relating to a decision or determination made by an agency or other appropriate action organization (e.g., Office of Personnel Management, Equal Employment Opportunity Commission, Merit Systems Protection Board) affecting an individual. The records consist of the initial appeal or complaint, letters or notices to the individual, record of hearings when conducted, materials placed into the record to support the decision or determination, affidavits or statements, testimonies of witnesses, investigative reports, instructions to an agency about action to be taken to comply with decisions, and related correspondence, opinions and recommendations.

Authority for maintenance of the system:

Title 5, U.S.C., Sections 1302, 3301, 3302, 4308, 5115, 5338, 5351, 5388, 7105, 7151, 7154, 7301, 7512, 7701, 8347, Executive Orders 9838, 10577, 10987, 11222, 11478, 11491, and Pub. L. 92-261 (EEO Act of 1972), and Pub. L. 93-259.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in the records may be used: (1) To provide information to a Member of Congress regarding the status of an appeal, complaint or grievance. (2) To disclose pertinent information to appropriate Federal, state, local, or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (3) To disclose information to a Federal, state, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit. (4) To provide information to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation and in connection with requests for legal advice. Disclosure may be made during judicial processes. (5) To provide information to other agencies to the extent provided by law or regulation and as necessary to report apparent violations of law to appropriate law enforcement agencies. (6) To provide records and information to the Office of Personnel Management, Merit Systems Protection Board or Equal Employment Opportunity Commission for the purpose of properly administering Federal Personnel Systems in accordance with applicable laws, Executive Orders and regulations. (7) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (8) To provide information to unions recognized as exclusive bargaining representatives under the Civil Service Reform Act of 1978, 5 U.S.C. 7111 and 7114. (9) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation. (10) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains. (11) To the extent returns and return information are included, disclosure thereof may only be made pursuant to 26 U.S.C. 6103.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Card files, flat paper, lists, forms, folders, binder, microfilm and microfiche, punch card, and magnetic media.

Retrievability:

Indexed by the names and case number of the individuals on whom they are maintained.

Safeguards:

Access controls will be not less than provided for by the Physical and Document Security Handbook, IRM 1(16)41. This is also in conformance with existing EEOC regulations.

Retention and disposal:

All records are disposed of in conformance with established Retention Schedules, IRM 1(15)59.31, General Records Schedule.

System manager(s) and address:

(a) EEO Discrimination Complaint Records—Regional Complaints Center Directors; (b) all other records—Director, Human Resources Division, or Chief, Personnel Branch, appropriate office. (See IRS Appendix A.)

Notification procedure:

Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to: District Director for each District whose records are to be searched; Service Center Director for each Service Center whose records are to be searched; Director, National Computer Center (for computer center employees only); Director, Data Center (for data center employees only); Regional Commissioner for each Regional Office whose records are to be searched; Director, Personnel Division, National Office; Assistant Commissioner Human Resources, National Office; Regional Counsel for each region whose records are to be searched; Director, Disclosure Litigation Division for records in the National Office of Chief Counsel. (See IRS Appendix A for Locations). Individuals should provide their name, date of birth, agency in which employed, and the approximate date, and the kind of action taken by the agency when making inquiries about records.

Record access procedures:

Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the appropriate official listed above. Individuals should provide their name, date of birth, POD, approximate date, and the kind of action taken by the agency when requesting access to, or contest of, records.

Contesting record procedures:

See Access.

Record source categories:

(a) Individual to whom the record pertains. (b) Agency and/or other authorized Federal officials. (c) Affidavits or statements from employee. (d) Testimony of witnesses. (e) Official documents relating to the appeal, grievance, or complaints. (f) Correspondence from specific organization or persons.

Systems exempted from certain provisions of the act:

None.

Treasury/IRS 36.002

System name:

Employee Activity Records—Treasury/IRS.

System location:

National, Regional, and District Offices, POD's, Service Centers, The National Computer Center, and The IRS Data Center (See Appendix A.).

Categories of individuals covered by the system:

Current and former employees of the Internal Revenue Service.

Categories of records in the system:

This system contains records and information relating to voluntary employee activities and functions which are not directly related to the mission of the IRS or any of its functional components. These records will contain the names of participants and such other information only to the extent that it is necessary for the operation of the activity.

Authority for maintenance of the system:

Title 5, U.S.C., Section 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice. Disclosure may be made during judicial processes. These records and information in these records may be used: (1) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (2) To provide information to unions recognized as exclusive bargaining representatives under the Civil Service Reform Act of 1978, 5 U.S.C. 7111 and 7114. (3) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation. (4) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records and magnetic media.

Retrievability:

Indexed by the name of the individuals on whom they are maintained.

Safeguards:

Access Controls will be not less than provided for by the Physical and Document Security Handbook, IRM 1(16)41. This is in conformance with existing OPM regulations.

Retention and disposal:

Disposition varies in accordance with the nature of the record, but is made in accordance with the Records Disposition Handbook, IRM 1(15)59.

System manager(s) and address:

Supervisor of the organizational segment participating in the activity.

Notification procedure:

Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the system manager or the individual designated to maintain the record. Inquiring individuals need only provide their name.

Record access procedures:

Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the system manager or the individual designated to maintain the record. Inquiring individuals need only provide their name.

Contesting record procedures:

See Access.

Record source categories:

Information is derived only from the individual to whom the record pertains.

Systems exempted from certain provisions of the act:

None.

Treasury/IRS 36.003

System name:

General Personnel and Payroll Records—Treasury/IRS.

System location:

National, Regional and District Offices, POD's, Service Centers, the National Computer Center and the Data Center. Payroll records are maintained at the Data Center. (See Appendix A.)

Categories of individuals covered by the system:

Prospective, current and former employees of the IRS.

Categories of records in the system:

This system consists of a variety of records relating to personnel actions and determinations made about an individual while employed in the Federal service. These records contain data on individuals required by the Office of Personnel Management (OPM) and maintained in the Official Personnel Folder (OPF). The OPF may also contain letters of commendation; awards from non-federal organizations; recommendations for Federal awards; awards; reprimands; adverse or disciplinary charges; records relating to life insurance, health insurance, designation of beneficiary; training; performance ratings; and other records which OPM and IRS require or permit to be maintained in the OPF. This system also includes records which are maintained in support of a personnel action such as a position management or position classification action, a reduction-in-force action (including such documents as retention registers and notices), and priority placement actions. Other records maintained about an individual in this system are evaluation records, including appraisal, expectation and payout records; employee performance file (EPF) records; suggestion files; award files; financial and tax matters; back pay files; jury duty records; special emphasis programs records, such as Upward Mobility and Handicapped; outside employment statements; clearance upon separation; Unemployment Compensation records; adverse and disciplinary action files; supervisory files; records relating to personnel actions correcting a pay problem; employment of relatives; furlough/recall records; work measurement records; emergency notification, employee locator and current address records; other records relating to the status of an individual; Executive Resources records and Senior Executive Service records; Management Careers Program records; and correspondence files pertaining to any personnel information contained in this notice. Payroll records included in this system are data storage and file records system for processing payroll and personnel actions, consisting of records of time and attendance, leave, tax withholding, bond purchases and issuances, emergency salaries, overtime and holiday pay, optional payroll deductions, and minority group designator codes.

Authority for maintenance of the system:

Title 5, U.S.C. Section 301, 1302, 2951, 4118, 4308, 4506, and Executive Order 10561.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in these records may be used: (1) To provide information to a prospective employer of an IRS employee or former IRS employee. (2) To provide data to update Federal Automated Career Systems (FACS), Executive Inventory File, and security investigations index on new hires, adverse actions, and terminations. (3) To provide information to a Federal, state, or local agency, other organizations or individuals in order to obtain relevant and pertinent information about an individual which is necessary for the hiring or retention of an individual; letting of a contract; or the issuance of a license, grant or other benefit. (4) To request information from a Federal, state, or local agency maintaining civil, criminal, or other relevant enforcement or other pertinent agencies. (5) To provide information to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice. Disclosure may be made during judicial process. (6) To provide information to other agencies to the extent provided by law or regulation and as necessary to report apparent violation of law to appropriate law enforcement agencies. (7) To provide information or records, where there is an indication of a violation or potential violation of law, whether civil, criminal, or regulatory in nature, to any other appropriate agency, whether Federal, state, or local, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, rule, regulation, or order issued pursuant thereto or upon request of such agency when the agency is investigating the possible violation of their rules or regulations. (8) To provide records to the Office of Personnel Management, Merit Systems Protection Board, Equal Employment Opportunity Commission, and General Accounting Office for the purpose of properly administering Federal Personnel systems or other agencies' systems in accordance with applicable laws, Executive Orders, and applicable regulations. (9) To provide information to hospitals and similar institutions or organizations involved in voluntary blood donation activities. (10) To provide information to educational institutions for recruitment and cooperative education purposes. (11) To provide information to a Federal, state, or local agency so that the agency may adjudicate an individual's eligibility for a benefit, such as a state unemployment compensation board, housing administration agency and Social Security Administration. (12) To provide information to financial institutions for payroll purposes. (13) To provide information to another agency such as the Department of Labor or Social Security Administration and state and local taxing authorities as required by law for payroll purposes. (14) To provide information to Federal agencies to effect inter-agency salary offset; to effect inter-agency administrative offset to the consumer reporting agency for obtaining commercial credit reports; and to a debt collecting agency for debt collection services. (15) To provide information to unions recognized as exclusive bargaining representatives under the Civil Service Reform Act of 1978, 5 U.S.C. 7111 and 7114. (16) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation. (17) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains. (18) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosure to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (19) To provide information to the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings. (20) Disclosure of information about particular Treasury employees may be made to requesting Federal agencies or non-Federal entities under approved computer matching efforts, limited to only those data elements considered relevant to making a determination of eligibility under particular benefit programs administered by those agencies or entities or by the Department of the Treasury or any constituent unit of the Department, to improve program integrity, and to collect debts and other monies owed under those programs.

Disclosure to consumer reporting agencies:

Disclosures pursuant to 5 U.S.C. 552a(b)(12). Disclosures of debt information concerning a claim against an individual may be made from this sustem to consumer reporting agencies as defined in the Fair Credit Reporting Act (15 U.S.C. 1681a(f)) or the Federal Claims Collection Act of 1966 (31 U.S.C. 3701(a)(3)).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are maintained on magnetic media, discs, forms, punched cards, flat paper, lists, card files, forms, folders, binders, microfilm and microfiche.

Retrievability:

Records are indexed by any combination of name, birthdate, Social Security Number, or employer identification number.

Safeguards:

Access controls will be not less than provided for by the Physical and Document Security Handbook, IRM 1(16)41. This is also in conformance with existing OPM and GAO regulations.

Retention and disposal:

All records are disposed of in conformance with established retention schedules, IRM 1(15) 59.31 General Records Schedule.

System manager(s) and address:

Director, Human Resources Division, and Chief, Personnel Branch, appropriate office (see IRS Appendix A); Executive Secretary, Executive Resources Board (for executive resource records).

Notification procedure:

Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to: District Director for each District whose records are to be searched; Service Center Director for each Service Center whose records are to be searched; Director, National Computer Center (for computer center employees only); Director, Data Center (for data center employees only); Regional Commissioner for each Regional Office whose records are to be searched; Director, Human Resources Division, National Office; for each appropriate Division in the National Office; Regional Counsel for each region whose records are to be searched; Director, Disclosure Litigation Division for records in the National Office of Chief Counsel; (See Appendix A). Inquiries should include name, date of birth, social security number and POD.

Record access procedures:

Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the appropriate official listed above. Former IRS employees who wish to gain access to their records should direct such a request in writing, including their name, date of birth, and Social Security Number, to: National Personnel Records Center, National Archives and Records Administration, 9700 Page Blvd., St. Louis, Missouri 63132.

Contesting record procedures:

See Access.

Record source categories:

Information in this system of records either comes from the individual to whom it applies or is derived from information supplied by that individual, except information provided by agency officials. Payroll information is compiled from existing master records, i.e. employees' official personnel folders, or the employee. Information is also obtained directly from an employee, payroll coordinator, or administrative officer.

Systems exempted from certain provisions of the act:

None.

Treasury/IRS 36.005

System name:

Medical Records—Treasury/IRS.

System location:

(1) Applicants and current IRS employees: National, Regional and District offices, POD's, Service Centers, the National Computer Center and the Data Center (See Appendix A.) (2) Former IRS employees: National Personnel Records Center, 9700 Page Blvd., St. Louis, Missouri 63132. Records may also be maintained in the National, Regional and District Offices, POD's, Service Centers, the National Computer Center and the Data Center (See Appendix A.).

Categories of individuals covered by the system:

(1) Applicants for IRS employment. (2) Applicants rejected on medical grounds. (3) Applicants for disability retirement under the Civil Service Retirement Law. (4) IRS employees. (5) Former IRS employees. (6) Visitors of IRS Offices who require medical attention while on the premises.

Categories of records in the system:

(1) Applications for IRS employment containing information relating to an individual's medical qualifications to hold a position in the IRS. (2) Applications rejected on medical grounds. Information relating to an applicant's rejection for a position because of medical reasons. (3) Disability retirement records. Information relating to an individual's capability (physical and mental) to satisfactorily perform the duties of the position he or she holds or held. (4) Health unit medical records (Federal civilian employees). (5) Information relating to an employee's participation in an occupational health services program. (6) Qualification examinations (Federal employees). Information relates to pre-employment, or periodic re-qualification medical examinations to assure that the incumbents are qualified (physically and mentally) to satisfactorily perform the duties of the position. (7) Fitness-for-duty examinations. Information relating to a medical examination to determine an individual's physical or mental condition with respect to ability to satisfactorily perform the duties of the position held. (8) Alcohol/drug employee assistance records. Information relating to employee participation in the Federal Civilian Alcoholism and Drug Abuse Program. (9) Injury Compensation Records. Information relating to on-the-job injuries of employees and former employees. (10) Records relating to the Blood Donor Program.

Authority for maintenance of the system:

Medical Information relating to the Retirement, Life Insurance and Health Benefits Programs—5 U.S.C. Chapters 81, 87 and 89. Information for Federal employment—5 U.S.C. 3301. Information relating to the Alcoholism, Drug Abuse and Employee Assistance Programs—Pub. L. 91-616 and 92-255 as amended by Pub. L. 93-282 in regard to confidentiality of patient records. Information relating to the Occupational Health Program (5 U.S.C. 7901).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

(1) Information may be provided to other Federal agencies responsible for other Federal benefits programs administered by the Office of Workmen's Compensation Programs; Retired Military Pay Centers; Veterans Administration; Social Security Administration; Office of Personnel Management; Private contractors engaged in providing benefits under Federal contracts. (2) Disclosure of information may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in requests for legal advice. (3) Disclosure may be made to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains. Disclosure may be made during judicial process-

es. (4) Disclosure may be made to other agencies to the extent provided by law or regulation. (5) Disclosure may be made to the appropriate Federal, state or local agency where there is an indication of a violation or potential violation of law, whether civil, criminal or regulatory in nature. (6) Disclosure may be made to Federal, state, or local agencies in order to obtain or release relevant and pertinent information to an agency decision concerning the hiring or retention of an individual, the issuance of a security clearance, the letting of a contract or the issuance of a license, grant or other benefit. (7) Disclosure may be made to the Public Health Service. (8) Disclosure may be made to an individual's private physician where medical considerations or the content of medical records indicate that such release is appropriate. (9) Disclosure may be made to an agency designated employee representative where such representative is required by the Office of Personnel Management. (10) Disclosure may be made to hospitals and similar institutions or organizations participating in blood donor activities. (11) Disclosure of Alcoholism, Drug Abuse, and Employee Assistance records are limited under Pub. L. 91-616, 92-255, and 93-282. (12) Disclosure may be made to the Equal Employment Opportunity Commission when needed to resolve a complaint. (13) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (14) To provide information to unions recognized as exclusive bargaining representatives under the Civil Service Reform Act of 1978, 5 U.S.C. 7111 and 7114. (15) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Magnetic media, discs, flat paper, lists, forms, folders, card files, microfilm and microfiche.

Retrievability:

Records are indexed by name, social security number, date of birth, and/or claim number.

Safeguards:

Access controls will be not less than provided for by the Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal:

All records are disposed of in conformance with established Retention Schedules, IRM 1(15)59.31, General Records Schedule.

System manager(s) and address:

Director, Human Resources Division, or Chief, Personnel Branch, appropriate office; Director, Operations Division (Office of Chief Counsel), Regional and District Counsels. (See IRS Appendix A).

Notification procedure:

Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to:

District Director for each District whose records are to be searched; Service Center Director for each Service Center whose records are to be searched; Director, National Computer Center (for Computer Center employees only); Director, Data Center (for Data Center employees only); Regional Commissioner for each Regional Office whose records are to be searched; Director, Human Resources Division, National Office; Assistant Commissioner (Human Resources), National Office; Regional Counsel for each region whose records are to be searched; Director, Disclosure Litigation Division for records in the National Office of Chief Counsel. (See IRS Appendix A). Former employees should direct inquiries to: The National Personnel Records Center, 9700 Page Blvd., St. Louis, Missouri 63132. Individuals requesting information about this system of records should provide their full name, date of birth, social security number, name and address of office in which currently or formerly employed in the Federal service, and annuity account number, if any has been assigned.

Record access procedures:

Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the appropriate official listed above.

Contesting record procedures:

See Access above.

Record source categories:

(1) The individual to whom the record pertains. (2) Private physicians. (3) Medical institutions. (4) Office of Workers' Compensation Programs. (5) Military Retired Pay Systems Records. (6) Federal civilian retirement systems other than Civil Service Retirement System. (7) General Accounting Office pay, leave allowance cards. (8) OPM Retirement, Life Insurance and Health Benefits Records System. (9) OPM Personnel Management Records System.

Treasury/IRS 36.008

System name:

Recruiting, Examining and Placement Records—Treasury/IRS.

System location:

National, Regional and District Offices, POD's, Service Centers, The National Computer Center and The Data Center (See Appendix A.).

Categories of individuals covered by the system:

Applicants for IRS employment, current and former employees.

Categories of records in the system:

These records contain information relating to education, training, employment history and earnings, tests, results of written tests, test scores, qualification determinations, evaluations, appraisals of potential, interview records, responses to test items and questionnaires, honors, and awards or fellowships. Other information maintained in the records includes military service, date of birth, birthplace, SSN, home address. Records may also be maintained on suitability determinations, employee participation in special emphasis, placement and recruiting programs, and employee turnover records. This system also includes correspondence files relating to the above mentioned records. Personnel research and test validation records are included in this system.

Authority for maintenance of the system:

Title 5 U.S.C., Sections 1302, 3109, 3301, 3302, 3304, 3306, 3307, 3309, 3313, 3317, 3318, 3319, 3326, 3349, 4103, 5532, 5533, 5723, and Executive Orders 10577 and 11103.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in these records may be used: (1) To disclose information to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice. Disclosure may be made during judicial processes. (2) To disclose information to other agencies to the extent provided by law or regulation and as necessary to report apparent violations of law to appropriate law enforcement agencies. (3) To disclose information and records to the Office of Personnel Management, Merit Systems Protection Board, or the Equal Employment Opportunity Commission, for the purpose of properly administering Federal Personnel Systems in accordance with applicable laws, Executive Orders and regulations. (4) To refer applicants to officials of Federal Government agencies for purposes of consideration for placement in positions for which an applicant has applied and is qualified; to state and local governments with permission of an applicant for the purpose of employment consideration; and to refer current IRS employees to Federal agencies for consideration for transfer, reassignment, and promotion. (5) To educational institutions in connection with recruiting efforts. (6) To disclose information or records where there is an indication of a violation or potential violation of law, whether civil, criminal or regulatory in nature, to any other appropriate agency, whether federal, state, or local charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule. (8) to request information from a federal, state or local agency maintaining civil, criminal, or other relevant enforcement or other pertinent information, such as licenses, if necessary to obtain relevant information to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant or other benefit. (9) To provide information to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the letting of a contract, or issuance of a license, grant, or other benefit by the requesting agency to the extent that the information is relevant and necessary to the requesting agency's decision on that matter. (10) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (11) To provide information to unions recognized as exclusive bargaining representatives under the Civil Service Reform Act of 1978, 5 U.S.C.

7111 and 7114. (12) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation. (13) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are maintained on magnetic tapes, punched cards, discs, card files, lists, flat paper, microfilm, microfiche, forms and folders.

Retrievability:

Records are indexed by name, combination of birth date, social security account number, and an identification number that is applicable.

Safeguards:

Access Controls will be not less than provided for by the Physical and Document Security Handbook, IRM 1(16)41. This is in conformance with existing OPM regulations.

Retention and disposal:

All records are disposed of in conformance with established Retention Schedules, IRM 1(15) 59.31, General Records Schedule.

System manager(s) and address:

Director, Human Resources Division, or Chief, Personnel Branch, appropriate office. (See IRS Appendix A).

Notification procedure:

Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part l, Subpart C, Appendix B. Inquiries should be addressed to: District Director for each District whose records are to be searched; Service Center Director for each Service Center whose records are to be searched; Director, National Computer Center (for Computer Center employees only); Director, Data Center (for Data Center employees only); Regional Commissioner for each Regional Office whose records are to be searched; Director, Personnel Division, National Office; Assistant Commissioner (Human Resources), National Office; or other appropriate official. (See Appendix A). Individuals should provide name, date of birth, social security number, identification number (if known), approximate date of record, and title of examination or announcement with which concerned.

Record access procedures:

Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part l, Subpart C, Appendix B. Inquiries should be addressed to the appropriate official as listed above. This system of records may not be accessed for purposes of inspection or for contest of content of Treasury Forms 4825 (Evaluation of Candidates for Initial Executive Placement) and Treasury Form 4245 (Report of Managerial Potential) prepared prior to September 27, 1975.

Contesting record procedures: See Access.

Record source categories:

Information in this system of records either comes from the individual to whom it applies or is derived from information he or she supplied, except reports from medical personnel on physical qualification; results of examination which are made known to applicants and vouchers supplied by references the applicant lists.

Systems exempted from certain provisions of the act:

This system has been designated as exempt from certain provisions of the Privacy Act.

Treasury/IRS 36.009

System name:

Retirement, Life Insurance and Health Benefits Records System—Treasury/IRS.

System location:

National, Regional and District Offices, POD's, Service Centers, the National Computer Center, and the IRS Data Center, (See Appendix A.). For former employees: Records Division, Bureau of Retirement, Insurance and Occupational Health, Office of Personnel Management, Boyers, Pennsylvania.

Categories of individuals covered by the system:

(1) IRS employees who are covered by the Civil Service Retirement System (CSRS) or the Federal Employees Retirement System (FERS). (2) IRS employees who have either declined or are covered by the Federal Employees' Group Life Insurance Program or the Federal Employees Health Benefits Program.

Categories of records in the system:

(1) Documentation of Federal service creditable under CSRS/FERS. (2) Documentation of coverage or declination of coverage under the Federal Employees' Group Life Insurance Program, and the Federal Employees Health Benefits Program. (3) Documentation of claim for refund or for annuity benefits under CSRS/FERS. (4) Documentation of claim for survivor annuity or death benefits under CSRS/FERS. (5) Medical records supporting claims for disability retirement under CSRS/FERS. (6) Designations of beneficiary for benefits payable under CSRS/FERS or the Federal Employees' Group Life Insurance Program. (7) All other information necessary to enable offices to recruit annuitants for short term assignments and to send them requested publications.

Authority for maintenance of the system:

Chapters 83, 87, and 89 of Title 5, United States Code.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

(1) These records and information in these records may be used: (1) To provide information to the Office of Workers' Compensation Programs, Veterans Administration Pension Benefits Program, Social Security Old Age, Survivor and Disability Insurance and Medicare Programs, and Federal civilian employee retirement systems other than the Civil Service Retirement System, when requested by that program or system or by the individual covered by this system of records, for use in determining an individual's claim for benefits under such system. (2) To provide information necessary to support a claim for life insurance benefits under the Federal Employees' Group Life Insurance Program to the Office of Federal Employees' Group Life Insurance, 4 East 24th Street, New York, N.Y. 10010. (3) To provide information necessary to support a claim for health insurance benefits under the Federal Employees Health Benefits Program to a health insurance carrier or plan participating in the program. (4) To provide information to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation and in connection with requests for legal advice. Disclosure may be made during judicial processes. (5) To provide information to other agencies to the extent provided by law or regulation and as necessary to report apparent violations of law to appropriate law enforcement agencies. (6) To disclose information to a Federal, state, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit. (7) To provide information and records to the Office of Personnel Management for the purpose of properly administering Federal Personnel Systems in accordance with applicable laws, Executive Orders and regulations. (8) To provide information to an agency designated employee representative when such representative is required under Office of Personnel Management regulations. (9) To provide information to hospitals and similar institutions to verify an employee's coverage in the Federal Employees Health Benefits Program. (10) To provide information to the Equal Employment Opportunity Commission when needed to resolve a complaint. (11) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including dsclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (12) To provide information to unions recognized as exclusive bargaining representatives under the Civil Service Reform Act of 1978, 5 U.S.C. 7111 and 7114. (13) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation. (14) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are maintained on magnetic media, punched cards, discs, forms, flat paper, card files, lists, folders, microfilm and microfiche.

Retrievability:

Records are indexed by name, social security number, birth date, and by annuity or death claim number.

Safeguards:

Access Controls will be not less than provided for by the Physical and Document Security Handbook, IRM 1(16)41. This is also in conformance with existing OPM regulations.

Retention and disposal:

All records are disposed of in conformance with established retention schedules, IRM 1(15)59.31, General Records Schedule.

System manager(s) and address:

Director, Human Resources Division, and Chief, Personnel Branch, appropriate office. Director, Operations Division (Office of Chief Counsel), Regional and District Counsels. (See IRS Appendix A for Locations.)

Notification procedure:

(1) Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to: District Director for each District whose records are to be searched; Service Center Director for each Service Center whose records are to be searched; Director, National Computer Center (for Computer Center employees only); Director, Data Center (for Data Center employees only); Regional Commissioner for each Regional Office whose records are to be searched; Director, Human Resources Division, National Office; Assistant Commissioner (Human Resources), National Office; Regional Counsel for each region whose records are to be searched; Director, Disclosure Litigation Division for records in the National Office of Chief Counsel. (See IRS Appendix A). (2) If the individual is retired from Federal service he should direct inquiries to: Associate Director for Compensation, Office of Personnel Management, 1900 E Street, NW., Washington, DC 20415. (3) If the individual is not retired, but has been separated from Federal service, he should direct inquiries to: National Personnel Records Center, 9700 Page Blvd., St. Louis, Missouri 63132.

Record access procedures:

Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the appropriate official listed above.

Contesting record procedures:

See Access. Individuals requesting information in this system of records should provide their full name, date of birth, social security number, claim number, if assigned, and the POD in which currently or formerly employed.

Record source categories:

The information in this system is obtained from the following sources: (1) The individual whom the information is about. (2) GAO Pay, Leave and Allowance Records System. (3) OPM Personnel Management Records System. (4) NARA National Personnel Records Center. (5) OPM Medical Records System. (6) Federal civilian retirement systems other than Civil Service Retirement System Federal Employees Retirement System. (7) Military retired pay system records. (8) Office of Workers' Compensation Programs. (9) Veterans Administration Pension Benefits Programs. (10) Social Security, Old Age, Survivor and Disability Insurance and Medicare Programs.

Systems exempted from certain provisions of the act:

None.

Treasury/IRS 37.001

System name:

Abandoned Enrollment Applications—Treasury/IRS.

System location:

Washington National Record Center, National Archives and Record Service, General Services Administration, Washington, DC 20409.

Categories of individuals covered by the system:

Individuals who applied for enrollment to practice before the Internal Revenue Service but subsequently abandoned their applications.

Categories of records in the system:

Application for enrollment to practice before the Internal Revenue Service and, in some cases, information regarding individuals' fitness for enrollment.

Authority for maintenance of the system:

31 U.S.C. 330.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in these records may be used: (1) To disclose pertinent information to appropriate Federal, State, or foreign agencies responsible for investigating or prosecuting the violations of, or for implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (2) To disclose information to a Federal, State, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit. (3) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (4) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains. (5) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation. (6) Disclosure of returns and return information may be made only as provided by 26 U.S.C. 6103. (7) To the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Original application form and information relating to it.

Retrievability:

Indexed by name of applicant.

Safeguards:

Those safeguards in effect at Federal Records Center.

Retention and disposal:

Permanent retention.

System manager(s) and address:

Director of Practice, HR:DP, Internal Revenue Service, Washington, DC 20224.

Notification procedure:

Individuals wishing to be notified if they are named in this system of records, or gain access to records maintained in this system must submit a written request containing the following elements: (1) Identify the record system; (2) Identify the category and type of records sought; (3) Provide at least two items of secondary identification (date of birth, employee identification number, dates of employment or similar information). Address inquiries to System Manager above.

Record access procedures:

Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Address inquiries to the System Manager.

Contesting record procedures:

See Access above.

Record source categories:

Information contained in this system may have been provided by: (1) Applicant, (2) Individuals, (3) Internal Revenue Service, (4) Other government agencies, (5) Professional organizations.

Systems exempted from certain provisions of the act:

None.

Treasury/IRS 37.002

System name:

Files containing derogatory information about individuals whose applications for enrollment to practice before the IRS have been denied and Applicant Appeal Files—Treasury/IRS.

System location:

(1) Internal Revenue Service, Office of Director of Practice, 1200 Pennsylvania Avenue, NW., Room 1413, Washington, DC 20224. (2) Washington National Record Center, National Archives and Record Service, General Services Administration, Washington, DC 20409.

Categories of individuals covered by the system:

Individuals whose applications for enrollment to practice before the Internal Revenue Service have been denied, including those who have appealed such denial.

Categories of records in the system:

Information relating to individuals' applications and eligibility for enrollment to practice before the Internal Revenue Service.

Authority for maintenance of the system:

31 U.S.C. 330.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

(1) To disclose pertinent information to appropriate Federal, state, or foreign agencies responsible for investigating or prosecuting the violations of, or for implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (2) To disclose information to a Federal, State, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit. (3) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (4) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains. (5) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation. (6) Disclosure of returns and return information may be made only as provided by 26 U.S.C. 6103. (7) To the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

In file folders.

Retrievability:

Indexed by name of individual.

Safeguards:

Locked doors. Access limited to authorized personnel.

Retention and disposal:

Dispose 25 years after case closed; transfer to Federal Record Center 5 years after case closed except for a random selection of a small number of disciplinary cases to be made at 5-year intervals for retention.

System manager(s) and address:

Director of Practice, HR:DP, Internal Revenue Service, Washington, DC 20224.

Notification procedure:

Individuals wishing to be notified if they are named in this system of records, or gain access to records maintained in this system must submit a written request containing the following elements: (1) Identify the record system; (2) Identify the category and type of records sought; (3) Provide at least two items of secondary identification (date of birth, employee identification number, dates of employment or similar information). Address inquiries to System Manager above.

Record access procedures:

See Notification Procedures.

Contesting record procedures:

Individuals seeking access to any record contained in the system of records to contest its contents, may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Address inquiries to the System Manager.

Record source categories:

Information contained in this system may have been provided by: (1) Individuals, (2) Internal Revenue Service, (3) other government agencies, and (4) professional organizations.

Systems exempted from certain provisions of the act:

This system has been designated as exempt from certain provisions of the Privacy Act.

Treasury/IRS 37.003

System name:

Closed Files containing Derogatory Information about individuals' practice before the Internal Revenue Service and files of attorneys and certified public accountants formerly enrolled to practice—Treasury/IRS.

System location:

(1) Internal Revenue Service, Office of Director of Practice, 1200 Pennsylvania Avenue NW., Room 1413, Washington, DC 20224. (2) Washington National Records Center, National Archives and Record Administration, General Services Administration, Washington, DC 20409.

Categories of individuals covered by the system:

Individuals eligible to practice before the Internal Revenue Service (attorneys, certified public accountants and enrolled agents).

Categories of records in the system:

Information relating to individuals' enrollments to practice before the Internal Revenue Service and derogatory and other information regarding such practice.

Authority for maintenance of the system:

31 U.S.C. 330.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in these records may be used: (1) To disclose pertinent information to appropriate Federal, state, or foreign agencies responsible for investigating or prosecuting the violations of, or for implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (2) To disclose information to a Federal, state, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit. (3) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (4) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains. (5) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation. (6) Disclosure of returns and return information may be made only as provided by 26 U.S.C. 6103. (7) To the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

In file folders.

Retrievability:

Indexed by name of individual.

Safeguards:

Locked doors. Access limited to authorized personnel.

Retention and disposal:

Dispose 25 years after case closed; transfer to Federal Record Center 5 years after case closed except for a random selection of a small number of disciplinary cases to be made at 5-year intervals for retention.

System manager(s) and address:

Director of Practice, HR:DP, Internal Revenue Service, Washington, DC 20224.

Notification procedure:

Individuals wishing to be notified if they are named in this system of records, or gain access to records maintained in this system must submit a written request containing the following elements: (1) Identify the record system; (2) Identify the category and type of records sought; (3) Provide at least two items of secondary identification (date of birth, employee identification number, dates of employment or similar information). Address inquiries to System Manager above.

Record access procedures:

See Notification Procedures.

Contesting record procedures:

Individuals seeking access to any record contained in the system of records to contest its contents, may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Address inquiries to the System Manager.

Record source categories:

Information contained in this system may have been provided by: (1) Individuals, (2) Internal Revenue Service, (3) other government agencies, and (4) professional organizations.

Systems exempted from certain provisions of the act:

This system has been designated as exempt from certain provisions of the Privacy Act.

Treasury/IRS 37.004

System name:

Derogatory Information (No Action)—Treasury/IRS.

System location:

(1) Internal Revenue Service, Office of Director of Practice, 1200 Pennsylvania Avenue, NW., Room 1413, Washington, DC 20224.

Categories of individuals covered by the system:

Attorneys, certified public accountants, enrolled agents and others.

Categories of records in the system:

Such files contain derogatory information concerning attorneys, certified public accountants, and enrolled agents and others over whom there is no current jurisdiction, where such information is subject to future development, or where such information is not sufficiently serious to be currently considered a case file.

Authority for maintenance of the system:

31 U.S.C. 330.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

(1) To disclose pertinent information to appropriate Federal, state, or foreign agencies responsible for investigating or prosecuting the violations of, or for implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (2) To disclose information to a Federal, state, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit. (3) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (4) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains. (5) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation. (6) Disclosure of returns and return information may be made only as provided by 26 U.S.C. 6103. (7) To the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

In file folders.

Retrievability:

Indexed by name of individual.

Safeguards:

Locked doors. Access limited to authorized personnel.

Retention and disposal:

Dispose after 5 years by burning.

System manager(s) and address:

Director of Practice, HR:DP, Internal Revenue Service, Washington, DC 20224.

Notification procedure:

Individuals wishing to be notified if they are named in this system of records, or gain access to records maintained in this system must submit a written request containing the following elements: (1) Identify the record system; (2) Identify the category and type of records sought; (3) Provide at least two items of secondary identification (date of birth, employee identification number, dates of employment or similar information). Address inquiries to System Manager above.

Record access procedures:

See Notification Procedures.

Contesting record procedures:

Individuals seeking access to any record contained in the system of records to contest its contents, may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Address inquiries to the System Manager.

Record source categories:

Information contained in this system may have been provided by (1) individuals, (2) Internal Revenue Service (3) other government agencies, and (4) professional organizations.

Systems exempted from certain provisions of the act:

This system has been designated as exempt from certain provisions of the Privacy Act.

Treasury/IRS 37.005

System name:

Present Suspensions and Disbarments Resulting From Administrative Proceeding—Treasury/IRS.

System location:

(1) Internal Revenue Service, Office of Director of Practice, 1200 Pennsylvania Avenue, NW., Room 1413, Washington, DC 20224. (2) Washington National Record Center, National Archives and Record Administration, General Services Administration, Washington, DC 20409.

Categories of individuals covered by the system:

Individuals formerly eligible to practice before the Internal Revenue Service but now either suspended or disbarred from such practice after being accorded due notice and opportunity for hearing.

Categories of records in the system:

Information relating to individuals' enrollment to practice before the Internal Revenue Service, derogatory and other information regarding such practice, and record of proceedings.

Authority for maintenance of the system:

31 U.S.C. 330.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: These records and information in these records may be used: (1) Transfer of information regarding suspension or disbarment of attorneys, certified public accountants and enrolled agents to professional organizations. (2) To disclose pertinent information to appropriate Federal, State, or foreign agencies responsible for investigating or prosecuting the violations of, or for implementing, a state, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (3) To disclose information to a Federal, state, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit. (4) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (5) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains. (6) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation. (7) Disclosure of returns and return information may be made only as provided by 26 U.S.C. 6103. (8) To the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

In file folders.

Retrievability:

Indexed by name of individual.

Safeguards:

Locked doors. Access limited to authorized personnel.

Retention and disposal:

Dispose 25 years after case closed; transfer to Federal Record Center 5 years after case closed except for a random selection of a small number of disciplinary cases to be made at 5-year intervals for retention.

System manager(s) and address:

Director of Practice, HR:DP, Internal Revenue Service, Washington, DC 20224.

Notification procedure:

Individuals wishing to be notified if they are named in this system of records, or gain access to records maintained in this system must submit a written request containing the following elements: (1) Identify the record system; (2) Identify the category and type of records sought; (3) Provide at least two items of secondary identification (date of birth, employee identification number, dates of employment or similar information). Address inquiries to System Manager above.

Record access procedures:

See Notification Procedures.

Contesting record procedures:

Individuals seeking access to any record contained in the system of records or to contest its contents, may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Address inquiries to the System Manager.

Record source categories:

Information contained in this system may have been provided by: (1) individuals, (2) Internal Revenue Service, (3) other government agencies, (4) professional organizations.

Systems exempted from certain provisions of the act:

This system has been designated as exempt from certain provisions of the Privacy Act.

Treasury/IRS 37.006

System name:

General Correspondence File—Treasury/IRS.

System location:

Internal Revenue Service, Office of Director of Practice, 1200 Pennsylvania Avenue, NW., Room 1413, Washington, DC 20224.

Categories of individuals covered by the system:

General public.

Categories of records in the system:

General inquiries and comments from the general public.

Authority for maintenance of the system:

31 U.S.C. 330.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in these records may be used: (1) To disclose pertinent information to appropriate Federal, state, or foreign agencies responsible for investigating or prosecuting the violations of, or for implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (2) To disclose information to a Federal, state, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit. (3) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (4) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains. (5) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation. (6) Disclosure of returns and return information may be made only as provided by 26 U.S.C. 6103. (7) To the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

In file folder.

Retrievability:

Correspondence is indexed alphabetically by writer.

Safeguards:

Locked doors. Access limited to authorized personnel.

Retention and disposal:

Destroyed after 3 years.

System manager(s) and address:

Director of Practice, HR:DP, Internal Revenue Service, Washington, DC 20224.

Notification procedure:

Individuals wishing to be notified if they are named in this system of records, or gain access to record maintained in this system must submit a written request containing the following elements: (1) Identify the record system; (2) Identify the category and type of records sought; (3) Provide at least two items of secondary identification (date of birth, employee identification number, dates of employment or similar information). Address inquiries to Systems Manager above.

Record access procedures:

See Notification Procedures.

Contesting record procedures:

Individuals seeking access to any record contained in the system of records to contest its contents, may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Address inquiries to the System Manager.

Record source categories:

Information contained in this system has been provided by the general public.

Systems exempted from certain provisions of the act:

None.

Treasury/IRS 37.007

System name:

Inventory—Treasury/IRS.

System location:

Internal Revenue Service, Office of Director of Practice, 1200 Pennsylvania Avenue, NW., Room 1413, Washington, DC 20224.

Categories of individuals covered by the system:

(1) Attorneys, certified public accountants and enrolled agents about which alleged misconduct in their practice before the Internal Revenue Service is being reviewed and evaluated; (2) Appraisers who have been referred to the Director of Practice for review and evaluation of conduct which resulted in assessment of a penalty under 26 U.S.C. 6701(a); and (3) Applicants for enrollment to practice before the Internal Revenue Service whose applications are being reviewed and evaluated.

Categories of records in the system:

Information relating to individuals' enrollment or eligibility to practice before the Internal Revenue Service, and information relating to their conduct in such practice; and information relating to appraisers and applicants for enrollment.

Authority for maintenance of the system:

31 U.S.C. 330.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

(1) To disclose pertinent information to appropriate Federal, state, or foreign agencies responsible for investigating or prosecuting the violations of, or for implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (2) To disclose information to a Federal, state, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit. (3) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (4) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains. (5) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation. (6) Disclosure of returns and return information may be made only as provided by 26 U.S.C. 6103. (7) To the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

In file folders.

Retrievability:

Indexed by name of individual.

Safeguards:

Locked doors.

Retention and disposal:

Dispose 25 years after case closed; transfer to Federal Record Center 5 years after case is closed except for a random selection of a small number of disciplinary cases to be made at 5-year intervals for retention.

System manager(s) and address:

Director of Practice, HR:DP, Internal Revenue Service, Washington, DC 20224.

Notification procedure:

Individuals wishing to be notified if they are named in this system of records, or gain access to records maintained in this system must submit a written request containing the following elements: (1) Identify the record system; (2) Identify the category and type of records sought; (3) Provide at least two items of secondary identification (date of birth, employee identification number, dates of employment or similar information). Address inquiries to System Manager above.

Record access procedures:

See Notification Procedures.

Contesting record procedures:

Individuals seeking access to any record contained in the system of records to contest its contents, may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Address inquiries to the System Manager.

Record source categories:

Information contained in this system may have been provided by: (1) Individuals, (2) Internal Revenue Service, (3) other government agencies, and (4) professional organizations.

Systems exempted from certain provisions of the act:

This system has been designated as exempt from certain provisions of the Privacy Act.

Treasury/IRS 37.008

System name:

Register of Docketed Cases and Applicant Appeals—Treasury/IRS.

System location:

Internal Revenue Service, Office of Director of Practice, 1200 Pennsylvania Avenue, NW., Room 1314, Washington, DC 20224.

Categories of individuals covered by the system:

Individuals against whom complaints have been filed with the Office of Director of Practice pursuant to Title 31, CFR, Subpart C, Section 10.54, for alleged violation of the regulations governing practice before the Internal Revenue Service and individuals who have appealed to the Secretary of the Treasury, the denials of their application for enrollment to practice before the Internal Revenue Service.

Categories of records in the system:

Record of actions taken in cases docketed for hearings and record of actions taken on appeals from denials of applications for enrollment.

Authority for maintenance of the system:

31 U.S.C. 330.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in these records may be used: (1) To disclose pertinent information to appropriate Federal, state, or foreign agencies responsible for investigating or prosecuting the violations of, or for implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (2) To disclose information to a Federal, State, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit. (3) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (4) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains. (5) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation. (6) Disclosure of returns and return information may be made only as provided by 26 U.S.C. 6103. (7) To the news media in accordance with guidelines contained in 28 CFR. 50.2 which relate to an agency's functions relating to civil and criminal proceedings.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

In loose-leaf binder.

Retrievability:

Indexed by complaint number and by name of the individual.

Safeguards:

Locked doors. Access is limited to authorized personnel.

Retention and disposal:

Permanent retention.

System manager(s) and address:

Director of Practice, HR:DP, Internal Revenue Service, Washington, DC 20224.

Notification procedure:

Individuals wishing to be notified if they are named in this system of records, or gain access to records maintained in this system must submit a written request containing the following elements: (1) Identify the record system; (2) Identify the category and type of records sought; (3) Provide at least two items of secondary identification (date of birth, employee identification number, dates of employment or similar information). Address inquiries to System Manager above.

Record access procedures:

See Notification Procedures.

Contesting record procedures:

Individuals seeking access to any record contained in the system of records to contest its contents, may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Address inquiries to the System Manager.

Record source categories:

Information contained in records in this system has been provided by: (1) This office, (2) administrative law judges, (3) Internal Revenue Service.

Treasury/IRS 37.009

System name:

Enrolled Agents and Resigned Enrolled Agents (Action Pursuant to 31 CFR 10.55(b))—Treasury/IRS.

System location:

(1) Internal Revenue Service, Office of Director of Practice, 1200 Pennsylvania Avenue, NW., 1413, Washington, DC 20224; (2) Washington National Records Center, National Archives and Records Administration, General Services Administration, Washington, DC 20409.

Categories of individuals covered by the system:

Those individuals who are currently enrolled to practice before the Internal Revenue Service and those who were formerly enrolled to practice before the Internal Revenue Service and who resigned from such enrollment.

Categories of records in the system:

Information relating to individuals' applications for enrollment to practice before the Internal Revenue Service and derogatory and other information regarding such practice.

Authority for maintenance of the system:

31 U.S.C. 330.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in these records may be used: (1) To disclose pertinent information to appropriate Federal, state, or foreign agencies responsible for investigating or prosecuting the violations of, or for implementing, a statute, rule, regulation, order or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (2) To disclose information to a Federal, state, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit. (3) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (4) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains. (5) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation. (6) Disclosure of returns and return information may be made only as provided by 26 U.S.C. 6103. (7) To the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

In file folders.

Retrievability:

Indexed by name of individual.

Safeguards:

Locked doors. Access limited to authorized personnel.

Retention and disposal:

Destroy 60 years after enrollment.

System manager(s) and address:

Director of Practice, HR:DP, Internal Revenue Service, Washington, DC 20224.

Notification procedure:

Individuals wishing to be notified if they are named in this system of records, or gain access to records maintained in this system must submit a written request containing the following elements: (1) Identify the record system; (2) Identify the category and type of records sought; (3) Provide at least two items of secondary identification (date of birth, employee identification number, dates of employment or similar information). Address inquiries to System Manager above.

Record access procedures:

See Notification Procedures.

Contesting record procedures:

Individuals seeking access to any record contained in the system of records to contest its contents, may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Address inquiries to the System Manager.

Record source categories:

Information contained in this system may have been provided by: (1) Individuals, (2) Internal Revenue Service; (3) other government agencies, and (4) professional organizations.

Systems exempted from certain provisions of the act:

This system has been designated as exempt from certain provisions of the Privacy Act.

Treasury/IRS 37.010

System name:

Roster of Former Enrollees—Treasury/IRS.

System location:

Internal Revenue Service, Office of Director of Practice, 1200 Pennsylvania Avenue, NW., Room 1413, Washington, DC 20224.

Categories of individuals covered by the system:

Attorneys and certified public accountants who were enrolled to practice before the Internal Revenue Service prior to enactment of the Agency Practice Act, Title 5 U.S. Code, Section 500 and former enrolled agents who do not renew their enrollment.

Categories of records in the system:

This system contains individuals' names, addresses, professions, the dates of their enrollments and the expiration dates of such enrollments.

Authority for maintenance of the system:

31 U.S. Code 330.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in these records may be used: (1) To disclose pertinent information to appropriate Federal, state, or foreign agencies responsible for investigating or prosecuting the violations of, or for implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (2) To disclose information to a Federal, state, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit. (3) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (4) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains. (5) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation. (6) Disclosure of returns and return information may be made only as provided by 26 U.S.C. 6103. (7) To the news media in accordance with guidelines contained in 28 CFR. 50.2 which relate to an agency's functions relating to civil and criminal proceedings.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

In loose-leaf binders.

Retrievability:

Indexed by profession (i.e., attorney or certified public accountant) and by the individual's name.

Safeguards:

Locked doors. Access limited to authorized personnel.

Retention and disposal:

Permanent retention.

System manager(s) and address:

Director of Practice, HR:DP, Internal Revenue Service, Washington, DC 20224.

Notification procedure:

Individuals wishing to be notified if they are named in this system of records, or gain access to records maintained in this system must submit a written request containing the following elements: (1) Identify the record system; (2) Identify the category and type of records sought; (3) Provide at least two items of secondary identification (date of birth, employee identification number, dates of employment or similar information). Address inquiries to System Manager above.

Record access procedures:

See Notification Procedures.

Contesting record procedures:

Individuals seeking access to any record contained in the system of records to contest its contents, may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Address inquiries to the System Manager.

Record source categories:

Information contained in records in this system has been provided by: (1) Individuals, (2) Internal Revenue Service.

Systems exempted from certain provisions of the act:

None.

Treasury/IRS 37.011

System name:

Present Suspensions from Practice before the Internal Revenue Service—Treasury/IRS.

System location:

(1) Internal Revenue Service, Office of Director of Practice, 1200 Pennsylvania Avenue, NW., Room 1413, Washington, DC 20224. (2) Washington National Records Center, National Archives and Record Administration, General Services Administration, Washington, DC 20409.

Categories of individuals covered by the system:

Attorneys, certified public accountants and enrolled agents who have offered their consent to voluntary suspension from practice before the Internal Revenue Service.

Categories of records in the system:

Information relating to individuals' enrollment or eligibility to practice before the Internal Revenue Service, derogatory and other information relating to their conduct in such practice.

Authority for maintenance of the system:

31 U.S.C. 1026.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in these records may be used: (1) To disclose pertinent information to appropriate Federal, state, or foreign agencies responsible for investigating or prosecuting the violations of, or for implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (2) To disclose information to a Federal, state, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit. (3) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (4) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains. (5) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation. (6) Disclosure of returns and return information may be made only as provided by 26 U.S.C. 6103. (7) To the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

In file folders.

Retrievability:

Indexed by name of individual.

Safeguards:

Locked doors. Access limited to authorized personnel.

Retention and disposal:

Dispose 25 years after case closed; transfer to Federal Records Center 5 years after case closed except for a random selection of a small number of disciplinary cases to be made at 5-year intervals for retention.

System manager(s) and address:

Director of Practice, HR:DP, Internal Revenue Service, Washington, DC 20224.

Notification procedure:

Individuals wishing to be notified if they are named in this system of records, or gain access to records maintained in this system must submit a written request containing the following elements: (1) Identify the record system; (2) Identify the category and type of records sought; (3) Provide at least two items of secondary identification (date of birth, employee identification number, dates of employment or similar information). Address inquiries to System Manager above.

Record access procedures:

See Notification Procedures.

Contesting record procedures:

Individuals seeking access to any record contained in the system of records to contest its contents, may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Address inquiries to the System Manager.

Record source categories:

Information contained in this system may have been provided by: (1) Individuals, (2) Internal Revenue Service, (3) other government agencies, (4) professional organizations.

Systems exempted from certain provisions of the act:

This system has been designated as exempt from certain provisions of the Privacy Act.

Treasury/IRS 38.001

System name:

General Training Records—Treasury/IRS.

System location:

National, Regional and District Offices, Service Centers, National Computer Center, Data Center and posts of duty. (See Appendix A.)

Categories of individuals covered by the system:

IRS employees who have participated in or who may be scheduled for training activities (students, instructors, program managers, etc.). Other Federal or non-Government individuals who have participated in or assisted with training programs (students, instructors, course developers, interpreters, etc.).

Categories of records in the system:

Variety of records containing information about an individual related to training, such as: Course rosters, student registrations, nomination forms, course evaluations, instructor lists, individual development plans, counseling records, examination materials, payment records, and other recordations of training necessary for reporting and evaluative purposes. Some records within this system may also be contained in TR/IRS 36.003, General Personnel Records.

Authority for maintenance of the system:

Chapter 41, Title 5 U.S.C.; EO 11348; and FPM 410.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

(1) Routine disclosure of information contained in this system may be made available to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice. (2) Disclosure may be made to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains. (3) Disclosure may be made during judicial processes. (4) Information in these records may be used to provide input data for the automated Training CPDF at the Office of Personnel Management.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records may be maintained on magnetic media computer tapes, index cards, forms, or flat paper.

Retrievability:

Computer records are indexed by social security account numbers, course titles, dates of training, location of training and by specific employee information (i.e., name, title, grade, etc.); other records are indexed by name and course title.

Safeguards:

Individual computer records are available to those persons at OPM, Treasury or IRS who are directly involved with the training function.

Retention and disposal:

All records are disposed of in accordance with established retention schedules, IRM 1(15)59.31, General Records Schedule.

System manager(s) and address:

Chief, Office of Training Program Management, Chief, Training and Development Branch, and Office of the Assistant Commissioner (International), at the National Office; Chiefs, Training and Development Branches, and Chiefs, Human Resources Branches, at Regional and District Offices and Service Centers; training managers at Computer Center and Data Center. (See Appendix A.)

Notification procedure:

Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the System Manager for each office whose records are to be searched. (See Appendix A.)

Record access procedures:

Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the System Manager for each Office whose records are to be accessed or contested. (See Appendix A.)

Contesting record procedures:

See Access.

Record source categories:

Information is extracted from participant registration forms, individual development plans, skill surveys personnel records, and such other forms as may be developed and prescribed by OPM, Treasury, and IRS Training Personnel.

Systems exempted from certain provisions of the act:

None.

Treasury/IRS 42.001

System name:

Examination Administrative File—Treasury/IRS.

System location:

Jurisdictional District Office where the individual resides, or Service Center where return was examined, or Assistant Commissioner (Examination) and Assistant Commissioner (International), National Office. (See IRS Appendix A.)

Categories of individuals covered by the system:

Any taxpayer who is being considered for examination or is being or has been examined for tax determination purposes; i.e., income, estate and gift, excise, or employment tax liability.

Categories of records in the system:

Records containing investigatory materials required in making a tax determination or other verification in the administration of tax laws and all other related sub-files directly related to the processing of the tax case. This system also includes other management material related to a case and used for tax administrative purposes, including the appeals process and systems formerly published as 42.018, 42.023 and 42.025.

Authority for maintenance of the system:

5 U.S.C. 301, 26 U.S.C. 7602, 7801 and 7802.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Disclosure of returns and return information may be made only as provided by 26 U.S.C. 6103.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper documents, machine-sensible data media, microfilm.

Retrievability:

By taxpayer's name and Social Security number and employer identification number and document locator number.

Safeguards:

Access controls will not be less than provided for by the Physical and Document Security Handbook, IRM 1 (16)41.

Retention and disposal:

Destroyed in accordance with the established retention schedule in IRM 1(15)59.22, Records Disposition Handbook.

System manager(s) and address:

Official prescribing policies and practices—Assistant Commissioner (Examination) and Assistant Commissioner (International); Officials maintaining the system—Director of Jurisdictional District Office, or Service Center, or Assistant Commissioner (Examination) and Assistant Commissioner (International). (See IRS Appendix A.)

Notification procedure:

This system is exempt from the notification provisions of the Privacy Act.

Record access procedures:

This system is exempt from the access and contest provisions of the Privacy Act.

Contesting record procedures:

26 U.S.C. 7852(e) prohibits Privacy Act amendment of tax records.

Record source categories:

(1) Taxpayer's returns. (2) Taxpayer's books and records. (3) Informants and third party information. (4) City, state governments. (5) Other federal agencies. (6) Examinations of related taxpayers. (7) Examinations of other taxpayers. (8) Taxpayer's representative.

Systems exempted from certain provisions of the act:

This system has been designated as exempt from certain provisions of the Privacy Act.

Treasury/IRS 42.008

System name:

Audit Information Management System (AIMS)—Treasury/IRS.

System location:

This system is composed of: (1) Computer files located at each jurisdictional IRS Service Center (where tax return is under examination control). Each jurisdictional district (served by an IRS Service Center) has access to the computer file via video terminals; (2) Group control card forms 5345 and 5354 (including temporary and interim processing files for management and control purposes), located at each jurisdictional district office. Items described under (2), above, are subfiles of the AIMS System.

Categories of individuals covered by the system:

Taxpayers whose tax returns are under the jurisdiction of the Examination Division. Examiners assigned to taxpayer cases.

Categories of records in the system:

Tax return information from the Master File, Tax return status and location changes, Examination Closing information on examined and non-examined tax returns, examiner's name including related internal management information and a code identifying taxpayers that threatened or assaulted IRS employees.

Authority for maintenance of the system:

5 U.S.C. 301, 26 U.S.C. 7602, 7801 and 7802.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Disclosure of returns and return information may be made only as provided by 26 U.S.C. 6103.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Computer; Microfiche; Paper.

Retrievability:

Social Security number, taxpayer's name, examiner's name.

Safeguards:

Access controls will not be less than provided for by the Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal:

Computer Record: Examined closings, surveyed claims, and some types of non-examined closings are dropped from the data base 60 days after closing or when assessment verification is completed, whichever is later. The balance of non-examined closings are dropped at the end of the month following the month of closing. Paper Records: Generally, AIMS forms are destroyed within 90 days of the closing. Exceptions include: (1) The charge-out which becomes part of the case file and is sent to the Federal Records Center with the case; (2) Examination request forms which become the Examination group's control card; and (3) The Examination group's control card which is retained in a closed case file for 3 years (in the case of field examinations) and 90 days (in the case of office examinations). Auth: Records Disposition Handbook, IRM 1(15)59.

System manager(s) and address:

Official prescribing policies and practices—Assistant Commissioner (Examination), National Office. Officials maintaining the system—Each jurisdictional (taxpayer's place of residence) District Director; Each jurisdictional (the Service Center where taxpayer's tax return was filed) IRS Service Center. (See IRS Appendix A.)

Notification procedure:

This system is exempt from the notification provisions of the Privacy Act.

Record access procedures:

This system is exempt from the access and contest provisions of the Privacy Act.

Contesting record procedures:

26 U.S.C. 7852(e) prohibits Privacy Act amendment of tax records.

Record source categories:

Tax Returns; Examination files.

Systems exempted from certain provisions of the act:

This system has been designated as exempt from certain provisions of the Privacy Act.

Treasury/IRS 42.012

System name:

Combined Case Control Files—Treasury/IRS.

System location:

Jurisdictional District offices (not necessarily carried out in every district). (See IRS Appendix A).

Categories of individuals covered by the system:

Taxpayers that may be abusing the tax laws through the use of tax shelters, investors in flow-through entities and taxpayers with suspended issues on their returns.

Categories of records in the system:

Tax information relating to the tax shelter for use in determining abuses of tax laws.

Authority for maintenance of the system:

5 U.S.C. 301, 26 U.S.C. 7602, 7801 and 7802.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Disclosure of returns and return information may be made only as provided by 26 U.S.C. 6103.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper documents, machine-sensible data media and microfilm.

Retrievability:

Taxpayer identification number.

Safeguards:

Access controls will not be less than provided for by the Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal:

Retained until individual projects are completed. Auth: IRM 1(5)59.

System manager(s) and address:

Official prescribing policies and practices—Assistant Commissioner (Examination) and Assistant Commissioner (International). Officials maintaining the system—Director ofJurisdictional District. (See IRS Appendix A).

Notification procedure:

This system is exempt from the notification provisions of the Privacy Act.

Record access procedures:

This system is exempt from the access and contest provisions of the Privacy Act.

Contesting record procedures:

26 U.S.C. 7852(e) prohibits Privacy Act amendment of tax records.

Record source categories:.

(1) Individual's tax return. (2) Related taxpayers.

Systems exempted from certain provisions of the act:

This system has been designated as exempt from certain provisions of the Privacy Act.

Treasury/IRS 42.013

System name:

Project Files for the Uniform Application ofLaws as a Result of Technical Determinations and CourtDecisions—Treasury/IRS.

System location:

Jurisdictional district office where taxpayer resides. (See IRS Appendix A).

Categories of individuals covered by the system:

Individuals grouped as to project; i.e., individual shareholders of a corporation where a determination having a tax effect has been made.

Categories of records in the system:

Listing of individuals and their income tax information.

Authority for maintenance of the system:

5 U.S.C. 301, 26 U.S.C. 7602, 7801 and 7802.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Disclosure of returns and return information may be made only as provided by 26 U.S.C. 6103.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper documents and magnetic media.

Retrievability:

By taxpayer's name and social security number.

Safeguards:

Access controls will not be less than provided for by the Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal:

Destroyed in accordance with the established Retention Schedule 1(15)59.12, Records Retention Schedule.

System manager(s) and address:

Official prescribing policies and practices—Assistant Commissioner (Examination) and Assistant Commissioner (International). Officials maintaining the system—Director of Jurisdictional District. (See IRS Appendix A).

Notification procedure:

Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the District Director for each District whose records are to be searched.

Record access procedures:

Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the District Director for each District whose records are to be accessed or contested.

Contesting record procedures:

26 U.S.C. 7852(e) prohibits Privacy Act amendment of tax records.

Record source categories:

(1) Shareholder records. (2) Individual's tax return. (3) Examination of related taxpayer.

Systems exempted from certain provisions of the act:

None.

Treasury/IRS 42.014

System name:

Internal Revenue Service Employees' Returns Control Files—Treasury/IRS.

System location:

District Office of district where individual resides. (See IRS Appendix A).

Categories of individuals covered by the system:

Any individual who is employed by the Internal Revenue Service.

Categories of records in the system:

Alphabetic listing of employee, income tax return information including prior examination results and other tax related information.

Authority for maintenance of the system:

5 U.S.C. 301, 26 U.S.C. 7602, 7801 and 7802.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Disclosure of returns and return information may be made only as provided by 26 U.S.C. 6103.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper documents, machine-sensible data media, microfilm.

Retrievability:

Employee's name and social security number.

Safeguards:

Access controls will not be less than provided for by the Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal:

Updated periodically and retained as long as individual is employed. Auth: IRM 1(15)59.

System manager(s) and address:

Official prescribing policies and practices—Assistant Commissioner (Examination) Officials maintaining the system—Director of District where individual resides. (See IRS Appendix A).

Notification procedure:

Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the District Director for each District whose records are to be searched.

Record access procedures:

Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the District Director for each District whose records are to be accessed or contested.

Contesting record procedures:

26 U.S.C. 7852(e) prohibits Privacy Act amendment of tax records.

Record source categories:

Employee's tax return.

Systems exempted from certain provisions of the act:

None.

Treasury/IRS 42.016

System name:

Classification/Centralized Files and Scheduling Files—Treasury/IRS.

System location:

Jurisdictional service center or related district office where individual resides. (See IRS Appendix A).

Categories of individuals covered by the system:

Individuals whose returns or claims are classified for examination.

Categories of records in the system:

Individuals' tax returns/claims and other information considered in screening/classifying of an individual's return or claim for refund.

Authority for maintenance of the system:

5 U.S.C. 301, 26 U.S.C. 7602, 7801 and 7802.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Disclosure of returns and return information may be made only as provided by 26 U.S.C. 6103.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper documents, computer printouts, magnetic media.

Retrievability:

By taxpayer's name and social security number.

Safeguards:

Access controls will not be less than provided for by the Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal:

Returns/claims accepted as filed are returned to System of Records 22.034. Returns/claims selected for examination become part of System of Records 42.001. Other information is retained until associated with returns/claims or two years, whichever occurs first. Authority: Records Disposition Handbook IRM 1(15)59.

System manager(s) and address:

Official prescribing policies and practices—Assistant Commissioner (Examination). Officials maintaining the system—Director of Jurisdictional District or service center. (See IRS Appendix A).

Notification procedure:

This system is exempt from the notification provisions of the Privacy Act.

Record access procedures:

This system is exempt from the access and contest provisions of the Privacy Act.

Contesting record procedures:

26 U.S.C. 7852(e) prohibits Privacy Act amendment of tax records.

Record source categories:

(1) Tax returns, (2) Requests from taxpayer, (3) Requests from Collection Division for prompt examination.

Systems exempted from certain provisions of the act:

This system has been designated as exempt from certain provisions of the Privacy Act.

Treasury/IRS 42.017

System name:

International Enforcement Program Files—Treasury/IRS.

System location:

Jurisdictional District Office of district where individual resides; National Office: Assistant Commissioner (Examination) and (International), Washington, DC. (See IRS Appendix A.)

Categories of individuals covered by the system:

Any individual having foreign business activities.

Categories of records in the system:

Listing of individuals, summary of income expenses, financial information as to foreign operations, acquisition of foreign stock, controlling interest of a foreign corporation, organization or reorganization of foreign corporation examination results, etc.

Authority for maintenance of the system:

5 U.S.C. 301, 26 U.S.C. 7602, 7801 and 7802.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Disclosure of returns and return information may be made only as provided by 26 U.S.C. 6103.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper documents, microfilm, machine sensible magnetic media.

Retrievability:

Individual's name and social security number.

Safeguards:

Access controls will not be less than provided for by the Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal:

Updated periodically and retained as long as individual has substantial foreign business activities. Auth: IRM 1(15)59.

System manager(s) and address:

Official prescribing policies and practices—Assistant Commissioner (Examination) and Assistant Commissioner (International). Officials maintaining the system—Director of Jurisdictional District; Assistant Commissioner (Examination) and Assistant Commissioner (International). (See IRS Appendix A.)

Notification procedure:

This system is exempt from the notification provisions of the Privacy Act.

Record access procedures:

This system is exempt from the access and contest provisions of the Privacy Act.

Contesting record procedures:

26 U.S.C. 7852(e) prohibits Privacy Act amendment of tax records.

Record source categories:

(1) European treaty countries, (2) Individual's tax returns, (3) Examination of related taxpayers, (4) Public sources of information.

Systems exempted from certain provisions of the act:

This system has been designated as exempt from certain provisions of the Privacy Act.

Treasury/IRS 42.021

System name:

Compliance Programs and Projects Files—Treasury/IRS.

System location:

Initiated and maintained in National Office, Regional Offices, or jurisdictional District or service center. (See IRS Appendix A.)

Categories of individuals covered by the system:

Taxpayers that may be involved in tax evasion schemes, including withholding noncompliance or other areas of noncompliance grouped by industry, occupation, or financial transactions, and other; e.g., return preparers, political contributions, corporate kickbacks, questionable Forms W-4.

Categories of records in the system:

Records pertaining to individuals in projects and programs.

Authority for maintenance of the system:

5 U.S.C. 301, 26 U.S.C. 7602, 7801 and 7802.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Disclosure of returns and return information may be made only as provided by 26 U.S.C. 6303.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records, machine-sensible data media, microfilm, and magnetic media.

Retrievability:

By taxpayer's name and social security number or Document Locator Number.

Safeguards:

Access controls will not be less than provided for by the Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal:

W-4 paper case files and National Computer Center (NCC) magnetic tape records are destroyed two years after the cases have been inactive. Records associated with the examination of returns are disposed of in accordance with the established Retention Schedule 1(15)59.22, Records Control Schedule. Records not associated with the examination of returns will be destroyed at the completion of the program or project, or in accordance with IRM 1(15)59, Records Disposition Handbook.

System manager(s) and address:

Official prescribing policies and practices—Assistant Commissioner (Examination). Officials maintaining the system—Director of Jurisdictional District or service center. (See IRS Appendix A.)

Notification procedure:

This system of records may not be accessed for purposes of determining if the system contains a record pertaining to a particular individual.

Record access procedures:

This system of records may not be accessed for purposes of inspection or for contest of content of records.

Contesting record procedures:

26 U.S.C. 7852(e) prohibits Privacy Act amendment of tax records.

Record source categories:

(1) Taxpayer's return, (2) taxpayer's books and records, (3) informants and third party information, (4) city, state government (5) other federal agencies, (6) examinations of related taxpayers, and (7) taxpayer's employer.

Systems exempted from certain provisions of the act:

This system has been designated as exempt from certain provisions of the Privacy Act.

Treasury/IRS 42.027

System name:

Data on Foreign Corporations—Treasury/IRS.

System location:

IRS Data Center, Detroit, Michigan; Assistant Commissioners, (Examination) and (International), Washington, D.C.; District Offices; Regional Offices, Philadelphia Service Center. (See IRS Appendix A.)

Categories of individuals covered by the system:

Individuals required to file Form 5471, Information Return with respect to a Foreign Corporation.

Categories of records in the system:

Names of individuals filing on foreign holdings.

Authority for maintenance of the system:

5 U.S.C. 301, 26 U.S.C. 7602, 7801 and 7802.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Disclosure of returns and return information may be made only as provided by 26 U.S.C. 6103.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Magnetic tape in Data Center and Philadelphia Service Center; paper at other listed locations, machine-sensible data media and microfilm.

Retrievability:

By individual name.

Safeguards:

Access controls will not be less than provided for by the Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal:

Three years or earlier. Auth: IRM 1(15)59.

System manager(s) and address:

Official prescribing policies and practices—Assistant Commissioner (Examination) and Assistant Commissioner (International), National Office. Officials maintaining the system—District Directors; Regional Commissioners; Assistant Commissioner (Examination) and Assistant Commissioner (International), National Office; Director, Data Center, Detroit, Michigan; Director, Returns Processing & Accounting Division, National Office. (See IRS Appendix A.)

Notification procedure:

Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the district director for each district whose records are to be searched, or to the directors, or Assistant Commissioner (International) in the case of records in the National Office. (See Appendix A for addresses.)

Record access procedures:

Individuals seeking access to any record contained in the system of records may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the district director for each district whose records are to be accessed or contested, or to the directors, or Assistant Commissioner (International) in the case of records in the National Office. (See Appendix A for addresses.)

Contesting record procedures:

26 U.S.C. 7852(e) prohibits Privacy Act amendment of records.

Record source categories:

Form 5471 only.

Systems exempted from certain provisions of the act:

None.

Treasury/IRS 42.029

System name:

Audit Underreporter Case File, OP:EX—Treasury/IRS.

System location:

National Computer Center (NCC), Martinsburg, West Virginia. (See IRS Appendix A.)

Categories of individuals covered by the system:

Recipients of income who appear not to have declared on their income tax returns (Forms 1040, 1040A, and 1040EZ) all income paid to them in the tax year under study.

Categories of records in the system:

Records maintained are taxpayer (i.e., payee) entity records containing payee name, address, taxpayer identification number, and other indicators relating to entity maintenance; and income records containing the types and amounts of income received/reported, and information identifying the income payer.

Authority for maintenance of the system:

5 U.S.C. 301, 26 U.S.C. 7801, 26 U.S.C. 7802, and 26 U.S.C. 7602.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Disclosure of returns and return information may be made only as provided by 26 U.S.C. 6103.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

On magnetic media.

Retrievability:

By matching on SSN and name control.

Safeguards:

Safeguards will not be less than provided by the Physical and Document Security Handbook, IRM 1(126)41.

Retention and disposal:

Retained for one year, then data are magnetically erased. Auth: IRM 1(15)59, Records Disposition Handbook.

System manager(s) and address:

Official prescribing policies and practices—Assistant Commissioner (Examination) OP:EX, National Office. Officials maintaining the system—Directors, Internal Revenue Service Centers. (See IRS Appendix A.)

Notification procedure:

This system of records may not be accessed for purposes of determining if the system contains a record pertaining to a particular individual.

Record access procedures:

This system of records may not be accessed for purpose of inspection or for contest of content of records.

Contesting record procedures:

26 U.S.C 7852(e) prohibits Privacy Act amendment of tax records.

Record source categories:

Information returns filed by payers and Forms 1040, 1040A, and 1040EZ.

Systems exempted from certain provisions of the act:

This system has been designated as exempt from certain provisions of the Privacy Act.

Treasury/IRS 42.030

System name:

Discriminant Function File (DIF), OP:EX—Treasury/IRS.

System location:

Internal Revenue Service Centers. (See IRS Appendix A.)

Categories of individuals covered by the system:

Individuals whose income tax returns have a DIF Score higher than a cutoff score determined by Examination and International, indicating high audit potential, based on formulae prescribed by Examination.

Categories of records in the system:

Document Locator Number of the return, the Regional and District Offices of the taxpayer, the taxpayer's DIF Score and data from the individual's Income Tax Return needed to conduct an audit of his/her return.

Authority for maintenance of the system:

5 U.S.C 301, 26 U.S.C. 7801, 26 U.S.C. 7802, 26 U.S.C. 7602.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Disclosure of returns and return information may be made only as provided by 26 U.S.C. 6103.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

By magnetic tape and computer printout.

Retrievability:

By individual's Social Security Number.

Safeguards:

Access controls will not be less than provided for by the Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal:

Retained for three years. Disposed of thereafter. Authority: IRM 1(15)59.

System manager(s) and address:

Official prescribing policies and practices—Assistant Commissioner (Examination) and Assistant Commissioner (International). Officials maintaining the system—Directors, Internal Revenue Service Centers. (See IRS Appendix A.)

Notification procedure:

This system of records may not be accessed for purpose of determining if the system contains a record pertaining to a particular individual.

Record access procedures:

This system of records may not be accessed for the purpose of inspection or for contest of content of records.

Contesting record procedures:

26 U.S.C. 7852(e) prohibits Privacy Act amendment of tax records.

Record source categories:

Individual's tax return information.

Systems exempted from certain provisions of the act:

This system has been designated as exempt from certain provisions of the Privacy Act.

Treasury/IRS 44.001

System name:

Appeals Case Files—Treasury/IRS.

System location:

Director, Appeals Division, National Office; Regional Directors of Appeals. (See IRS Appendix A.)

Categories of individuals covered by the system:

Taxpayers.

Categories of records in the system:

Tax returns, Revenue Agents' Reports, case correspondence, legal opinions and Appeals closing actions.

Authority for maintenance of the system:

26 U.S.C. 7801, 7802.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Disclosure of returns and return information may be made only as provided by 26 U.S.C. 6103.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper, and magnetic media.

Retrievability:

Name of taxpayer.

Safeguards:

Locked file cabinets, locked doors, IRS employees access data only on a need to know basis.

Retention and disposal:

Retention as prescribed in Records Disposition Handbook. IRM 1(15)59. Disposal by shredding.

System manager(s) and address:

Director, Appeals Division, National Office, 1111 Constitution Avenue, NW., Washington, DC 20224; Regional Directors of Appeals. (See IRS Appendix A.)

Notification procedure:

This system of records may not be accessed for purposes of determining if the system contains a record pertaining to the individual.

Record access procedures:

This system of records may not be accessed for purposes of inspection or for contest of content of records.

Contesting record procedures:

26 U.S.C. 7852(e) prohibits Privacy Act amendment of tax records.

Record source categories:

This system of records contains investigatory material compiled for law enforcement purposes whose sources need not be reported.

Systems exempted from certain provisions of the act:

This system has been designated as exempt from certain provisions of the Privacy Act.

Treasury/IRS 44.003

System name:

Appeals Case Data—Treasury/IRS.

System location:

Director, Appeals Division, National Office; Regional Directors of Appeals. (See IRS Appendix A.)

Categories of individuals covered by the system:

Taxpayers.

Categories of records in the system:

Provides case control data and management information, utilizing data from system 42.008 and data developed in the appeal process.

Authority for maintenance of the system:

26 U.S.C. 7801, 7802.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Disclosure of returns and return information may be made only as provided by 26 U.S.C. 6103.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper, magnetic media, interactive terminal, diskette, hard disk.

Retrievability:

By taxpayer's name and social security number, employer identification number and by work unit number.

Safeguards:

IRS personnel on need to know basis and passwords to access system information.

Retention and disposal:

Retention is prescribed in Records Disposition Handbook. Authority: IRM 1(15)59.

System manager(s) and address:

Director, Appeals Division, National Office, 1111 Constitution Avenue, NW., Washington, DC 20224; Regional Directors of Appeals. (See IRS Appendix A.)

Notification procedure:

Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the System Manager for each office whose records are to be searched.

Record access procedures:

Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the System Manager for each office whose records are to be accessed.

Contesting record procedures:

26 U.S.C. 7852(e) prohibits Privacy Act amendment of tax records.

Record source categories:

Record clerks and Appeals Officers.

Systems exempted from certain provisions of the act:

None.

Treasury/IRS 44.004

System name:

Artist File—Treasury/IRS.

System location:

Director, Appeals Division, National Office; Regional Directors of Appeals. (See IRS Appendix A).

Categories of individuals covered by the system:

Famous or noted artists whose works have been evaluated.

Categories of records in the system:

Commissioner's Art Panel decisions on values of works of art by named artists and appraisal documentation.

Authority for maintenance of the system:

5 U.S.C. 301, 26 U.S.C. 7801, 26 U.S.C. 7802, 26 U.S.C. 7602, 26 U.S.C. 7805(a).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

(1) Disclosure of returns and return information may be made only as provided by 26 U.S.C. 6103. These records and information in these records may be used: (2) To disclose information to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice. (3) To disclose pertinent information to appropriate Federal, state, local, or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (4) To disclose information to a Federal, state, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit. (5) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (6) To disclose information to foreign governments in accordance with formal or informal international agreements. (7) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains. (8) To provide information to the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings. (9) To provide information to unions recognized as exclusive bargaining representatives under the Civil Service Reform Act of 1978, 5 U.S.C. 7111 and 7114. (10) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records, magnetic media.

Retrievability:

Indexed by name.

Safeguards:

Safeguards will not be less than provided by the Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal: System has been retained since 1968. Authority: IRM 1(15)59.

System manager(s) and address:

Director, Appeals Division, National Office, 1111 Constitution Avenue, NW., Washington, DC 20224; Regional Directors of Appeals. (See IRS Appendix A.)

Notification procedure:

Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the Director, Appeals Division, National Office.

Record access procedures:

Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the Director, Appeals Division, National Office.

Contesting record procedures:

26 U.S.C. 7852(e) prohibits Privacy Act amendment of tax records.

Record source categories:

Appraisal documentation and Art Panel decisions.

Systems exempted from certain provisions of the act: None.

Treasury/IRS 44.005

System name:

Expert Witness and Fee Appraiser Files—Treasury/IRS.

System location:

Director, Appeals Division, National Office; Regional Directors of Appeals (See IRS Appendix A.)

Categories of individuals covered by the system:

Potential expert witnesses for litigation and fee appraisers for art valuation.

Categories of records in the system:

Biographical sketches, application letters, or list of names by specialty.

Authority for maintenance of the system:

5 U.S.C. 301, 26 U.S.C. 7801, 26 U.S.C. 7802, 26 U.S.C. 7602, 26 U.S.C. 7805(a).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

(1) Disclosure of returns and return information may be made only as provided by 26 U.S.C. 6103. (2) To disclose information to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice. (3) To disclose pertinent information to appropriate Federal, state, local, or foreign agencies responsible for investigating or prosecuting the violations of or for enforcing or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (4) To disclose information to a Federal, state, or local agency, maintaining civil, criminal, or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit. (5) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (6) To disclose information to foreign governments in accordance with formal or informal international agreements. (7) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains. (8) To provide information to the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings. (9) To provide information to unions recognized as exclusive bargaining representatives under the Civil Service Reform Act of 1978, 5 U.S.C. 7111 and 7114. (10) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records.

Retrievability:

Indexed by name.

Safeguards:

Safeguards will not be less than provided by the Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal:

Records are periodically updated to reflect changes and maintained as needed. Authority: IRM 1(15)59.

System manager(s) and address:

Director, Appeals Division, National Office, 1111 Constitution Avenue, NW., Washington, DC 20224; Regional Directors of Appeals. (See IRS Appendix A.)

Notification procedure: Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the Director, Appeals Division, National Office.

Record access procedures:

Individuals seeking access to any record contained in the system of records, or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the Director, Appeals Division, National Office.

Contesting record procedures: 26 U.S.C. 7852(e) prohibits Privacy Act amendment of tax records.

Record source categories:

Varied, generally from the named individual, often unsolicited.

Systems exempted from certain provisions of the act: None.

Treasury/IRS 46.002

System name:

Case Management and Time Reporting System, Criminal Investigation Division—Treasury/IRS.

System location:

National, Regional, and District Offices, Data Center, service centers (See IRS Appendix A.)

Categories of individuals covered by the system:

Subjects and potential subjects of Criminal Investigation Division Investigations, Special Agents, U.S. District Court Judges and U.S. Attorneys.

Categories of records in the system:

Personal and financial information developed in criminal tax investigations, potential tax investigations and in projects including information from other Federal, state and local agencies.

Authority for maintenance of the system:

5 U.S.C. 301; 26 U.S.C. 7602; 26 U.S.C. 7801, 7802.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Disclosure of returns and return information may be made only as provided by 26 U.S.C. 6103.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in binders; Magnetic media; Computer discs; Computer printouts.

Retrievability:

Taxpayer's name, Case Number, and social security number.

Safeguards:

Controls will be not less than provided for by the Access Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal:

As specified in Records Disposition Handbook, IRM 1(15)59.

System manager(s) and address:

Official prescribing policies and practices—Assistant Commissioner, Criminal Investigation, National Office. Officials maintaining the system—Regional Commissioners; District Directors; Assistant Commissioner, Criminal Investigation; Director, Data Center, Directors, service centers. (See IRS Appendix A.)

Notification procedure:

This system of records may not be accessed for purposes of determining if the system contains a record pertaining to a particular individual.

Record access procedures:

This system of records may not be accessed for purposes of inspection or for contest of content of records.

Contesting record procedures:

26 U.S.C. 7852(e) prohibits Privacy Act amendment of tax records.

Record source categories:

This system of records contains investigatory material compiled for law enforcement purposes whose sources need not be reported.

Systems exempted from certain provisions of the act:

This system has been designated as exempt from certain provisions of the Privacy Act.

Treasury/IRS 46.003

System name:

Confidential Informants, Criminal Investigation Division—Treasury/IRS.

System location:

District Offices, Assistant Commissioner (Criminal Investigation), National Office. (See IRS Appendix A.)

Categories of individuals covered by the system:

Confidential Informants; Subjects of Confidential Informant's Reports.

Categories of records in the system:

Memorandums, Index Cards, Related Data.

Authority for maintenance of the system:

5 U.S.C. 301; 26 U.S.C. 7602; 26 U.S.C. 7801, 7802.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Disclosure of returns and return information may be made only as provided by 26 U.S.C. 6103.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper and magnetic media.

Retrievability:

Confidential informants name and number or name in informants report.

Safeguards:

Controls will be not less than provided for by the Access Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal:

As specified in Records Disposition Handbook, IRM 1(15)59.

System manager(s) and address:

Official prescribing policies and practices—Assistant Commissioner, Criminal Investigation, National Office. Officials maintaining the system—District Directors. (See IRS Appendix A.)

Notification procedure:

This system of records may not be accessed for purposes of determining if the system contains a record pertaining to a particular individual.

Record access procedures:

This system of records may not be accessed for purposes of inspection or for contest of content of records.

Contesting record procedures:

26 U.S.C. 7852(e) prohibits Privacy Act amendment of tax records.

Record source categories:

This system of records contains investigatory material compiled for law enforcement purposes whose sources need not be reported.

Systems exempted from certain provisions of the act:

This system has been designated as exempt from certain provisions of the Privacy Act.

Treasury/IRS 46.004

System name:

Controlled Accounts—Open and Closed—Treasury/IRS.

System location:

Service Centers, National Computer Center, District Offices. (See IRS Appendix A.)

Categories of individuals covered by the system:

Subjects and potential subjects of criminal tax investigation.

Categories of records in the system:

Criminal Investigation Information and Control Notices; Lists of names and related data; Lists of action taken; Transcripts of account.

Authority for maintenance of the system:

5 U.S.C. 301; 26 U.S.C. 7602; 26 U.S.C. 7801, 7802.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Disclosure of returns and return information may be made only as provided by 26 U.S.C. 6103.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Magnetic media and paper.

Retrievability:

By name or Social Security Number.

Safeguards:

Controls will be not less than provided for by the Access Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal:

Paper destroyed after 1 year. Magnetic tape erased after 3 months. Auth: IRM 1(15)59.

System manager(s) and address:

Official prescribing policies and practices—Assistant Commissioner, Criminal Investigation, National Office. Officials maintaining the system—District Directors, Service Center Directors, National Computer Center Director. (See IRS Appendix A.)

Notification procedure:

Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the District Director for each District whose records are to be searched. (See IRS Appendix A.)

Record access procedures:

Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the District Director for each District whose records are to be searched. (See IRS Appendix A.)

Contesting record procedures:

26 U.S.C 7852(e) prohibits Privacy Act amendment of tax records.

Record source categories:

District Office Personnel; Service Center Personnel.

Systems exempted from certain provisions of the act:

None.

Treasury/IRS 46.005

System name:

Electronic Surveillance File, Criminal Investigation—Treasury/IRS.

System location:

National Office (see IRS Appendix A).

Categories of individuals covered by the system:

Subjects of electronic surveillance. Individuals who have been subjects of queries by other agencies.

Categories of records in the system:

Information relating to conduct of electronic surveillance.

Authority for maintenance of the system:

5 U.S.C. 301; 26 U.S.C. 7602 26 U.S.C. 7801, 7802.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Disclosure of returns and return information may be made only as provided by 26 U.S.C. 6103.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper and magnetic media.

Retrievability:

Names, addresses, and telephone numbers.

Safeguards:

Controls will be not less than provided for by the Access Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal:

Permanent retention and no disposal authorization. Authority: IRM 1(15)59.

System manager(s) and address:

Official prescribing policies and practices—Assistant Commissioner, Criminal Investigation, National Office. Officials maintaining the system—Director, Office of Investigations. (See IRS Appendix A.)

Notification procedure:

This system of records may not be accessed for purposes of determining if the system contains a record pertaining to a particular individual.

Record access procedures:

This system of records may not be accessed for purposes of inspection or for contest of content of records.

Contesting record procedures:

26 U.S.C 7852(e) prohibits Privacy Act amendment of tax records.

Record source categories:

This system of records contains investigatory material compiled for law enforcement purposes whose sources need not be reported.

Systems exempted from certain provisions of the act:

This system has been designated as exempt from certain provisions of the Privacy Act.

Treasury/IRS 46.009

System name:

Centralized Evaluation and Processing of Information Items (CEPIIs), Criminal Investigation Division—Treasury/IRS.

System location:

District Offices and Service Centers. (See IRS Appendix A).

Categories of individuals covered by the system:

Taxpayers about whom the Internal Revenue Service has received information alleging a violation of laws within IRS jurisdiction, potential subjects of investigation.

Categories of records in the system:

Copies of income tax returns, special agent's reports, revenue agent's reports, reports from police and other investigative agencies, memoranda of interview, question-and-answer statements, affidavits, collateral requests and replies, information items, newspaper and magazine articles and other published data, financial information from public records, case initiating documents and other similar and related documents.

Authority for maintenance of the system:

5 U.S.C. 301; 26 U.S.C. 7602; 26 U.S.C. 7801, 7802.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Disclosure of returns and return information may be made only as provided by 26 U.S.C. 6103.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Magnetic tape, paper, and microfilm.

Retrievability:

Name.

Safeguards:

Controls will be not less than provided for by the Access Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal:

Paper shredded after use. Microfilm—destroyed after 5 years. Magnetic tape—erased after 3 years. Auth: IRM 1(15)59.

System manager(s) and address:

Official prescribing policies and practices—Assistant Commissioner, Criminal Investigation, National Office. Officials maintaining the system—Service Center Directors, District Directors. (See IRS Appendix A).

Notification procedure:

This system of records may not be accessed for purposes of determining if the system contains a record pertaining to a particular individual.

Record access procedures:

This system of records may not be accessed for purposes of inspection or for contest of content of records.

Contesting record procedures:

26 U.S.C. 7852(e) prohibits Privacy Act amendment of tax records.

Record source categories:

This system of records contains investigatory material compiled for law enforcement purposes whose sources need not be reported.

Systems exempted from certain provisions of the act:

This system has been designated as exempt from certain provisions of the Privacy Act.

Treasury/IRS 46.011

System name:

Land Trust Files, Criminal Investigation Division—Treasury/IRS.

System location:

District Offices (Chicago and Springfield), Service Center (Kansas City). (See IRS Appendix A).

Categories of individuals covered by the system:

Beneficiaries of Land Trusts, Related individuals.

Categories of records in the system:

Notices of Fiduciary Relationships. Related correspondence.

Authority for maintenance of the system:

5 U.S.C. 301; 26 U.S.C. 7602, 26 U.S.C. 7801, 7802.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Disclosure of returns and return information may be made only as provided by 26 U.S.C. 6103.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper, microfilm, magnetic tape.

Retrievability:

Name.

Safeguards:

Controls will be not less than provided for by the Access Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal:

As specified in Records Disposition Handbook, IRM 1(15)59.

System manager(s) and address:

Official prescribing policies and practices—Assistant Commissioner, Criminal Investigation, National Office. Officials maintaining the system—District Directors of Chicago and Springfield, Service Center Director, Kansas City. (See IRS Appendix A).

Notification procedure:

Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to District Director for each District whose records are to be searched, the Service Center Director, and to Assistant Commissioner, Criminal Investigation, National Office. (See IRS Appendix A).

Record access procedures:

Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to District Director for each District whose records are to be searched, the Service Center Director, and Assistant Commissioner, Criminal Investigation, National Office. (See IRS Appendix A).

Contesting record procedures:

26 U.S.C. 7852(e) prohibits Privacy Act amendment of tax records.

Record source categories:

Financial institutions, Fiduciary reports, Notices of Fiduciary Relationships.

Systems exempted from certain provisions of the act:

None.

Treasury/IRS 46.015

System name:

Relocated Witnesses, Criminal Investigation Division—Treasury/IRS.

System location:

National Office. (See IRS Appendix A).

Categories of individuals covered by the system:

Relocated Witnesses.

Categories of records in the system:

Documentation & Relocation Information.

Authority for maintenance of the system:

5 U.S.C. 301; 26 U.S.C. 7602; 26 U.S.C. 7801, 7802.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Disclosure of returns and return information may be made only as provided by 26 U.S.C. 6103.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper.

Retrievability:

By name.

Safeguards:

Controls will be not less than provided for by the Access Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal:

Indefinite retention. Auth: IRM 1(15)59.

System manager(s) and address:

Official prescribing policies and practices, Assistant Commissioner, Criminal Investigation, National Office. Officials maintaining the system, Assistant Commissioner, Criminal Investigation, National Office. (See IRS Appendix A).

Notification procedure:

This system of records may not be accessed for purposes of determining if the system contains a record pertaining to a particular individual.

Record access procedures:

This system of records may not be accessed for purposes of inspection or for contest of content of records.

Contesting record procedures:

26 U.S.C. 7852(e) prohibits Privacy Act amendment of tax records.

Record source categories:

This system of records contains investigatory material compiled for law enforcement purposes whose sources need not be reported.

Systems exempted from certain provisions of the act:

This system has been designated as exempt from certain provisions of the Privacy Act.

Treasury/IRS 46.016

System name:

Secret Service Details, Criminal Investigation Division—Treasury/IRS.

System location:

District Offices, Service Centers, Regional Offices, National Office. (See IRS Appendix A).

Categories of individuals covered by the system:

Special Agents.

Categories of records in the system:

List of Criminal Investigation participants and correspondence between Criminal Investigation and Secret Service.

Authority for maintenance of the system:

5 U.S.C. 301; 26 U.S.C. 7602; 26 U.S.C. 7801, 7802.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice. Disclosure may be made during judicial processes.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper.

Retrievability:

Name.

Safeguards:

Controls will be not less than provided for by the Access Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal:

Not established.

System manager(s) and address:

Official prescribing policies and practices—Assistant Commissioner, Criminal Investigation, National Office. Officials maintaining the system—District Directors, Service Center Directors, Regional Commissioners, Assistant Commissioner, Criminal Investigation. (See IRS Appendix A).

Notification procedure:

This system of records may not be accessed for purposes of determining if the system contains a record pertaining to a particular individual.

Record access procedures:

This system of records may not be accessed for purposes of inspection or for contest of content of records.

Contesting record procedures:

26 U.S.C. 7852(e) prohibits Privacy Act amendment of tax records.

Record source categories:

This system of records contains investigatory material compiled for law enforcement purposes whose sources need not be reported.

Systems exempted from certain provisions of the act:

This system has been designated as exempt from certain provisions of the Privacy Act.

Treasury/IRS 46.022

System name:

Treasury Enforcement Communications System (TECS), Criminal Investigation Division—Treasury/IRS.

System location:

National Office.

Categories of individuals covered by the system:

Fugitives, subjects of open and closed criminal investigations, subjects of potential criminal investigations, subjects with Taxpayer Delinquent Accounts against whom Federal Tax Liens have been filed and other subjects of potential interest to criminal investigation such as witnesses and associates of subjects of criminal investigations or related to a matter under Criminal Investigation jurisdiction.

Categories of records in the system:

Name, Date of Birth, Social Security Number, Address, Identifying details, aliases, associates, physical descriptions, various identification numbers, details and circumstances surrounding the actual or suspected violator.

Authority for maintenance of the system:

5 U.S.C. 301; 26 U.S.C. 7602; 26 U.S.C. 7801, 7802.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Disclosure of returns and return information may be made only as provided by 26 U.S.C. 6103.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Disc.

Retrievability:

By name, social security number or other unique identifier.

Safeguards:

Controls will be not less than provided for by the Access Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal:

Fugitives until apprehended. Other records are deleted when no longer of potential use for criminal investigation case or informational purposes. Cancellation after 10 years. Auth: IRM 1(15)59.

System manager(s) and address:

Official prescribing policies and practices—Assistant Commissioner, Criminal Investigation, National Office. Officials maintaining the system—Assistant Commissioner, Criminal Investigation, National Office.

Notification procedure:

This system of records may not be accessed for purposes of determining if the system contains a record pertaining to a particular individual.

Record access procedures:

This system of records may not be accessed for purposes of inspection or for contest of content of records.

Contesting record procedures:

26 U.S.C 7852(e) prohibits Privacy Act amendment of tax records.

Record source categories:

This system of records contains investigatory material compiled for law enforcement purposes whose sources need not be reported.

Systems exempted from certain provisions of the act:

This system has been designated as exempt from certain provisions of the Privacy Act.

Treasury/IRS 48.001

System name:

Disclosure Records—Treasury/IRS.

System location:

National Office, National Computer Center, Data Center, Regional Offices, Service Centers and District Offices. (See IRS Appendix A).

Categories of individuals covered by the system:

(1) Subjects of requests for disclosure initiated by the Department of Justice, including suspects or persons related to the violation of Federal laws; persons who have initiated legal actions against the Federal Government, persons identified as strike force targets or related to organized crime activities, persons under investigation for national security reasons, persons believed by the Internal Revenue Service to be related to violations of Federal laws other than the Internal Revenue Code. (2) Persons under investigation by other executive departments or congressional committees for whom tax information has been requested pursuant to 26 U.S.C. 6103. (3) Persons who are parties to criminal or civil non-tax litigation in which the testimony of IRS employees has been requested. (4) Persons who have applied for Federal employment or presidential appointments for which preemployment tax checks have been requested and applicants for Department of Commerce "E" Awards. (5) Requesters for access to records pursuant to 26 U.S.C. 6103, the Freedom of Information Act, 5 U.S.C. 552, and initiators of requests for access, amendment or other action pursuant to the Privacy Act of 1974, 5 U.S.C. 552a. (6) Individuals identified by or initiating correspondence or inquiries processed or controlled by the Disclosure function or relating to the foregoing subjects.

Categories of records in the system:

Requests for records, information or testimony, responses to such requests, supporting documentation, processing records, copies of items provided or withheld, control records and related files. Department of Justice, and IRS replies to such requests. Copies of related authorizations to IRS officials permitting such disclosures and, in some instances, their responses. Copies of individuals' tax information, memoranda for file, notations of telephone calls, file search requests, etc.

Authority for maintenance of the system:

26 U.S.C. 7801 and 7802, 26 U.S.C. 6103, 5 U.S.C. 301, 552 and 552a.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

(1) Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice. (2) Disclosure may be made during judicial processes, and as necessary to report apparent violations of law to appropriate law enforcement agencies. (3) Disclosure of debtor information may be made to a Federal payor agency for purposes of salary and administrative offsets, to a consumer reporting agency to obtain commercial credit reports, and to a debt collection agency for debt collection services. (4) Disclosure may be made to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains. (5) Disclosure of returns and return information may be made only as provided by 26 U.S.C. 6103. (6) Disclosure to the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings.

Disclosure to consumer reporting agencies:

Disclosures pursuant to 5 U.S.C. 552a(b)(12): Disclosures may be made from this system to consumer reporting agencies as defined in the Fair Credit Reporting Act (15 U.S.C. 1681a(f)) or the Federal Claims Collection Act of 1966 (31 U.S.C. 3701(a)(3)).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in alphabetical or chronological order within subject categories and/or such automated or electronic record-keeping equipment as may be locally available. No centralized index exists. Accountings of disclosure of tax related records pursuant to 5 U.S.C. 552a(c) or 26 U.S.C. 6103(p)(3) are posted to the Individual Master File and retrievable by Social Security Number, or to the Business Master File and retrievable by Employer Identification Number.

Retrievability:

Records are generally retrievable by name of individual, although category of record and chronological period may be necessary to retrieve some records. The Social Security number is necessary to access accountings of disclosure posted to the Individual Master File. The Employer Identification Number is necessary for access to the Business Master File.

Safeguards:

Safeguards will be not less than provided for by the Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal:

In accordance with IRM 1(15)59, Records Disposition Handbook.

System manager(s) and address:

Official prescribing policies and practices—Director, Office of Disclosure. Officials maintaining the system—Director, Office of Disclosure, National Office; Regional Commissioners, District Directors, Service Center Directors, or other official receiving or servicing requests for records. (See IRS Appendix A.)

Notification procedure:

Requesters seeking to determine if accountable disclosures about them have been made should request an accounting of disclosure pursuant to 5 U.S.C. 552a(c) and 26 U.S.C. 6103(p)(3) of the District Director for the area in which they reside. Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the District Director for the area of residence or to the official believed to be maintaining the record of interest (See Appendix A). This system contains some records of law enforcement activities which may not be accessed for purposes of determining if the system contains a record pertaining to a particular individual.

Record access procedures:

This system of records may not be accessed for purposes of inspection or for contest of content of records.

Contesting record procedures:

26 U.S.C. 7852(e) prohibits Privacy Act amendment of tax records.

Record source categories:

Requests for disclosure, records being evaluated and processed for disclosure and related information from other systems of records. This system may contain investigatory material compiled for law enforcement purposes whose sources need not be reported.

Systems exempted from certain provisions of the act:

This system has been designated as exempt from certain provisions of the Privacy Act.

Treasury/IRS 48.008

System name:

Defunct Special Service Staff File Being Retained Because of Congressional Directive—Treasury/IRS.

System location:

National Office. (See IRS Appendix A.)

Categories of individuals covered by the system:

Individuals suspected of violating the Internal Revenue laws.

Categories of records in the system:

Internal Revenue Service Master File printouts; returns and field reports; information from other law enforcement government investigative agencies; Congressional Reports, and news media articles.

Authority for maintenance of the system:

U.S.C. 301, 26 U.S.C. 7801 and 7802.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

This file is no longer being used by the Internal Revenue Service. The Special Service Staff was abolished August 13, 1973. (1) Disclosure of information contained in this System of Records may be made to the Department of Justice in connection with actual or potential litigation. (2) Access to the system is limited to Congressional Committees and individuals making Freedom of Information requests pertaining to themselves. (3) Disclosure of returns and return information may be made only as provided by 26 U.S.C. 6103.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records maintained alphabetically by individual and organization contained in vault at IRS National Office.

Retrievability:

Alphabetically by name.

Safeguards:

Access controls are in conformance with provisions of the Physical and Document Security Handbook, IRM 1(16)41. No IRS official has access to these records except for retrieval purposes in connection with Congressional or Freedom of Information inquiries and litigation cases.

Retention and disposal:

Initially retained solely for congressional committees' inquiries, these records are currently being retained because of their possible historical significance under Archival statutes. Consideration of their historical significance is in abeyance pending resolution of the Archivist right to access tax information under the Internal Revenue code. Authority: IRM 1(15)59.

System manager(s) and address:

Director, Office of Disclosure, National Office. (See IRS Appendix A.)

Notification procedure:

Individuals seeking to determine if the system of records contains a record pertaining to themselves may address inquiries to the Director, Office of Disclosure, National Office. (See IRS Appendix A for location.)

Record access procedures:

Individuals seeking access to any System of Records may inquire in accordance with the instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the Director, Office of Disclosure, National Office. (See IRS Appendix A for location.) In addition, this System may contain some records provided by other agencies which are exempt from the access and contest provisions of the Privacy Act as published in the Notices of the Systems of Records for those agencies.

Contesting record procedures:

26 U.S.C. 7852(e) prohibits Privacy Act amendment of tax records.

Record source categories:

News media articles, taxpayers' returns and records, informant and third party information, other Federal agencies and examinations of related or other taxpayers.

Systems exempted from certain provisions of the act:

Information from another agency's exempt system of records duplicated in this system of records retains the exempt status.

Treasury/IRS 49.001

System name:

Collateral and Information Requests Treasury/IRS.

System location:

The central files for this system are maintained at the Office of the Assistant Commissioner (International), 950 L'Enfant Plaza SW., Fourth Floor, Washington, DC 20024. A corresponding system of records is separately maintained by the foreign posts located in: (1) Bonn, Germany; (2) Sydney, Australia; (3) Caracas, Venezuela; (4) Riyaoh, Saudi Arabia; (5) Nassau, Bahamas; (6) London, England; (7) Manila, Philippines; (8) Mexico City, Mexico; (9) Ottawa, Canada; (10) Paris, France; (11) Rome, Italy; (12) Sao Paulo, Brazil; (13) Singapore and (14) Tokyo, Japan. Inquiries concerning this system of records maintained by the foreign posts should be addressed to the Assistant Commissioner (International).

Categories of individuals covered by the system:

United States Citizens, Resident Aliens, Nonresident Aliens.

Categories of records in the system:

Records of interviewing witnesses regarding financial transactions of taxpayers; employment data; bank and brokerage house records; probate records; property valuations; public documents; payments of foreign taxes; inventories of assets; business books and records. These records relate to tax investigations conducted by the Internal Revenue Service where some aspects on an investigation must be pursued in foreign countries pursuant to the various tax treaties between the United States and foreign governments. The records also include individual case files of taxpayers on whom information (as is pertinent to carrying out the provisions of the convention or preventing fraud or fiscal evasion in relation to the taxes which are the subject of this convention) is exchanged with foreign tax officials of treaty countries.

Authority for maintenance of the system:

5 U.S.C. 301, 26 U.S.C. 7602, 26 U.S.C. 7801, 26 U.S.C. 7802.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Disclosure of returns and return information may be made only as provided by 26 U.S.C. 6103.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records.

Retrievability:

By taxpayer name.

Safeguards:

Access Controls will not be less than provided for by the Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal:

Dispose after 3 years. Auth: IRM 1(15)59.

System manager(s) and address:

Office of the Assistant Commissioner (International), 950 L'Enfant Plaza SW., Fourth Floor, Washington, DC 20024.

Notification procedure:

This system of records may not be accessed for purposes of determining if the system contains a record pertaining to a particular individual.

Record access procedures:

This system of records may not be accessed for purposes of inspection or for contest of content of records.

Contesting record procedures:

26 U.S.C. 7852(e) prohibits Privacy Act amendment of tax records.

Record source categories:

Records of examinations of taxpayers, interviews of witnesses, etc. where some aspects of an investigation must be pursued in foreign countries pursuant to various tax treaties between the United States and foreign governments.

Systems exempted from certain provisions of the act:

This system has been designated as exempt from certain provisions of the Privacy Act.

Treasury/IRS 49.002

System name:

Competent Authority and Index Card—Microfilm Retrieval System—Treasury/IRS.

System location:

Office of the Assistant Commissioner (International), 950 L'Enfant Plaza, SW., Fourth Floor, Washington, DC 20024.

Categories of individuals covered by the system:

U.S. citizens, resident aliens, nonresident aliens whose tax matters come under the jurisdiction of the U.S. competent authority in accordance with pertinent provisions of tax treaties with foreign countries.

Categories of records in the system:

Individual case files of taxpayers who request relief from double taxation or any other assistance that is pertinent to carrying out the provisions of income tax treaties.

Authority for maintenance of the system:

5 U.S.C. 301, 26 U.S.C. 7602, 26 U.S.C. 7801, 26 U.S.C. 7802, and applicable treaties.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Disclosure of returns and return information may be made only as provided by 26 U.S.C. 6103.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper and microfilm records.

Retrievability:

By taxpayer name.

Safeguards:

Access controls will not be less than provided for by the Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal:

May be disposed of after 10 years. Auth: IRM 1(15)59.

System manager(s) and address:

Office of the Assistant Commissioner (International), 950 L'Enfant Plaza, SW., Fourth Floor, Washington, DC 20024.

Notification procedure:

This system of records may not be accessed for purposes of determining if the system contains a record pertaining to a particular individual.

Record access procedures:

This system of records may not be accessed for purposes of inspection or for contest of content of the records.

Contesting record procedures:

26 U.S.C. 7852(e) prohibits Privacy Act amendment of tax records.

Record source categories:

Requests for relief from double taxation.

Systems exempted from certain provisions of the act:

This system has been designated as exempt from certain provisions of the Privacy Act.

Treasury/IRS 49.003

System name:

Financial Statements File—Treasury/IRS.

System location:

Office of the Assistant Commissioner (International), 950 L'Enfant Plaza, SW., Fourth Floor, Washington, DC 20024.

Categories of individuals covered by the system:

Taxpayers who submitted financial statements when interviewed overseas by Examination Branch employees.

Categories of records in the system:

Financial Statements.

Authority for maintenance of the system:

5 U.S.C. 301, 26 U.S.C. 7602, 26 U.S.C. 7801, 26 U.S.C. 7802.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Disclosure of returns and return information may be made only as provided by 26 U.S.C. 6103.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records.

Retrievability:

By taxpayer's name.

Safeguards:

Access Controls will not be less than provided for by the Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal:

Dispose after 2 years. Auth: IRM 1(15)59.

System manager(s) and address:

Office of the Assistant Commissioner (International), 950 L'Enfant Plaza, SW., Fourth Floor, Washington, DC 20024.

Notification procedure:

Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries may be addressed to the Assistant Commissioner (International), 950 L'Enfant Plaza, SW., Fourth Floor, Washington, DC 20024.

Record access procedures:

Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the Assistant Commissioner (International).

Contesting record procedures:

26 U.S.C. 7852(e) prohibits Privacy Act amendment of tax records.

Record source categories:

Overseas Examination Branch employees.

Systems exempted from certain provisions of the act:

None.

Treasury/IRS 49.007

System name:

Overseas Compliance Projects System—Treasury/IRS.

System location:

The central files for this system are maintained at the Office of the Assistant Commissioner (International), 950 L'Enfant Plaza, SW., Fourth Floor, Washington, DC 20024. A corresponding system of records is separately maintained by the foreign posts located in: (1) Bonn, Germany; (2) Sydney, Australia; (3) Caracas, Venezuela; (4) Riyadh, Saudi Arabia; (5) Nassau, Bahamas; (6) London, England; (7) Manila, Philippines; (8) Mexico City, Mexico; (9) Ottawa, Canada; (10) Paris, France; (11) Rome, Italy; (12) Sao Paulo, Brazil; (13) Singapore and (14) Tokyo, Japan. Inquiries concerning this system of records maintained by the foreign posts should be addressed to the Assistant Commissioner (International).

Categories of individuals covered by the system:

United States Citizens, Resident Aliens, Nonresident Aliens.

Categories of records in the system:

Documents and factual data relating to: (1) Personal expenditures or investments not commensurate with known income and assets; (2) receipt of significant unreported income; (3) improper deduction of significant capital or personal living expenses; (4) failure to file required returns or pay tax due; (5) omission of assets or improper deduction or exclusion of items from state and gift tax returns.

Authority for maintenance of the system:

5 U.S.C. 301, 26 U.S.C. 7602, 26 U.S.C. 7801, 26 U.S.C. 7802.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Disclosure of returns and return information may be made only as provided by 26 U.S.C. 6103.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records.

Retrievability:

By Taxpayer Name.

Safeguards:

Access Controls will not be less than provided for by the Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal:

Dispose after 3 years. Auth: IRM 1(15)59.

System manager(s) and address:

Office of the Assistant Commissioner (International), 950 L'Enfant Plaza, SW., Fourth Floor, Washington, DC 20024.

Notification procedure:

This system of records may not be accessed for purposes of determining if the system contains a record pertaining to a particular individual.

Record access procedures:

This system of records may not be accessed for purposes of inspection or for contest of content of records.

Contesting record procedures:

26 U.S.C. 7852(e) prohibits Privacy Act amendment of tax records.

Record source categories:

Documents and data relating to income and expense items concerning income, Estate and Gift tax returns.

Systems exempted from certain provisions of the act:

This system has been designated as exempt from certain provisions of the Privacy Act.

Treasury/IRS 49.008

System name:

Taxpayer Service Correspondence System—Treasury/IRS.

System location:

This system is separately maintained by each one of the 14 overseas posts of the Office of the Assistant Commissioner (International) located in: (1) Bonn, Germany, (2) Sydney, Australia; (3) Caracas, Venezuela; (4) Riyaoh, Saudi Arabia; (5) Nassau, Bahamas; (6) London, England; (7) Manila, Philippines; (8) Mexico City, Mexico; (9) Ottawa, Canada; (10) Paris, France; (11) Rome, Italy; (12) Sao Paulo, Brazil; (13) Singapore and (14) Tokyo, Japan. Inquiries concerning this system of records maintained by the foreign posts should be addressed to the Office of the Assistant Commissioner (International), 950 L'Enfant Plaza, SW., Fourth Floor, Washington, DC 20024.

Categories of individuals covered by the system:

United States Citizens, Resident Aliens, Nonresident Aliens.

Categories of records in the system:

Correspondence from taxpayers, foreign post personnel and the Office of the Assistant Commissioner (International) headquarters offices in Washington, DC.

Authority for maintenance of the system:

5 U.S.C. 301, 26 U.S.C. 7602, 26 U.S.C. 7801, 26 U.S.C. 7802.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Disclosure of returns and return information may be made only as provided by 26 U.S.C. 6103.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records.

Retrievability:

By taxpayer name.

Safeguards:

Access controls will not be less than provided for by the Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal:

Dispose after 2 years. Auth: IRM 1(15)59.

System manager(s) and address:

Office of the Assistant Commissioner (International), 950 L'Enfant Plaza, SW., Fourth Floor, Washington, DC 20024.

Notification procedure:

Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the Office of the Assistant Commissioner (International), 950 L'Enfant Plaza, SW., Fourth Floor, Washington, DC 20024.

Record access procedures:

Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the Office of the Assistant Commissioner (International).

Contesting record procedures:

26 U.S.C. 7852(e) prohibits Privacy Act amendment of tax records.

Record source categories:

Taxpayers and the Office of the Assistant Commissioner (International) foreign posts and headquarter's offices.

Systems exempted from certain provisions of the act: None.

Treasury/IRS 50.001

System name:

Employee Plans/Exempt Organizations, Correspondence Control Records (Form 5961)—Treasury/IRS.

System location:

National Office. (See IRS Appendix A.)

Categories of individuals covered by the system:

Requestors of letter rulings, and subjects of field office requests for technical advice and assistance and other correspondence.

Categories of records in the system:

Contains the name, date, nature and subject of an assignment, and work history. Sub-systems include case files that contain the correspondence, internal memoranda, and related material. They also include digests of issues involved in proposed revenue rulings.

Authority for maintenance of the system:

26 U.S.C. 7801, 7802, and 7805.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Disclosure of returns and return information may be made only as provided by 26 U.S.C. 6103 and 26 U.S.C. 6104 where applicable.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records, microfiche and magnetic media.

Retrievability:

Indexed by name.

Safeguards:

Security will not be less than provided by the Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal:

As specified in the Records Control Schedule 104 for Employee Plans/Exempt Organization—National Office, IRM 1(15)59.14.

System manager(s) and address:

Assistant Commissioner (Employee Plans/Exempt Organizations), 1111 Constitution Avenue, NW., Washington, DC 20224.

Notification procedure:

Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the System Manager.

Record access procedures:

Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the Assistant Commissioner (EP/EO), National Office.

Contesting record procedures:

26 U.S.C. 7852(e) prohibits Privacy Act amendment of tax records.

Record source categories:

Individuals requesting rulings or information and field offices requesting technical advice or assistance.

Systems exempted from certain provisions of the act:

None.

Treasury/IRS 50.003

System name:

Employee Plans/Exempt Organizations, Report of Significant Matters in Technical (M-5945)—Treasury/IRS.

System location:

National Office. (See IRS Appendix A.)

Categories of individuals covered by the system:

Individual subjects of letter ruling requests, technical advice requests etc., where a "Report of Significant Matter in Technical," has been prepared because of the presence of a matter significant to tax administration.

Categories of records in the system:

Copies of "Reports of Significant Matter in Technical."

Authority for maintenance of the system:

26 U.S.C. 7801, 7802, and 7805.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Disclosure of returns and return information may be made only as provided by 26 U.S.C. 6103 and 26 U.S.C. 6104 where applicable.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records.

Retrievability:

Indexed by name.

Safeguards:

Safeguards will not be less than provided bv the Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal:

As specified in the Records Control Schedule 104 for Employee Plans/Exempt Organizations—National Office, IRM 1(15)59.14.

System manager(s) and address:

Assistant Commissioner, (Employee Plans/Exempt Organizations), 1111 Constitution Avenue, NW., Washington, DC 20224.

Notification procedure:

Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the System Manager.

Record access procedures:

Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the Assistant Commissioner, (Employee Plans/Exempt Organizations), National Office.

Contesting record procedures:

26 U.S.C. 7852(e) prohibits Privacy Act amendment of tax records.

Record source categories:

Individual subjects of letter ruling requests, technical advice requests, etc., where a "Report of Significant Matter in EP/EO" has been prepared.

Systems exempted from certain provisions of the act:

None.

Treasury/IRS 60.001

System name:

Assault and Threat Investigation Files, Inspection—Treasury/IRS.

System location:

IRS National Office, Regional Inspectors' Offices, as well as offices of the District Directors.

Categories of individuals covered by the system:

Individuals attempting to interfere with the administration of Internal Revenue laws through threats, assaults or forcible interference of any officer or employee while discharging the official duties of his position, or individuals classified as potentially dangerous taxpayers, based on verifiable evidence or information that fit the following criteria: (1) Taxpayers who physically assault an employee; (2) taxpayers who have on hand a deadly or dangerous weapon when meeting with an employee and it is apparent their purpose is to intimidate the employee; (3) taxpayers who make specific threats to do bodily harm to an employee; (4) Taxpayers who use animals to threaten or intimidate an employee; (5) taxpayers who have committed the acts set forth in any of the above criteria (1) through (4), but whose acts have been directed against employees of other governmental agencies at Federal, state, county, or local levels; (6) taxpayers who are not classifiable as potentially dangerous through application of the above criteria (1) through (5), but who have demonstrated a clear propensity toward violence through acts of violent behavior to a serious and extreme degree within the five (5) year period immediately preceeding the time of classification as potentially dangerous; and (7) persons who are active members in tax protest groups that advocate violence against IRS employees.

Categories of records in the system:

(1) Document citing the complaint; (2) Documentary evidence (i.e., threatening letter); (3) Report of investigation, with possible statements, or affidavits as exhibits, and related tax information; (4) Report of legal action, if case is prosecuted; (5) Local police record of individual named in case; (6) FBI record of individual named in the case.

Authority for maintenance of the system:

5 U.S.C. 301; 26 U.S.C. 7608, 7801, 7802.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

(1) Disclosure of returns and return information may be made only as provided by 26 U.S.C. 6103. These records and information in these records may be used: (2) To disclose pertinent information to appropriate Federal, State, local, or foreign agencies responsible for investigating or prosecuting the violations of or for enforcing or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (3) To disclose information to a Federal, State, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit. (4) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (5) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains. (6) To provide information to the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings. (7) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records, in folders, maintained in file cabinets, or on magnetic media.

Retrievability:

By name of individual to whom it applies, cross-referenced third parties and/or by case number.

Safeguards:

Minimum requirements provided for by the Physical and Documents Security Handbook, IRM 1(16)41. Also, accessible to Inspection personnel on a need-to-know basis, all of whom have been the subject of background investigations.

Retention and disposal:

In accordance with Records Disposition Handbook, IRM 1(15)59.

System manager(s) and address:

Assistant Commissioner (Inspection). (See IRS Appendix A.)

Notification procedure:

This system of records may not be accessed for purposes of determining if the system contains a record pertaining to a particular individual.

Record access procedures:

This system is exempt and may not be accessed for purposes of notification and inspection or for contest of content of records.

Contesting record procedures:

26 U.S.C. 7852(e) prohibits Privacy Act amendment of tax records.

Record source categories:

This system of records contains investigatory material compiled for criminal law enforcement purposes whose sources need not be reported.

Systems exempted from certain provisions of the act:

This system has been designated as exempt from certain provisions of the Privacy Act.

Treasury/IRS 60.002

System name:

Bribery Investigation Files, Inspection—Treasury/IRS.

System location:

IRS National Office and Regional Inspectors' Offices. (See IRS Appendix A.)

Categories of individuals covered by the system:

Employees and/or former employees of the Treasury Department; taxpayers and non-IRS persons whose alleged criminal actions may affect the integrity of the Internal Revenue Service.

Categories of records in the system:

(1) Report of investigation including exhibits, affidavits, transcripts, and documentation concerning requests and approval for consensual telephone and consensual non-telephone monitoring; (2) Report of legal action concerning the results of prosecution; (3) Prior criminal record of subject.

Authority for maintenance of the system:

5 U.S.C. 301; 26 U.S.C. 7602, 7608, 7801, 7802; EO 11222.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

(1) Disclosure of returns and return information may be made only as provided by 26 U.S.C. 6103. These records and information in these records may be used: (2) To disclose pertinent information to appropriate Federal, State, local, or foreign agencies responsible for enforcing or investigating or prosecuting the violations of, or for implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (3) To disclose information to a Federal, State, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit. (4) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (5) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains. (6) To provide information to the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings. (7) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records, in folders, maintained in file cabinets, or on magnetic media.

Retrievability:

By name of individual to whom it applies, cross-referenced third parties, and/or by case number.

Safeguards:

Minimum requirements provided for by the Physical and Document Security Handbook, IRM 1(16)41. Also, accessible to Inspection personnel on a need-to-know basis, all of whom have been the subject of background investigations.

Retention and disposal:

In accordance with Records Disposition Handbook, IRM 1(15)59.

System manager(s) and address:

Assistant Commissioner (Inspection). (See IRS Appendix A.)

Notification procedure:

This system of records may not be accessed for purposes of determining if the system contains a record pertaining to a particular individual.

Record access procedures:

This system is exempt and may not be accessed for purposes of notification and inspection or for contest of content of records.

Contesting record procedures:

26 U.S.C. 7852(e) prohibits Privacy Act amendment of tax records.

Record source categories:

This system of records contains investigatory material compiled for criminal law enforcement purposes whose sources need not be reported.

Systems exempted from certain provisions of the act:

This system has been designated as exempt from certain provisions of the Privacy Act.

Treasury/IRS 60.003

System name:

Conduct Investigation Files, Inspection—Treasury/IRS.

System location:

IRS National Office and Regional Inspectors' Offices. (See IRS Appendix A).

Categories of individuals covered by the system:

Employees and former employees of Internal Revenue Service, and other Bureaus and Services within the Department of the Treasury.

Categories of records in the system:

(1) Document citing complaint of alleged misconduct or violation of statute; (2) Report of investigation to resolve allegation of misconduct or violation of statute, with related exhibits of statements, affidavits or records obtained during investigation; (3) Report of action taken by management personnel adjudicating any misconduct substantiated by the investigation; (4) Report of legal action resulting from violations of statutes referred for prosecution.

Authority for maintenance of the system:

5 U.S.C. 301; 26 U.S.C. 7602, 7608, 7801, 7802; EO 11222.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

(1) Disclosure of returns and return information may be made only as provided by 26 U.S.C. 6103. These records and information in these records may be used: (2) To disclose pertinent information to appropriate Federal, state, local, or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (3) To disclose information to a Federal, state, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit. (4) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (5) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains. (6) To provide information to the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings. (7) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation. (8) To Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice. Disclosure may be made during judicial processes.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records, in folders, maintained in file cabinets, and on magnetic media.

Retrievability:

By name of individual to whom it applies, cross-referenced third parties, and/or by case number.

Safeguards:

Minimum requirements provided for by the Physical and Document Security Handbook, IRM 1(16)41. Also, accessible to Inspection personnel on a need-to-know basis, all of whom have been the subject of background investigations.

Retention and disposal:

In accordance with Records Disposition Handbook, IRM 1(15)59.

System manager(s) and address:

Assistant Commissioner (Inspection). (See IRS Appendix A.)

Notification procedure: This system of records may not be accessed for purposes of determining if the system contains a record pertaining to a particular individual.

Record access procedures:

This system is exempt and may not be accessed for purposes of notification and inspection or for contest of content of records.

Contesting record procedures:

26 U.S.C. 7852(e) prohibits Privacy Act amendment of tax records.

Record source categories:

Department of Treasury personnel and records, Taxpayers (Complainants, Witnesses, Confidential Informants), Other Federal Agencies, State and local agencies, Tax Returns and related documents, Personal observations of the investigator, and subjects of the investigation.

Systems exempted from certain provisions of the act:

This system has been designated as exempt from certain provisions of the Privacy Act.

Treasury/IRS 60.004

System name:

Disclosure Investigation Files, Inspection—Treasury/IRS.

System location:

IRS National Office and Regional Inspectors' Offices. (See IRS Appendix A.)

Categories of individuals covered by the system:

(1) Internal Revenue Service employees and/or Government contract employees at IRS Facilities, who have allegedly disclosed confidential tax information; (2) Federal, State and local Government employees who have allegedly disclosed confidential Federal tax information; (3) Tax return preparers who have allegedly disclosed confidential Federal tax information.

Categories of records in the system:

(1) Document citing the complaint of the alleged criminal or administrative violation; (2) Investigative report, including statements, affidavits and any other pertinent documents supporting the investigative report, which will be attached as an exhibit; (3) Report of legal action if case is accepted by U.S. Attorney for prosecution; (4) Report of action by management personnel if case is referred for administrative adjudication.

Authority for maintenance of the system:

5 U.S.C. 301; 26 U.S.C. 7602, 7608, 7801, 7802; EO 11222.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

(1) Disclosure of returns and return information may be made only as provided by 26 U.S.C. 6103. These records and information in these records may be used: (2) To disclose pertinent information to appropriate Federal, State, local, or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (3) To disclose information to a Federal, State, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit. (4) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (5) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains. (6) To provide information to the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings. (7) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records, in folders, maintained in file cabinets, or on magnetic media.

Retrievability:

By name of individual to whom it applies, cross-referenced third parties, and/or by case number.

Safeguards:

Minimum requirements provided for by the Physical and Document Security Handbook, IRM 1(16)41. Also, accessible to Inspection personnel on a need-to-know basis, all of whom have been the subject of background investigations.

Retention and disposal:

In accordance with Records Disposition Handbook, IRM 1(15)59.

System manager(s) and address:

Assistant Commissioner (Inspection). (See IRS Appendix A.)

Notification procedure: This system of records may not be accessed for purposes of determining if the system contains a record pertaining to a particular individual.

Record access procedures:

This system of records is exempt and may not be accessed for purposes of notification and inspection or for contest of content of records.

Contesting record procedures:

26 U.S.C. 7852(e) prohibits Privacy Act amendment of tax records.

Record source categories:

This system of records contains investigatory material compiled for criminal law enforcement purposes whose sources need not be reported.

Systems exempted from certain provisions of the act:

This system has been designated as exempt from certain provisions of the Privacy Act.

Treasury/IRS 60.005

System name:

Enrollee Applicant Investigation Files; Inspection—Treasury/IRS.

System location:

IRS National Office and Regional Inspectors' Offices. (See IRS Appendix A.)

Categories of individuals covered by the system:

Former employees and non-IRS persons who apply for enrollment to practice before IRS under the provisions of Circular 230.

Categories of records in the system:

Investigative reports on non-IRS employees covering derogatory results of checks of: FBI files; Inspection files; local police; Examination, Criminal Investigation and Collection Division files; and verification of Federal tax filing status. Also, appropriate documents attached as exhibits showing results of above file checks.

Authority for maintenance of the system:

26 U.S.C. 7801, 7802.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

(1) Disclosure of returns and return information may be made only as provided by 26 U.S.C. 6103. These records and information in these records may be used: (2) To disclose pertinent information to appropriate Federal, state, local, or foreign agencies responsible for or investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (3) To disclose information to a Federal, State, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit. (4) To disclose information to a

court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (5) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains. (6) To provide information to the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings. (7) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records, in folders, maintained in file cabinets and on magnetic media.

Retrievability:

By name of individual to whom it applies, cross-referenced third parties, and/or by case number.

Safeguards:

Minimum requirements provided for by the Physical and Document Security Handbook, IRM 1(16)41. Also, accessible to Inspection personnel on a need-to-know basis, all of whom have been the subject of background investigations.

Retention and disposal:

In accordance with Records Disposition Handbook, IRM 1(15)59.

System manager(s) and address:

Assistant Commissioner (Inspection). (See IRS Appendix A.)

Notification procedure: Individuals seeking to determine if the system contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to Assistant Commissioner (Inspection) National Office.

Record access procedures:

Same as Notification section.

Contesting record procedures:

26 U.S.C. 7852(e) prohibits Privacy Act amendment of tax records.

Record source categories:

Internal Revenue Service, Federal Bureau of Investigation, local police departments.

Systems exempted from certain provisions of the act: None.

Treasury/IRS 60.006

System name:

Enrollee Charge Investigation Files, Inspection—Treasury/IRS.

System location:

IRS National Office and Regional Inspectors' Offices. (See IRS Appendix A.)

Categories of individuals covered by the system:

IRS employees or former employees, tax practitioners, attorneys, certified public accountants or enrolled persons.

Categories of records in the system:

A documented complaint or request for investigation alleging criminal or administrative misconduct affecting IRS integrity. A report of investigation, including exhibits such as affidavits, statements or documents which have been reviewed. A report of legal action resulting from violations of statutes referred for prosecution.

Authority for maintenance of the system:

26 U.S.C. 7801, 7802, 7608.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

(1) Disclosure of returns and return information may be made only as provided by 26 U.S.C. 6103. These records and information in these records may be used: (2) To disclose pertinent information to appropriate Federal, state, local, or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (3) To disclose information to a Federal, state, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit. (4) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (5) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains. (6) To provide information to the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings. (7) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records, in folders, maintained in file cabinets or on magnetic media.

Retrievability:

By name of individual to whom it applies, cross-referenced third parties, and/or by case number.

Safeguards:

Minimum requirements provided for by the Physical and Document Security Handbook, IRM 1(16)41. Also, accessible to Inspection personnel on a need-to-know basis, all of whom have been the subject of background investigations.

Retention and disposal:

In accordance with Records Disposition Handbook, IRM 1(15)59.

System manager(s) and address:

Assistant Commissioner (Inspection). (See IRS Appendix A.)

Notification procedure: This system of records may not be accessed for purposes of determining if the system contains a record pertaining to a particular individual.

Record access procedures:

This system is exempt and may not be accessed for purposes of notification and inspection or for contest of content of records.

Contesting record procedures:

26 U.S.C. 7852(e) prohibits Privacy Act amendment of tax records.

Record source categories:

Department of Treasury, personnel and records, other Federal agencies, taxpayers/complainants, state and local agencies, tax returns, newspapers, person acquainted with the individual under investigation, subjects of the investigation, and personal observations of the investigator.

Systems exempted from certain provisions of the act:

This system has been designated as exempt from certain provisions of the Privacy Act.

Treasury/IRS 60.007

System name:

Miscellaneous Information File, Inspection—Treasury/IRS.

System location:

IRS National Office and Regional Inspectors' Offices. (See IRS Appendix A.)

Categories of individuals covered by the system:

Employees and former employees of the Internal Revenue Service; Tax Practitioners (Attorneys, Certified Public Accountants, Enrolled Persons, Return Preparers); alleged tax violators; persons whose actions or alleged actions indicated a threat to IRS employees, facilities, or the integrity of the tax system; confidential informants; and reputed members of the organized criminal element.

Categories of records in the system:

(1) Complaint type information regarding IRS employees which is not, in itself, specific or significant enough to initiate an investigation when received. (2) Allegations of bribery and gratuities by taxpayers and/or their representatives which are not by themselves specific or significant enough to initiate an investigation when received. (3) Allegations of misconduct by tax practitioners, enrolled persons, or tax preparers which are not by themselves specific or significant enough to initiate an investigation when received. (4) Any information received or developed by Inspection that has a bearing on IRS, but is not of itself specific or significant enough to initiate an investigation when received. (5) Information received by Inspection pertaining to alleged violations enforced by other agencies or divisions of IRS, copies of which are referred to those respective agencies or

divisions. (6) Photographs and descriptive data of some IRS employees and of persons arrested by Inspection. (7) Information concerning lost or stolen Government documents, property, credentials, or IRS employee personal property lost or stolen on Government premises. (8) List of persons in state or local government agencies working under state agreements and having access to federal tax information. (9) Newspaper or periodical items about IRS. (10) Newspaper items regarding attorneys, CPA's, Tax Practitioners, or Return Preparers arrested, indicted, convicted or under investigation by other agencies. (11) Allegations of threats, assaults, forcible interference, or other violence type activity aimed at employees or facilities of IRS which are not by themselves specific or significant enough to initiate an investigation when received. Information regarding Inspection's mission which does not fall into any of the above categories.

Authority for maintenance of the system:

5 U.S.C. 301; 26 U.S.C. 7602, 7608, 7801, 7802; EO 11222.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

(1) Disclosure of returns and return information may be made only as provided by 26 U.S.C. 6103. These records and information in these records may be used: (2) To disclose pertinent information to appropriate Federal, state, local, or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (3) To disclose information to a Federal, state, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit. (4) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (5) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains. (6) To provide information to the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings. (7) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records, in folders, maintained in file cabinets, or on magnetic media.

Retrievability:

By name of individual, subject, or incident involved, by name of cross-referenced third parties, and/or information item number.

Safeguards:

Minimum requirements provided for by the Physical and Document Security Handbook, IRM 1(16)41. Also, accessible to Inspection personnel on a need-to-know basis, all of whom have been the subject of background investigations.

Retention and disposal:

In accordance with Records Disposition Handbook, IRM 1(15)59. Informant files are retained as long as informant remains active.

System manager(s) and address:

Assistant Commissioner (Inspection). (See IRS Appendix A.)

Notification procedure: This system of records may not be accessed for purposes of determining if the system contains a record pertaining to a particular individual.

Record access procedures: This system is exempt and may not be accessed for purposes of notification and inspection or for contest of content of records.

Contesting record procedures:

26 U.S.C. 7852(e) prohibits Privacy Act amendment of tax records.

Record source categories:

Department of Treasury personnel and records, newspapers and periodicals, taxpayers (complainants, witnesses, and informants), state and local government agency personnel and records, and anonymous complainants.

Systems exempted from certain provisions of the act:

This system has been designated as exempt from certain provisions of the Privacy Act.

Treasury/IRS 60.008

System name:

Security, Background and Character Investigations Files, Inspection—Treasury/IRS.

System location:

IRS National Office and Regional Inspectors' Offices. (See IRS Appendix A.)

Categories of individuals covered by the system:

Current, former and prospective employees of: Internal Revenue Service, Office of the Secretary of the Treasury, Office of the General Counsel, Office of the Treasurer of the United States, Office of the Comptroller of the Currency, Office of International Finance, Financial Management Service (formerly Bureau of Government Financial Operations), Bureau of Accounts, Bureau of Engraving and Printing, Bureau of the Mint, Bureau of the Public Debt, U.S. Savings Bonds Division, Federal Law Enforcement Training Center, and Private Contractors at IRS Facilities.

Categories of records in the system:

(1) Federal Employment Application Forms; (2) Results of National Agency Checks (prior reports and records from FBI Investigative Files, Fingerprint Files, Office of Personnel Management, Defense Central Index of Investigations, House Committee on Internal Security, and Coast Guard Intelligence); (3) Employees' Tax Account Histories; (4) Results of Employees' Tax Examinations; (5) Employees' Financial Statements; (6) A summary report, a narrative report, notes and/or written replies resulting from the investigator's inquiries into the subject's scholastic record, prior employment, military service, references, neighbors, acquaintances or other knowledgeable sources, police records and past credit record; (7) Report of action taken by management personnel adjudicating any derogatory information developed by the investigation; (8) Report of legal action resulting from violations of statutes referred for prosecution.

Authority for maintenance of the system:

5 U.S.C. 301; 26 U.S.C. 7602, 7608, 7801, 7802; EO 10450; EO 11222.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

(1) Disclosure of returns and return information may be made only as provided by 26 U.S.C. 6103. These records and information in these records may be used: (2) To disclose pertinent information to appropriate Federal, state, local, or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (3) To disclose information to a Federal, state, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit. (4) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (5) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains. (6) To provide information to the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings. (7) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records, in folders, maintained in file cabinets, or on magnetic media.

Retrievability:

By name of individual to whom it applies, cross-referenced third parties, and/or by case number.

Safeguards:

Minimum requirements provided for by the Physical and Document Security Handbook, IRM 1(16)41. Also, accessible to Inspection Personnel on a need-to-know basis, all of whom have been the subject of background investigations.

Retention and disposal:

In accordance with Records Disposition Handbook, IRM 1(15)59.

System manager(s) and address:

Assistant Commissioner (Inspection). (See IRS Appendix A.)

Notification procedure: Individuals seeking to determine if the system contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to Assistant Commissioner (Inspection), National Office.

Record access procedures:

Same as Notification Procedures.

Contesting record procedures:

26 U.S.C. 7852(e) prohibits Privacy Act amendment of tax records.

Record source categories:

Employment Application Forms submitted by subjects of investigation. Financial information from subjects. Federal, State and Local Government Agencies (Police, Court and Vital Statistics records). Credit Reporting Agencies. Neighbors (former and present). References. Former and present employers and co-workers. Other third party sources. Schools. Tax Returns and Examination Results. Information provided by the individual under investigation.

Systems exempted from certain provisions of the act:

This system has been designated as exempt from certain provisions of the Privacy Act.

Treasury/IRS 60.009

System name:

Special Inquiry Investigation Files, Inspection—Treasury/IRS.

System location:

IRS National Office and Regional Inspectors' Offices. (See IRS Appendix A.)

Categories of individuals covered by the system:

Employees or former employees of the Treasury Department and the Internal Revenue Service. Non-employees whose alleged criminal actions may affect the integrity of the Internal Revenue Service.

Categories of records in the system:

A documented complaint from some source alleging criminal or administrative misconduct affecting Internal Revenue Service integrity. Reports of integrity reviews and tests for deterrence and detection of fraud or corrupt practices and serious control weaknesses. A report of investigation to resolve the complaint, or the suspected problem detected by integrity reviews and tests including exhibits of IRS or public documents reviewed during the investigation.

Authority for maintenance of the system:

5 U.S.C. 301; 26 U.S.C. 7602, 7608, 7801, 7802; EO 11222.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

(1) Disclosure of returns and return information may be made only as provided by 26 U.S.C. 6103. These records and information in these records may be used: (2) To disclose pertinent information to appropriate Federal, state, local, or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (3) To disclose information to a Federal, state, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit. (4) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (5) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains. (6) To provide information to the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings. (7) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records, in folders, maintained in file cabinets, and on magnetic media.

Retrievability:

By name of individual to whom it applies, cross-referenced third parties, subject, or other identifier and/or by case number.

Safeguards:

Minimum requirements provided for by the Physical and Document Security Handbook, IRM 1(16)41. Also, accessible to Inspection personnel on a need-to-know basis, all of whom have been the subject of background investigations.

Retention and disposal:

In accordance with Records Disposition Handbook, IRM 1(15)59.

System manager(s) and address:

Assistant Commissioner (Inspection). (See IRS Appendix A.)

Notification procedure: This system of records may not be accessed for purposes of determining if the system contains a record pertaining to a particular individual.

Record access procedures:

This system is exempt and may not be accessed for purposes of notification and inspection or for contest of content of records.

Contesting record procedures:

26 U.S.C. 7852(e) prohibits Privacy Act amendment of tax records.

Record source categories:

Taxpayers (Complainants, Witnesses, Confidential Informants), Federal, State and Local Government Agencies' personnel and records (Police, court, property, etc.), Newspapers or periodicals, Department of the Treasury personnel and records, Financial institutions, and other private business records.

Systems exempted from certain provisions of the act:

This system has been designated as exempt from certain provisions of the Privacy Act.

Treasury/IRS 60.010

System name:

Tort Investigation Files, Inspection—Treasury/IRS.

System location:

IRS National Office and Regional Inspectors' Offices. (See IRS Appendix A.)

Categories of individuals covered by the system:

Employees of the Department of the Treasury and non-Federal persons involved in accidents on property under Department of the Treasury jurisdiction or with Department of the Treasury employees.

Categories of records in the system:

Report of investigation including exhibits such as SF-91, Operator's Report of Motor Vehicle Accident; SF-91A, Investigation Report of Motor Vehicle Accident; SF-92A, Report of Accident Other Than Motor Vehicle; SF-94, Statement of Witness; Optional Form 26, Data Bearing Upon Scope of Employment of Motor Vehicle Operator. In addition, attached as exhibits might be a Police Report of the accident; copies of insurance policies of the involved drivers; photographs of the scene or vehicles after the accident; Treasury Department vehicle maintenance record, medical records.

Authority for maintenance of the system:

5 U.S.C. 301; 26 U.S.C. 7602, 7608, 7801, 7802; EO 11222.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

(1) Disclosure of returns and return information may be made only as provided by 26 U.S.C. 6103. These records and information in these records may be used: (2) To disclose pertinent information to appropriate Federal, state, or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (3) To disclose information to a Federal, state, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit. (4) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law pro-

ceedings. (5) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains. (6) To provide information to the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings. (7) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records, in folders, maintained in file cabinets, or on magnetic media.

Retrievability:

By name of individual to whom it applies, cross-referenced third parties, and/or by case number.

Safeguards:

Minimum requirements provided for by the Physical and Document Security Handbook, IRM 1(16)41. Also, accessible to Inspection personnel on a need-to-know basis, all of whom have been the subject of background investigations.

Retention and disposal:

In accordance with Records Disposition Handbook, IRM 1(15)59.

System manager(s) and address:

Assistant Commissioner (Inspection). (See IRS Appendix A.)

Notification procedure: Individuals seeking to determine if their record is accessible may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to Assistant Commissioner (Inspection), National Office.

Record access procedures:

Same as Notification section above.

Contesting record procedures:

26 U.S.C. 7852(e) prohibits Privacy Act amendment of tax records.

Record source categories:

Department of Treasury personnel and records, Federal, State and local police agencies, Witnesses, Subjects involved in the investigation, Hospitals (medical records), Doctors (medical records and personal observations), Personal observations of the investigator, Automobile repair facilities, Insurance Companies, Attorneys, Federal, state and local driver license records, and Federal and State vehicle registration records.

Systems exempted from certain provisions of the act: None.

Treasury/IRS 70.001

System name:

Individual Income Tax Returns, Statistics of Income—Treasury/IRS.

System location:

Primary—Internal Revenue Service Data Center, Secondary—(a) Internal Revenue Service, Statistics Division, (b) Treasury Department, Office of Tax Analysis (c) Health and Human Services Department, Parklawn Computer Center, (d) Federal Records Centers, (e) Treasury Department, Automated Systems Division, (f) Congress of the United States, Joint Committee on taxation. (See IRS Appendix A.)

Categories of individuals covered by the system: Taxpayers selected for an annual statistical sample.

Categories of records in the system:

Sources of income, exemptions, deductions, income tax, and tax credits, as reported on Forms 1040, 1040A and 1040EZ U.S. Individual income tax return. The records are used to prepare and publish annual statistics, with respect to the operations of the tax laws and for special statistical studies and compilations. The statistics, studies, and compilations are designed so as to prevent disclosure of a particular taxpayer identity.

Authority for maintenance of the system:

26 U.S.C. 6108.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Disclosure of returns and return information may be made only as provided by 26 U.S.C. 6103.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records and magnetic media.

Retrievability:

Each magnetic tape record is identified by social security number and a unique Document Locator Number assigned by the Internal Revenue Service. Those with sole proprietorship income, in addition, contain employer identification number, if reported by the taxpayer.

Safeguards:

Access Controls will not be less than provided for by the Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal:

Input records disposed after publication of the statistics, except for input records for high income taxpayers for tax years prior to 1967 which are disposed after 40 years. Output records retained permanently. Auth: IRM 1(15)59.

System manager(s) and address:

Assistant Commissioner, Returns and Information Processing, National Office. (See IRS Appendix A.)

Notification procedure:

This system of records may not be accessed for purposes of determining if the system contains a record pertaining to a particular individual.

Record access procedures:

This system of records may not be accessed for purposes of inspection or for contest of content of records.

Contesting record procedures:

26 U.S.C. 7852(e) prohibits Privacy Act amendment of tax records.

Record source categories:

Primary Forms 1040, 1040A, and 1040EZ U.S. Individual Income Tax Returns. Secondary: Form SS-5, Application for a social security number.

Systems exempted from certain provisions of the act:

This system has been designated as exempt from certain provisions of the Privacy Act.

Treasury/IRS 90.001

System name:

Chief Counsel Criminal Tax Case Files—Treasury/IRS.

Note: Each Regional Counsel Office and District Counsel Office maintains one of these systems. The National Office maintains two of these systems. The information in this notice applies to all 61 systems.

System location:

The addresses of the National Office, each Regional Counsel Office and each District Counsel Office are listed in the Appendix. (See IRS Appendix A.)

Categories of individuals covered by the system:

(1) Taxpayers and related parties against whom tax-related criminal recommendations have been made. (2) Taxpayers and related parties on whom advice has been requested concerning investigation for tax-related offenses.

Categories of records in the system:

(1) Internal Control Records. (2) Legal and administrative files including investigative reports.

Authority for maintenance of the system:

5 U.S.C. 301 and 26 U.S.C. 7801.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Disclosure of returns and return information may be made only as provided by 26 U.S.C. 6103. These records and information in these records may be used: (1) To disclose information to the Department of Justice for the purpose of litigating an action or seeking legal advice. (2) To disclose pertinent information to appropriate Federal, State, local, or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (3) To disclose information to a Federal, State, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit. (4) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (5) To disclose information to foreign governments in accordance with formal or informal international agreements. (6) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains. (7) To provide information to the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings. (8) To provide information to unions recognized as exclusive bargaining representatives under the Civil Service Reform Act of 1978, 5 U.S.C. 7111 and 7114. (9) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records and magnetic media.

Retrievability:

Records are retrievable by the name of the person to whom they apply.

Safeguards:

Records are locked up during nonworking hours and during periods when the work area is vacant. Access is strictly controlled and limited to employees who have a need for such records in the course of their work. Background checks are made on employees. All facilities where records are stored have access limited to authorized personnel or individuals in the company of authorized personnel.

Retention and disposal:

Legal files are generally retired to the Federal Records Center (FRC) one year after they are closed. The FRC will retain "significant case" files an additional 19 years and dispose of them 20 years after they are closed. Other legal files are retained in the FRC 4 years after they are transferred to the FRC and disposed of 5 years after they are closed. Duplicate National Office legal files are retained in the Division 1 year after they are closed in the field. Files transferred from other Divisions are returned to the source when no longer needed.

System manager(s) and address:

Each Regional Counsel is the system manager of the systems in his or her Region. The Director of the Criminal Tax Division is the system manager of one National Office system. With respect to international issues, the system manager is the Associate Chief Counsel (Technical and International). The addresses are in the Appendix. (See IRS Appendix A.)

Notification procedure:

This system of records may not be accessed for purposes of determining if the records pertain to a particular individual as the records are exempt under 5 U.S.C. 552a(d)(5) and/or 552a(j)(2).

Record access procedures:

This system of records may not be accessed for the purposes of inspection or for contest of content of records as the records are exempt under 5 U.S.C. 552a(d)(5) and/or 552a(j)(2).

Contesting record procedures:

26 U.S.C. 7852(e) prohibits Privacy Act amendment of tax records.

Record source categories:

Taxpayers and their representatives; Department of Treasury personnel; other Federal agencies; State, local, and foreign governments; witnesses; informants; parties to disputed matters of fact or law; other persons who communicate with the Internal Revenue Service.

Systems exempted from certain provisions of the act:

This system has been designated as exempt from certain provisions of the Privacy Act.

Treasury/IRS 90.002

System name:

Chief Counsel Disclosure Litigation Division Case Files—Treasury/IRS.

System location:

Disclosure Litigation Division, Internal Revenue Service, Office of Chief Counsel, 1111 Constitution Avenue NW., Washington, DC 20224.

Categories of individuals covered by the system:

Persons who communicate with the Service regarding disclosure matters or who are involved with a disclosure issue involving the Service.

Categories of records in the system:

(1) Legal Case and Administrative Case Files; (2) Internal Control Records.

Authority for maintenance of the system:

5 U.S.C. 301 and 26 U.S.C. 7801.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Disclosure of returns and return information may be made only as provided by 26 U.S.C. 6103. These records and information in these records may be used: (1) To disclose information to the Department of Justice for the purpose of litigating an action or seeking legal advice. (2) To disclose pertinent information to appropriate Federal, State, local, or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (3) To disclose information to a Federal, State, or local agency maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit. (4) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (5) To disclose information to foreign governments in accordance with formal or informal international agreements. (6) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains. (7) To provide information to the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings. (8) To provide information to unions recognized as exclusive bargaining representatives under the Civil Service Reform Act of 1978, 5 U.S.C. 7111 and 7114. (9) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records and magnetic media.

Retrievability:

Records are retrievable by the name of the person to whom they apply, cross-referenced third parties, issues, and by case number.

Safeguards:

A background investigation is made on personnel. Division offices are located in a security area. Access to keys to these offices is restricted. All facilities where records are stored have access limited to authorized personnel or individuals in the company of authorized personnel.

Retention and disposal:

Legal files are generally retired to the Federal Records Center (FRC) 1 year after they are closed. The FRC will retain "significant case" files an additional 29 years and dispose of them 30 years after they are closed. Other legal files are retained in the FRC 5 years after they are transferred to the FRC and disposed of 6 years after they are closed. Other records are retained in the Division for the same time periods as described above.

System manager(s) and address:

Director, Disclosure Litigation Division, Internal Revenue Service, Office of Chief Counsel, 1111 Constitution Avenue NW., Washington, DC 20224.

Notification procedure:

This system may not be accessed for purposes of determining if the records pertain to a particular individual as the records are exempt under 5 U.S.C. 552a (d)(5) and/or (k)(2).

Record access procedures:

This system may not be accessed for purpose of inspection or for contest of content of records as the records are exempt under 5 U.S.C. 552a (d)(5) and/or (k)(2).

Contesting record procedures:

26 U.S.C. 7852(e) prohibits Privacy Act amendment of tax records.

Record source categories:

Persons who communicate with the agency regarding disclosure matters; Department of Treasury employees; State, local, and foreign governments; other Federal agencies; witnesses; informants; parties to disputed matters of fact or law.

Systems exempted from certain provisions of the act:

This system has been designated as exempt from certain provisions of the Privacy Act.

Treasury/IRS 90.003

System name:

Chief Counsel General Administrative Systems—Treasury/IRS.

Note: Each of the 7 Regional Counsel Offices and 52 District Counsel Offices, each of the 9 Divisions in the National Office, the Office of the Chief Counsel, and the Office of the Deputy Chief Counsels (Policy and Legal Programs) and (Management and Operations), Associate Chief Counsels (Litigation, International and Technical), Deputy Associate Chief Counsel (Technical) and Deputy Associate Chief Counsel (International), maintain a General Administrative System. This notice applies to all 75 of these systems.

System location:

The location of these systems are listed in the Appendix. (See IRS Appendix A.)

Categories of individuals covered by the system:

(1) Past, present and prospective employees of the Chief Counsel's Office. (2) Tax Court Witnesses.

Categories of records in the system:

(1) Employee records other than Official Personnel Files of the Office of Personnel Management and the Merit Systems Protection Board. (2) Time and attendance rosters. (3) Financial records such as travel expenses, Notary Public expenses, moving expenses, expenses of Tax Court witnesses and miscellaneous expenses. (4) Employee recruiting records.

Authority for maintenance of the system:

5 U.S.C. 301 and 26 U.S.C. 7801.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Disclosure of returns and return information may be made only as provided by 26 U.S.C. 6103. These records and information in these records may be used : (1) To disclose information to the Department of Justice for the purpose of litigating an action or seeking legal advice. (2) To disclose information to the Office of Personnel Management and the Merit Systems Protection Board for appropriate Personnel actions. (3) To disclose pertinent information to appropriate Federal, State, local, or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (4) To disclose information to a Federal, State, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit. (5) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (6) To disclose information to foreign governments in accordance with formal or informal international agreements. (7) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains. (8) To provide information to the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings. (9) To provide information to unions recognized as exclusive bargaining representatives under the Civil Service Reform Act of 1978, 5 U.S.C. 7111 and 7114. (10) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records and magnetic media.

Retrievability:

Records are generally retrievable by the name of the person to whom they apply.

Safeguards:

Access is limited to employees who have a need for such records in the course of their work. Background checks are made on employees. All facilities where records are stored have access limited to authorized personnel or individuals in the company of authorized personnel.

Retention and disposal:

Records are updated periodically to reflect changes and maintained as long as needed. Auth: IRM 1(15)59.

System manager(s) and address:

Each Regional Counsel is the system manager of the systems in his or her Region. Each Division Director is the system manager of the system in his or her Division. The Chief Counsel, the Deputy Chief Counsels (Policy and Legal Programs) and (Management and Operations), the Associate Chief Counsels (Litigation) (Technical) and (International) and the Deputy Associate Chief Counsels (Technical) and (International) are the system managers of the system in each of their Offices. (See IRS Appendix A.)

Notification procedure:

Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the Regional Counsel of the Region in which the records are located or the Director of the Disclosure Litigation Division in the case of records in the National Office. The addresses are listed in the Appendix. (See IRS Appendix A.)

Record access procedures:

Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the Regional Counsel of the Region in which the records are located or the Director of the Disclosure Litigation Division in the case of records in the National Office. The addresses are listed in the Appendix. Information leading to the identity of a confidential source is exempt pursuant to 5 U.S.C. 552a(k)(5).

Contesting record procedures:

See Access above.

Record source categories:

Employees, Department of Treasury personnel; Tax Court witnesses; Office of Personnel Management and Merit Systems Protection Board; other Federal agencies; State, local, and foreign governments; references; former employers.

Systems exempted from certain provisions of the act:

This system has been designated as exempt from certain provisions of the Privacy Act.

Treasury/IRS 90.004

System name:

Chief Counsel General Legal Services Case Files, Treasury/IRS.

Note: Each of the seven Regional Counsel Offices and the National Office maintain a General Legal Services Case File System. The information in this notice applies to all eight of the systems

System location:

The addresses of the National Office and each Regional Counsel Office are listed in the Appendix. (See IRS Appendix A.)

Categories of individuals covered by the system:

Persons involved in litigation, actions, investigations or cases falling within the jurisdiction of the General Legal Services function including persons (1) who have caused service of subpoenas, summonses, or other judicial processes directed to an officer or employee of the Treasury Department in his official capacity; (2) who are parties in personnel matters, as well as discrimination and labor management relations matters, of the Internal Revenue Service, Chief Counsel's Office or, in some instances, other agencies in the Treasury Department; (3) who are parties in practitioner actions under the jurisdiction of the Director of Practice or the Joint Board of Actuaries; (4) who are parties in procurement matters and under the Federal Claims Collection Act; (5) who are parties in litigation or administrative claims involving alleged violations of the United States Constitution, the Federal Tort Claims Act, the Military Personnel and Civilian Employee Compensation Act, relief of accountable officers for loss of Government funds, rewards, acts of officers or employees acting within the scope of their employment, or official acts of officers or employees not directly relating to Federal tax issues but relating to the Internal Revenue Service; (6) who are parties in miscellaneous matters referred to the General Legal Service Division; (7) who are the subjects of investigations made by the Internal Security Division if the case is referred to the General Legal Services Division; (8) who have filed petitions for the remission or mitigation of forfeitures or who are otherwise directly involved as parties in forfeiture matters, judicial or administrative; (9) who are officials of the Internal Revenue Service and Chief Counsel's Office required to file a Financial Disclosure Statement under the Ethics in Government Act of 1978; (10) who have corresponded regarding a matter under consideration within the General Legal Services Division.

Categories of records in the system:

(1) Legal case and administrative case files. (2) Internal control cards. (3) Correspondence files.

Authority for maintenance of the system:

5 U.S.C. 301 and 26 U.S.C. 7801.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in these records may be used: (1) To disclose information to the Department of Justice for the purposes of litigating an action or seeking legal advice. (2) To disclose pertinent information to appropriate Federal, State, local, or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing, or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (3) To disclose information to a Federal, State, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit. (4) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (5) To disclose information to foreign governments in accordance with formal or informal international agreements. (6) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains. (7) To provide information to the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings. (8) To provide information to unions recognized as exclusive bargaining representatives under the Civil Service Reform Act of 1978, 5 U.S.C. 7111 and 7114. (9) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation. (10) To provide information to the Director of Practice and Joint Board of Actuaries in practitioner disciplinary matters. (11) To provide information to the Office of Personnel Management in personnel, discrimination and labor management matters. (12) To provide information to arbitrators, the Federal Labor Relations Authority, including the Office of the General Counsel of that authority, the Federal Service Impasses Board and the Federal Mediation and Conciliation Service in labor management matters. (13) To provide information to the Merit Systems Protection Board in Personnel, Discrimination, and Labor Management matters. (14) To provide information to the Equal Employment Opportunity Commission in Personnel, Discrimination, and Labor Management matters. (15) To provide information to the Special Counsel of the Merit Systems Protection Board in Personnel, Discrimination, and Labor Management matters. (16) To provide information to the General Services Administration in property management matters. (17) To provide information to Federal, foreign, and state government agencies to the extent necessary to obtain records in their possession. (18) To provide information to the Administrative Assistant of the Executive Resources Board as to Financial Disclosure Statements, who makes the statements available to the public as required by law. (19) To provide information to other federal agencies for the purpose of effectuating inter-agency salary offset or inter-agency administrative offset. (20) Disclosure of returns and return information may be made only as provided by 26 U.S.C. 6103. (21) To provide information to the Office of Government Ethics in conflict of interest, conduct, financial statement reporting, and other ethical matters.

Disclosure to consumer reporting agencies:

Disclosures pursuant to 5 U.S.C. 552a(b)(12). Disclosures of debt information concerning a claim against an individual may be made from this system to consumer reporting agencies as defined in the Fair Credit Reporting Act, 15 U.S.C. 1681a(f) or the Federal Claims Collection Act of 1966, 31 U.S.C. 3701(a)(3).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records and magnetic media.

Retrievability:

Records are retrievable by the name of the person to whom they apply. If more than one person is involved in a given case then it is generally retrievable only by the first named person.

Safeguards:

Access is limited to employees who have a need for such records in the course of their work. Background checks are made on employees. All facilities where records are stored have access limited to authorized personnel or individuals in the company of authorized personnel.

Retention and disposal:

Legal files are generally retired to the Federal Records Center (FRC) 1 year after the cases are closed. The FRC will retain "significant case" files an additional 19 years and dispose of them 20 years after they are closed. Other legal files are retained in the FRC 4 years after they are transferred to the center and disposed of 5 years after they are closed. Other records are retained in the Division for the same time periods described above.

System manager(s) and address:

Each Regional Counsel is the system manager of the system in his or her Region. The Director of the General Legal Services Division is the system manager of the National Office system. The addresses are in the Appendix. (See IRS Appendix A.)

Notification procedure:

This system of records may not be accessed for purposes of determining if the system contains a record pertaining to a particular individual as the records are exempt under 5 U.S.C. 552a(d)(5) and/or (k)(2).

Record access procedures:

This system of records may not be accessed for purposes of inspection or for contest of content of records as the records are exempt under 5 U.S.C. 552a (d)(5) and/or (k)(2).

Contesting record procedures:

26 U.S.C. 7852(e) prohibits Privacy Act amendment of tax records.

Record source categories:

Taxpayers and their representatives; Department of Treasury personnel; other Federal agencies; State, local, and foreign governments; witnesses; informants; parties to disputed matters of fact or law; other persons who communicate with the Internal Revenue Service.

Systems exempted from certain provisions of the act:

This system has been designated as exempt from certain provisions of the Privacy Act.

Treasury/IRS 90.005

System name:

Chief Counsel General Litigation Case Files—Treasury/IRS.

Note: Each Regional Counsel Office and each District Counsel Office maintains one of these systems. The National Office maintains two of these systems. The information in this notice applies to all 61 systems.

System location:

The addresses of the National Office, each Regional Counsel Office and each District Counsel Office are listed in the Appendix. (See IRS Appendix A.)

Categories of individuals covered by the system:

(1) Taxpayers or other individuals involved in matters referred to the General Litigation function including: (a) Taxpayers with outstanding tax liabilities or with potential outstanding tax liabilities; (b) persons from whom information is being sought (summons); (c) persons requesting information (disclosure); (d) present or former Internal Revenue Service employees who are being or may be sued in connection with their duties or who have been called upon to testify in private litigation; (e) persons who are or may be liable to the United States on non-tax claims; (f) persons who have submitted offers in compromise of federal taxes. (2) Persons who have corresponded regarding a matter under consideration within the General Litigation function.

Categories of records in the system:

(1) Legal and Administrative Files. (2) Internal Control Records. (3) Offer in Compromise Files. (4) Correspondence Files.

Authority for maintenance of the system:

5 U.S.C. 301 and 26 U.S.C. 7801.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Disclosure of returns and return information may be made only as provided by 26 U.S.C. 6103. These records and information in these records may be used: (1) To provide information to other Federal agencies holding funds of taxpayer for the purpose of collecting a liability owed by the taxpayer. (2) To disclose information to the Department of Justice for the purpose of litigating an action or seeking legal advice. (3) To provide information to State and local taxing authorities for the purpose of enforcing Federal tax laws.(4) To provide information to Federal, state and local regulatory authorities for purposes of collection of Federal taxes. (5) To disclose pertinent information to appropriate Federal, State, local, or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing, or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (6) To disclose information to a Federal, State, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit. (7) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (8) To disclose information to foreign governments in accordance with formal or informal international agreements. (9) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains. (10) To provide information to the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings. (11) To provide information to unions recognized as exclusive bargaining representatives under the Civil Service Reform Act of 1978, 5 U.S.C. 7111 and 7114. (12) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records and magnetic media.

Retrievability:

Records are retrievable by the name of the person to whom they apply.

Safeguards:

Access is limited to employees who have a need for such records in the course of their work. Background checks are made on employees. All facilities where records are stored have access limited to authorized personnel or individuals in the company of authorized personnel.

Retention and disposal:

National Office, Regional, and District counsel legal files are generally retired to the Federal Records Center (FRC) 1 year after they are closed. The FRC will retain "significant case" files an additional 24 years and dispose of them 25 years after the cases are closed. Other legal files are retained in the FRC 9 years after they are transferred to the Center and disposed of 10 years after they are closed. Other records are retained in the Division for the same time periods described above. Files transferred from other divisions are returned to the source when no longer needed.

System manager(s) and address:

Each Regional Counsel is the system manager of the systems in his or her Region. The Director of the General Litigation Division is the system manager of one National Office system. With respect to international issues, the system manager is the Associate Chief Counsel (Technical and International). The addresses are in the Appendix. (See IRS Appendix A.)

Notification procedure:

Most of the records in this system may not be accessed for purposes of determining if the records pertain to a particular individual as the records are exempt under 5 U.S.C. 552a (d)(5) and/or (k)(2).

Record access procedures:

This system may not be accessed for purposes of inspection or for contest of content of records as the records are exempt under 5 U.S.C. 552a (d)(5) and/or (k)(2).

Contesting record procedures:

26 U.S.C. 7852(e) prohibits Privacy Act amendment of tax records.

Record source categories:

Taxpayers and their representatives; Department of Treasury personnel; other Federal agencies; State, local, and foreign governments; witnesses; informants; parties to disputed matters of fact or law; other persons who communicate with the Internal Revenue Service.

Systems exempted from certain provisions of the act:

This system has been designated as exempt from certain provisions of the Privacy Act.

Treasury/IRS 90.006

System name:

Chief Counsel Interpretative Division and Employee Plans and Exempt Organization Division, and Associate Chief Counsel (Technical and International) Case Files—Treasury/IRS.

System location:

Interpretative Division, Internal Revenue Service, Office of Chief Counsel, 1111 Constitution Avenue NW., Washington, DC 20224; Employee Plans and Exempt Organizations Division, and Associate Chief Counsel (Technical and International), same address.

Categories of individuals covered by the system:

Taxpayers concerning whom legal issues have been referred to the Interpretative Division or the Employee Plans and Exempt Organizations Division for opinion.

Categories of records in the system:

(1) Legal Case Files and Advisory Legal Opinions; (2) General Counsel Memorandums; (3) Office Memorandums; (4) Internal Control Records.

Authority for maintenance of the system:

5 U.S.C. 301 and 26 U.S.C. 7801.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Disclosure of returns and return information may be made only as provided by 26 U.S.C. 6103. These records and information in these records may be used: (1) To disclose information to the Department of Justice for the purpose of litigating an action or seeking legal advice. (2) To disclose pertinent information to appropriate Federal, State, local, or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing, or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (3) To disclose information to a Federal, State, or local agency, maintaining civil, criminal, or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit. (4) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (5) To disclose information to foreign governments in accordance with formal or informal international agreements. (6) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains. (7) To provide information to the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings. (8) To provide information to unions recognized as exclusive bargaining representatives under the Civil Service Reform Act of 1978, 5 U.S.C. 7111 and 7114. (9) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation. (10) To provide information to the Social Security Administration to consult about a matter involving legal issues concerning the imposition of Social Security taxes. (11) To provide information to the Department of Labor or the Pension Benefit Guaranty Corporation concerning the Employee Retirement Income Security Act.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records and magnetic media.

Retrievability:

Records are retrievable by case name or title assigned to the project (which sometimes, but not always, corresponds with the name of the individual taxpayer).

Safeguards:

Access is limited to employees who have a need for such records in the course of their work. Background checks are made on employees. All facilities where records are stored have access limited to authorized personnel or individuals in the company of authorized personnel.

Retention and disposal:

General Counsel Memorandums, Office Memorandums, and legal case files are retained indefinitely in the National Office. Internal Control Records are generally disposed of when no longer useful.

System manager(s) and address:

Director, Interpretative Division, Internal Revenue Service, Office of the Chief Counsel, 1111 Constitution Avenue NW., Washington, DC 20224; Director, Employee Plans and Exempt Organizations Division, same address. With respect to international issues, the Associate Chief Counsel (Technical and International) is the system manager.

Notification procedure:

Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Disclosure Litigation Division. The address is listed in the Appendix. (See IRS Appendix A.)

Record access procedures:

Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Disclosure Litigation Division. The address is listed in the Appendix (See IRS Appendix A.)

Contesting record procedures:

26 U.S.C. 7852(e) prohibits Privacy Act amendment of tax records.

Record source categories:

Taxpayers and their representatives, Department of Treasury personnel, other Federal agencies, State, local, and foreign governments, other persons who communicate with the Internal Revenue Service.

Systems exempted from certain provisions of the act:

None.

Treasury/IRS 90.007

System name:

Chief Counsel Legislation and Regulations Division, Employee Plans and Exempt Organizations Division, and Associate Chief Counsel (Technical and International) Correspondence and Private Bill Files—Treasury/IRS.

System location:

Legislation and Regulations Division, Internal Revenue Service, Office of Chief Counsel, 1111 Constitution Avenue NW., Washington, DC 20224; Employee Plans and Exempt Organizations Division and Associate Chief Counsel (Technical and International), same address.

Categories of individuals covered by the system:

(1) Persons who have corresponded to the Service, the Department of the Treasury, the White House or Members of Congress regarding a matter in which the Legislation and Regulations Division or the Employee Plans and Exempt Organizations Division was asked to draft a reply. (2) Persons on whose behalf private relief bills were introduced in Congress involving tax related matters.

Categories of records in the system:

(1) Correspondence Files; (2) Private Relief Bill Legal Files; (3) Internal Control Records.

Authority for maintenance of the system:

5 U.S.C. 301 and 26 U.S.C. 7801.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Disclosure of returns and return information may be made only as provided by 26 U.S.C. 6103. These records and information in these records may be used: (1) To disclose information to the Department of Justice for the purpose of litigating an action or seeking legal advice. (2) To disclose pertinent information to appropriate Federal, State, local, or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing, or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (3) To disclose information to a Federal, State, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit. (4) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (5) To disclose information to foreign governments in accordance with formal or informal international agreements. (6) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains. (7) To provide information to the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings. (8) To provide information to unions recognized as exclusive bargaining representatives under the Civil Service Reform Act of 1978, 5 U.S.C. 7111 and 7114. (9) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation. (10) To provide information to the agency or individual who directed correspondence to the Legislation and Regulations Division for the Division to draft a response.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records and magnetic media.

Retrievability:

Correspondence files are retrievable by the name of the individual who initiated the correspondence. Private Relief Bill files are retrievable by the H.R. or S. number for each Congress.

Safeguards:

Access is limited to employees who have a need for such records in the course of their work. Background checks are made on employees. All facilities where records are stored have access limited to authorized personnel or individuals in the company of authorized personnel.

Retention and disposal:

Correspondence files are generally disposed of after 3 years. Private Relief Bill files are periodically updated to reflect changes and are maintained as long as needed. Internal control records are generally disposed of after 2 years or when no longer useful. Auth: IRM 1(15)59.

System manager(s) and address:

Director, Legislation and Regulations Division, Internal Revenue Service, Office of Chief Counsel, 1111 Constitution Avenue, Washington, DC 20224; Director, Employee Plans and Exempt Organization Division, same address. With respect to international issues, the Associate Chief Counsel (Technical and International) is the system manager.

Notification procedure:

Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Disclosure Litigation Division. The address is listed in the Appendix. (See IRS Appendix A.)

Record access procedures:

Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Disclosure Litigation Division. The address is listed in the Appendix. (See IRS Appendix A.)

Contesting record procedures:

See Access above.

Record source categories:

Persons who initiate correspondence referred to the Legislation and Regulations Division; Congressional documents; taxpayers and their representatives; Department of Treasury personnel; other Federal agencies; state, local, and foreign governments; witnesses; informants.

Systems exempted from certain provisions of the act: None.

Treasury/IRS 90.009

System name:

Chief Counsel Tax Litigation Case Files—Treasury/IRS.

Note: Each Regional Counsel Office and each District Counsel Office maintains one of these systems. The National Office maintains two of these systems. The information in this notice applies to all 61 systems.

System location:

The addresses of the National Office, each Regional Counsel Office, and each District Counsel Office is listed in the Appendix. (See IRS Appendix A.)

Categories of individuals covered by the system:

(1) Taxpayers who have filed petitions with the Tax Court or suits for refunds of Federal taxes. (2) Taxpayers upon whom the issuance of a statutory notice is or was contemplated whose case has been referred to the Tax Litigation function. (3) Taxpayers who are the subject of formal or informal advisory opinions during the investigative stage of the case or while under administrative processing. (4) Persons who have corresponded regarding a matter under consideration within the Tax Litigation function.

Categories of records in the system:

(1) Legal Case and Administrative Case Files. (2) Internal Control Records. (3) Correspondence Files.

Authority for maintenance of the system:

5 U.S.C. 301 and 26 U.S.C. 7801.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in these records may be used: (1) To disclose information to the Department of Justice for the purpose of litigating an action or seeking legal advice. (2) To disclose pertinent information to appropriate Federal, state, local, or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing, or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (3) To disclose information to a Federal, state, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit. (4) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (5) To disclose information to foreign governments in accordance with formal or informal international agreements. (6) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains. (7) To provide information to the news media in accordance with guidelines contained in 28 CFR 50.2, which relate to an agency's functions relating to civil and criminal proceedings. (8) To provide information to unions recognized as exclusive bargaining representatives under the Civil Service Reform Act of 1978, 5 U.S.C. 7111 and 7114. (9) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation. (10) Disclosure of returns and return information may be made only as provided by 26 U.S.C. 6103.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records and magnetic media.

Retrievability: Records are retrievable by the name of the person to whom they apply.

Safeguards:

Access is limited to employees who have a need for such records in the course of their work. Background checks are made on employees. All facilities where records are stored have access limited to authorized personnel or individuals in the company of authorized personnel.

Retention and disposal:

Legal files are generally retired to the Federal Records Center (FRC) one year after they are closed. The FRC will retain "significant case" files an additional 29 years and dispose of them 30 years after they are closed. Other legal files are retained in the FRC 9 years after they are transferred to the Center and disposed of 10 years after they are closed. Other records are periodically updated to reflect changes and maintained as long as needed. Files transferred from other divisions are returned to the source when no longer needed.

System manager(s) and address:

Each Regional Counsel is the system manager of the systems in his or her Region. The Director of the Tax Litigation Division is the system manager of one National Office system. With respect to international issues, the Associate Chief Counsel (Technical and International) is the system manager. The addresses are in the Appendix. (See IRS Appendix A.)

Notification procedure:

This system may not be accessed for purposes of determining if the records pertain to a particular individual as the records are exempt under 5 U.S.C. 552a (d)(5) and/or (k)(2).

Record access procedures:

This system may not be accessed for purposes of inspection or for contest of content of records as the records are exempt under 5 U.S.C. 552a (d)(5) and/or (k)(2).

Contesting record procedures:

26 U.S.C. 7852(e) prohibits Privacy Act amendment of tax records.

Record source categories:

Taxpayers and their representatives; Department of Treasury personnel; other Federal Agencies; State, local, and foreign governments; witnesses; informants; parties to disputed matters of fact or law; other persons who communicate with the Internal Revenue Service.

Systems exempted from certain provisions of the act:

This system has been designated as exempt from certain provisions of the Privacy Act.

Treasury/IRS 90.010

System name:

Digest Room Files Containing Briefs, Legal Opinions, and Digests of Documents Generated Internally or by the Department of Justice Relating to the Administration of the Revenue Laws—Treasury/IRS.

System location:

Operations Division, Internal Revenue Service, Office of Chief Counsel, 1111 Constitution Avenue, NW., Washington, DC 20224.

Categories of individuals covered by the system:

Taxpayers who have sought Internal Revenue Service rulings and/or legal opinions on tax problems and those whose cases are being or have been adjudicated.

Categories of records in the system:

(1) Internal Control Records; (2) Briefs; (3) Legal Opinions.

Authority for maintenance of the system:

5 U.S.C. 301 and 26 U.S.C. 7801.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in these records may be used: (1) To disclose information to the Justice Department personnel for research purposes. (2) To disclose pertinent information to appropriate Federal, State, local, or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing, or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (3) To disclose information to a Federal, State, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit. (4) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (5) To disclose information to foreign governments in accordance with formal or informal international agreements. (6) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains. (7) To provide information to the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings. (8) To provide information to unions recognized as exclusive bargaining representatives under the Civil Service Reform Act of 1978, 5 U.S.C. 7111 and 7114. (9) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation. (10) Disclosure of returns and return information may be made only as provided by 26 U.S.C. 6103.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records and magnetic media.

Retrievability:

Records are retrievable by the name of the person to whom they apply.

Safeguards:

Records are kept in a secured area. Access is limited to authorized personnel. Users of the system must show IRS identification and sign a register each time the room is used. Background checks are made on employees.

Retention and disposal:

Briefs, legal opinions, and digests are retained indefinitely.

System manager(s) and address:

Director, Operations Division, Internal Revenue Service, Office of Chief Counsel, 1111 Constitution Avenue, Washington, DC 20224.

Notification procedure:

This system may not be accessed for purposes of determining if the records pertain to a particular individual as the records are exempt under 5 U.S.C. 552a (d)(5) and/or (k)(2).

Record access procedures:

This system may not be accessed for purposes of inspection or for contest of content of records as the records are exempt under 5 U.S.C. 552a (d)(5) and/or (k)(2).

Contesting record procedures:

26 U.S.C. 7852(e) prohibits Privacy Act amendment of tax records.

Record source categories:

Department of Treasury personnel; Department of Justice personnel; taxpayers and their representatives; other Federal agencies; witnesses; informants; State, local, and foreign governments; parties to disputed matters of fact and law; other persons who communicate with the Internal Revenue Service.

Systems exempted from certain provisions of the act:

This system has been designated as exempt from certain provisions of the Privacy Act.

Treasury/IRS 90.011

System name:

Employee Recruiting Files Maintained by the Operations Division—Treasury/IRS.

System location:

Operations Division, Internal Revenue Service, Office of Chief Counsel, 1111 Constitution Avenue, NW., Washington, DC 20224.

Categories of individuals covered by the system:

Persons who have applied for attorney positions with the Chief Counsel's Office, both National Office and field and persons who have applied for non-attorney positions in the National Office only.

Categories of records in the system:

Applicant Files and lists of eligible applicants; Internal Control Records.

Authority for maintenance of the system:

5 U.S.C. 301 and 26 U.S.C. 7801.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in these records may be used: (1) To disclose information to the Department of Justice for the purpose of litigating an action or seeking legal advice. (2) To disclose pertinent information to appropriate Federal, State, local, or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing, or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (3) To disclose information to a Federal, State, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit. (4) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (5) To disclose information to foreign governments in accordance with formal or informal international agreements. (6) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains. (7) To provide information to the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings. (8) To provide information to unions recognized as exclusive bargaining representatives under the Civil Service Reform Act of 1978, 5 U.S.C. 7111 and 7114. (9) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation. (10) To the Office of Personnel Management and Merit System Protection Board for appropriate personnel actions. (11) Disclosure of returns and return information may be made only as provided by 26 U.S.C. 6103.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records and magnetic media.

Retrievability:

Records are retrievable by the name of the person to whom they apply.

Safeguards:

Access is limited to employees who have a need for such records in the course of their work. Background checks are made on employees. All facilities where records are stored have access limited to authorized personnel or individuals in the company of authorized personnel.

Retention and disposal:

The applicant files and other records are periodically updated to reflect changes and maintained as long as needed.

System manager(s) and address:

Director, Operations Division, Internal Revenue Service, Office of Chief Counsel, 1111 Constitution Avenue, NW., Washington, DC 20224.

Notification procedure:

Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Disclosure Litigation Division. The address is listed in the Appendix. (See IRS Appendix A.)

Record access procedures:

Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Disclosure Litigation Division. The address is listed in the Appendix. Information leading to the identity of a confidential source is exempt pursuant to 5 U.S.C. 552a(k)(5).

Contesting record procedures:

See Access above.

Record source categories:

Applicants, Department of Treasury Personnel; Office of Personnel Management; Other Federal Agencies; State, local, and foreign governments; references, former employers.

Systems exempted from certain provisions of the act:

This system has been designated as exempt from certain provisions of the Privacy Act.

Treasury/IRS 90.013

System name:

Legal case files of the Chief Counsel, Deputy Chief Counsels (Policy and Programs) and (Management and Operations) Associate Chief Counsels (Litigation) and (Technical and International)—Treasury/IRS.

System location:

Office of Chief Counsel, Internal Revenue Service, 1111 Constitution Avenue, NW., Washington, DC 20224.

Categories of individuals covered by the system:

Persons whose cases at one time involved important issues or unusual circumstances which were brought to the attention of the above persons (or their predecessors).

Categories of records in the system:

Legal case files which include internal control records of such case files of both the persons currently holding the above positions and those who previously held such positions.

Authority for maintenance of the system:

5 U.S.C. 301 and 26 U.S.C. 7801.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in these records may be used: (1) To disclose information to the Department of Justice for the purpose of litigating an action or seeking legal advice. (2) To disclose pertinent information to appropriate Federal, State, local, or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing, or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (3) To disclose information to a Federal, State, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit. (4) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (5) To disclose information to foreign governments in accordance with formal or informal international agreements. (6) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains. (7) To provide information to the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings. (8) To provide information to unions recognized as exclusive bargaining representatives under the Civil Service Reform Act of 1978, 5 U.S.C. 7111 and 7114. (9) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation. (10) Disclosure of returns and return information may be made only as provided by 26 U.S.C. 6103.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records and magnetic media.

Retrievability:

Records pertaining to individuals are retrievable by the name of the person to whom they apply.

Safeguards:

Access is limited to employees who have a need for such records in the course of their work. Background checks are made on employees. All facilities where records are stored have access limited to authorized personnel or individuals in the company of authorized personnel.

Retention and disposal:

Records are periodically updated to reflect changes and maintained as long as needed.

System manager(s) and address:

Chief Counsel, Internal Revenue Service, 1111 Constitution Avenue, NW., Washington, DC 20224.

Notification procedure:

This system may not be accessed for purposes of determining if the records pertain to a particular individual as the records are exempt under 5 U.S.C. 552a (d)(5) and/or (k)(2).

Record access procedures:

This system may not be accessed for purposes of inspection or for contest of content of records as the records are exempt under 5 U.S.C. 552a (d)(5) and/or (k)(2).

Contesting record procedures:

26 U.S.C. 7852(e) prohibits Privacy Act amendment of tax records.

Record source categories:

Taxpayers and their representatives; Department of Treasury personnel; other Federal agencies; State, local, and foreign governments; other persons who communicate with the Internal Revenue Service.

Systems exempted from certain provisions of the act:

This system has been designated as exempt from certain provisions of the Privacy Act.

Treasury/IRS 90.014

System name:

Management Files Maintained by Operations Division and the Deputy Chief Counsel (Management and Operations) other than the Office of Personnel Management's Official Personnel Files—Treasury/IRS.

System location:

Operations Division, Internal Revenue Service, Office of Chief Counsel, 1111 Constitution Avenue, NW., Washington, DC 20224. The location of the Executive Resources Board Files is: Deputy Chief Counsel (Management and Operations), Internal Revenue Service, Office of Chief Counsel, 1111 Constitution Avenue, NW., Washington, DC 20224.

Categories of individuals covered by the system:

Current and former employees of Chief Counsel's Office, both National Office and field.

Categories of records in the system:

Contains some materials which are duplicated materials contained in the Official Personnel File, and includes material such as: Transfer and reassignment requests, miscellaneous correspondence, personnel listings, information regarding employees' participation in training programs, resumes, information on loss suffered by employees who are theft victims, list of parking permits, records of requests for use of GSA vehicles, case assignments, and financial information on employees.

Authority for maintenance of the system:

5 U.S.C. 301, 26 U.S.C. 7801, Executive Order 11222, and Executive Order 11590.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in these records may be used: (1) To disclose information to the Department of Justice for the purpose of litigating an action or seeking legal advice. (2) To disclose pertinent information to appropriate Federal, State, local, or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing, or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (3) To disclose information to a Federal, State, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit. (4) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (5) To disclose information to foreign governments in accordance with formal or informal international agreements. (6) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains. (7) To provide information to the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings. (8) To provide information to unions recognized as exclusive bargaining representatives under the Civil Service Reform Act of 1978, 5 U.S.C. 7111 and 7114. (9) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation. (10) To the Office of Personnel Management and Merit System Protection Board for appropriate personnel actions. (11) Disclosure of returns and return information may be made only as provided by 26 U.S.C. 6103.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records and magnetic media.

Retrievability:

Records are retrievable by the name of the person to whom they apply.

Safeguards:

Access is limited to employees who have a need for such records in the course of their work. Background checks are made on employees. All facilities where records are stored have access limited to authorized personnel or individuals in the company of authorized personnel.

Retention and disposal:

Records are periodically updated to reflect changes and maintained as long as needed.

System manager(s) and address:

Director, Operations Division, Internal Revenue Service, Office of Chief Counsel, 1111 Constitution Avenue, NW., Washington, DC 20224. The system manager of the Executive Resources Chief Counsel Board Files is: Deputy Chief Counsel (Management and Operations), Internal Revenue Service, Office of Chief Counsel, 1111 Constitution Avenue, NW., Washington, DC 20224.

Notification procedure:

Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Disclosure Litigation Division. The address is listed in Appendix A.

Record access procedures:

Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Disclosure Litigation Division. The address is listed in Appendix A. Information leading to the identity of a confidential source is exempt pursuant to 5 U.S.C. 552a(k)(5).

Contesting record procedures:

See Access above.

Record source categories:

Employees; Department of Treasury Personnel; Office of Personnel Management and Merit System Protection Board; other Federal agencies; state, local, and foreign governments; references; former employers.

Systems exempted from certain provisions of the act:

This system has been designated as exempt from certain provisions of the Privacy Act.

Treasury/IRS 90.015

System name:

Reference Records of the Library in the Office of Chief Counsel—Treasury/IRS.

System location:

Operations Division, Internal Revenue Service, Office of Chief Counsel, 1111 Constitution Avenue, NW., Washington, DC 20224.

Categories of individuals covered by the system:

(1) Taxpayers who have sought Congressional tax relief by means of a Private Bill. (2) IRS employees who charge out books.

Categories of records in the system:

(1) Numerical and alphabetical listing of Private Relief Bill and files related to the Bill. (2) Charge cards and inter-library loan forms.

Authority for maintenance of the system:

5 U.S.C. 301 and 26 U.S.C. 7801.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in these records may be used: (1) To disclose pertinent information to appropriate Federal, State, local, or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing, or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (2) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (3) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains. (4) To provide information to the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings. (5) To provide information to unions recognized as exclusive bargaining representatives under the Civil Service Reform Act of 1978, 5 U.S.C. 7111 and 7114. (6) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records and magnetic media.

Retrievability:

Records are retrievable by the name of the individual to whom they pertain and Private Bill material can also be retrieved by H.R. or S. number.

Safeguards:

Although access is limited to authorized individuals, this material would be available to any person through a Freedom of Information Act request.

Retention and disposal:

Records are regularly updated. If the library materials to which the references pertain are no longer in the library collection, the reference cards are destroyed. Auth: IRM 1(15)59.

System manager(s) and address:

Director, Operations Division, Internal Revenue Service, Office of Chief Counsel, 1111 Constitution Avenue, Washington, DC 20224.

Notification procedure:

Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Disclosure Litigation Division. The address is listed in Appendix A.

Record access procedures:

Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C. Appendix B. Inquiries should be addressed to the Director of the Disclosure Litigation Division. The address is listed in Appendix A.

Contesting record procedures:

See Access above.

Record source categories:

Material to which reference information pertains.

Systems exempted from certain provisions of the act:

None.

Treasury/IRS 90.016

System name:

Reports and Information Retrieval Activity (RIRA) Computer and Microfilm Records/Counsel Automated Tracking System (CATS)—Treasury/IRS.

System location:

Computer Records: Internal Revenue Service Data Center, 1300 John Lodge Drive, Detroit, Michigan 48226. Microfilm Records: Operations Division, Internal Revenue Service, Office of Chief Counsel, 1111 Constitution Avenue, NW., Washington, DC 20224.

Categories of individuals covered by the system:

(1) Taxpayers who initiated suits for refund in district courts or the Claims Court.(2) Taxpayers who have filed petitions with the United States Tax Court. (3) Taxpayers who have requested rulings from the Service in those cases in which the request has been referred to the Office of Chief Counsel for a legal opinion. (4) Taxpayers who have been involved in litigation concerning the collection of taxes. (5) Taxpayers whose cases were the subject of technical advice memoranda to the Solicitor General and similar advisory memoranda. The Counsel Automated Tracking System was developed during fiscal years 1983–1986 to act as a control and management information system for systems in the following Chief Counsel divisions: Tax Litigation, Interpretive, Individual Tax, and Corporation Tax. The system contains control records concerning the categories of individuals identified in these systems.

Categories of records in the system:

(1) Skeletal legal files. (2) Indexes. (3) Actions on Decisions Tax Litigation only, maintained on RIRA for historical purposes. (4) Case Abstracts (Maintained on RIRA for historical purposes). (5) Technical Advice Replies by the Tax Litigation Division. (6) Miscellaneous Advisory Memoranda regarding a case usually going to the Solicitor General.

Authority for maintenance of the system:

5 U.S.C. 301, and 26 U.S.C. 7801.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

(1) To disclose information to the Department of Justice for the purpose of litigating an action, seeking legal advice, or for research purposes. (2) To disclose pertinent information to appropriate Federal, state, local, or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing, or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (3) To disclose information to a Federal, State, or local agency, maintaining civil,

criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit. (4) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (5) To disclose information to foreign governments in accordance with formal or informal international agreements. (6) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains. (7) To provide information to the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings. (8) To provide information to unions recognized as exclusive bargaining representatives under the Civil Service Reform Act of 1978, 5 U.S.C. 7111 and 7114. (9) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation. (10) Disclosure of returns and return information may be made only as provided by 26 U.S.C. 6103.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Skeletal legal files and indexes to the narrative material are stored on magnetic media. Actions on Decisions (Tax Litigation only), Case Abstracts, Technical Advice and Advisory Memoranda are stored on microfilm. Input documents are on paper. The CATS system also allows access by interactive terminal.

Retrievability:

Records are retrievable by legal jacket number and case issue. The CATS system allows retrieval by name of the person to whom they apply.

Safeguards:

Access is limited to employees who have a need for such records in the course of their work. Background checks are made on employees. All facilities where records are stored have access limited to authorized personnel or individuals in the company of authorized personnel. Passwords are required in the Counsel Automated Tracking System to access system information.

Retention and disposal:

Magnetic media and microfilm will be periodically updated to reflect changes and maintained as long as needed. Input documents are retained for one year. Auth: IRM 1(15)59.

System manager(s) and address:

Director, Operations Division, Internal Revenue Service, Office of Chief Counsel, 1111 Constitution Avenue, NW., Washington, DC 20224.

Notification procedure:

Most of the records in this system may not be accessed for purposes of determining if the records pertain to a particular individual as the records are exempt under 5 U.S.C. 552a (d)(5) and/or (k)(2). An individual who wishes to determine whether the system contains any records pertaining to himself which are not exempt may address inquiries to the Director of the Disclosure Litigation Division whose address is listed in the Appendix, see Appendix A.

Record access procedures:

Most of the records in this system may not be accessed for purposes of inspection or for contest of content of records as the records are exempt under 5 U.S.C. 552a (d)(5) and/or (k)(2). Individuals seeking access to any record which is not exempt or seeking to contest its content may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Disclosure Litigation Division whose address is listed in the Appendix. Taxpayers seeking to adjust records which affect the determination of a tax assessment or the balance due, should utilize existing procedures for doing so, as substantive tax matters are not subject to the amendment provisions of the Privacy Act.

Contesting record procedures:

See Access above.

Record source categories:

Taxpayers and their representatives; Department of Treasury personnel; other Federal agencies, state, local, and foreign governments; witnesses; Informants; Parties to disputed matters of fact or law; other persons who communicate with the Internal Revenue Service.

Systems exempted from certain provisions of the act:

This system has been designated as exempt from certain provisions of the Privacy Act.

Treasury/IRS 90.017

System name:

Correspondence Control and Records, Associate Chief Counsel (Technical and International)—Treasury/IRS.

System location:

National Office, (See IRS Appendix A.)

Categories of individuals covered by the system:

Individual subjects of letter rulings, technical advice, memorandum and other correspondence from the Office of the Associate Chief Counsel (Technical and International).

Categories of records in the system:

Cards, disks and tapes containing taxpayer names, date of correspondence, issue, and related information, including in some cases the conclusions reached, and related letter ruling, technical advice, memorandum, and other correspondence files.

Authority for maintenance of the system:

5 U.S.C. 301, 26 U.S.C. 7801, 26 U.S.C. 7802, 26 U.S.C. 7602, 26 U.S.C. 7805(a).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Disclosure of returns and return information may be made only as provided by 26 U.S.C. 6103. These records and information in these records may be used: (1) To disclose information to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice. (2) To disclose pertinent information to appropriate Federal, state, local or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation. (3) To disclose information to a Federal, state, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit. (4) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings. (5) To disclose information to foreign governments in accordance with formal or informal international agreements. (6) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains. (7) To provide information to the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings. (8) To provide information to unions recognized as exclusive bargaining representatives under the Civil Service Reform Act of 1978, 5 U.S.C. 7111 and 7114. (9) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records, magnetic media, and tapes.

Retrievability:

Indexed by name and control number.

Safeguards:

Safeguards will not be less than provided by the Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal: Cards, disks and tapes are periodically updated and maintained as long as needed. Related files are destroyed or retired over varying numbers of years as specified in the Records Control Schedule, IRM 1(15)59.1(10).

System manager(s) and address:

Associate Chief Counsel (Technical and International), National Office. (See IRS Appendix A.)

Notification procedure:

Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B.

Inquiries should be addressed to the Associate Chief Counsel (Technical and International), National Office. (See IRS Appendix A.)

Record access procedures:

Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the Associate Chief Counsel (Technical and International), National Office. (See IRS Appendix A.)

Contesting record procedures:

26 U.S.C. 7852(e) prohibits Privacy Act amendment of tax records.

Record source categories:

Individual subjects of letter rulings, technical advice memorandums, and other correspondence, field office personnel.

Systems exempted from certain provisions of the act: None.

Treasury/IRS 90.018

System name:

Expert Witness Library—Treasury/IRS.

System location:

Assistant Chief Counsel (Tax Litigation), National Office, Attn: Tax Shelter Branch, 1111 Constitution Ave., NW., Washington, DC 20224.

Categories of individuals covered by the system:

Potential expert witnesses for tax litigation in a variety of areas of expertise.

Categories of records in the system:

Names, addresses, and phone numbers of expert witnesses who have been used either by IRS or taxpayers in litigation. The library also contains evaluations of the performance of each expert, copies of transcripts where experts have testified and copies of the experts' reports.

Authority for maintenance of the system:

5 U.S.C. 301, 26 U.S.C. 7801, 26 U.S.C. 7802, 26 U.S.C. 7602, 26 U.S.C. 7805(a).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

(1) Disclosure of returns and return information may be made only as provided by 26 U.S.C. 6103. (2) To disclose information to the Department of Justice in connection with requests for legal advice. (3) To disclose information to a federal, state, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of or retention of a security clearance, license, contract, grant, or other benefit. (4) To disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena where relevant or potentially relevant to the proceeding. (5) To provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains. (6) To provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records and magnetic media.

Retrievability:

Indexed by name and subject matter expertise.

Safeguards:

Access is limited to employees who have a need for such records in the course of their work. Furthermore, access to the paper files is controlled by a designated attorney in the Tax Shelter Branch. Access to the expert witness library indices on magnetic media are controlled by the Tax Shelter Branch. The Tax Shelter Branch is locked during nonworking hours. All facilities where records are stored have access limited to authorized personnel or individuals in the company of authorized personnel. Background checks are made on employees. The safeguards will not be less than provided by the Physical Security Handbook, IRM 1(16)41.

Retention and disposal:

The records will be periodically updated to reflect changes and maintained as long as needed.

System manager(s) and address:

Assistant Chief Counsel (Tax Litigation), National Office, Tax Shelter Branch, 1111 Constitution Ave., NW., Washington, DC 20224.

Notification procedure:

Individuals seeking access to any record contained in the system of records, or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR part 1, subpart C, appendix B. Inquiries should be addressed to Assistant Chief Counsel (Tax Litigation), National Office, Attn: Tax Shelter Branch.

Record access procedures:

Individuals seeking access to any record contained in the system of records, or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR part 1, subpart C, appendix B. Inquiries should be addressed to the Assistant Chief Counsel (Tax Litigation), National Office, Attn: Tax Shelter Branch.

Contesting record procedures:

26 U.S.C. 7852(e) prohibits Privacy Act amendment of tax records.

Record source categories:

Attorneys working for the IRS and expert witnesses themselves.

Systems exempted from certain provisions of the act:

None.

Effective date: Jan. 16, 1990.

Treasury/IRS—Appendix A—Inquiries under Treasury/IRS systems should be addressed to the office whose records are to be searched. The titles and addresses of the System Managers are as follows:

NATIONAL OFFICE INTERNAL REVENUE SERVICE

Assistant to the Commissioner (Equal Opportunity)
Assistant to the Commissioner (Public Affairs)
Assistant to the Commissioner (Collection)
Assistant to the Commissioner (Computer Services)
Assistant to the Commissioner (Employee Plans and Exempt Organizations)
Assistant to the Commissioner (Inspection)
Assistant to the Commissioner (Planning, Finance and Research)
Assistant to the Commissioner (Human Resources)
Assistant to the Commissioner (Returns and Information Processing)
Assistant to the Commissioner (Criminal Investigation)
Assistant to the Commissioner (Examination)
Assistant to the Commissioner (International)
Director, Office of Disclosure

The address for all of the above Systems Managers with the exception of the Assistant Commissioner (International) noted below, is as follows:

1111 Constitution Avenue NW., Washington, DC 20224

Assistant Commissioner (International), 950 L'Enfant Plaza SW., Fourth Floor, Washington, DC 20224

REGIONAL OFFICES INTERNAL REVENUE SERVICE

Central Region:

Regional Commissioner, Internal Revenue Service, Rm. 7110, John Weld Peck Federal Building, 550 Main Street, Cincinnati, Ohio 45202

District Director, Internal Revenue Service, P.O. Box 99181 Cleveland, Ohio 44199

District Director, Internal Revenue Service, P.O. Box 32500, Stop No. 1, Detroit, Michigan 48232-0500

District Director, Internal Revenue Service, P.O. Box 44687 Stop 10, Indianapolis, Indiana 46244

District Director, Internal Revenue Service, P.O. Box 1735, Stop 100, Louisville, Kentucky 40201

District Director, Internal Revenue Service, 425 Juliana Street, Parkersburg, West Virginia 26101

Director, Internal Revenue Service Center, Central Region, 201 W. Second St., Covington, Kentucky 41019

Mid-Atlantic Region:

Regional Commissioner, Internal Revenue Service, 841 Chestnut Street, Philadelphia, Pennsylvania 19107

District Director, Internal Revenue Service, George Fallon Building, 31 Hopkins Plaza, Baltimore, Maryland 21201

District Director, Internal Revenue Service, P.O. Box 939, Newark, New Jersey 07101

District Director, Internal Revenue Service, W.J. Green Federal Building, 600 Arch Street, Philadelphia, Pennsylvania 19106

District Director, Internal Revenue Service, 1000 Liberty Avenue, Room 1139, Pittsburgh, Pennsylvania 15222

District Director, Internal Revenue Service, 400 North 8th Street, Richmond, Virginia 23240

District Director, Internal Revenue Service, 844 King Street, Wilmington, Delaware 19801

Director, Internal Revenue Service Center, Mid-Atlantic Region, 11601 Roosevelt Boulevard, Philadelphia, Pennsylvania 19155

Midwest Region:

Regional Commissioner, Internal Revenue Service, One North Wacker Drive, Chicago, Illinois 60606

District Director, Internal Revenue Service, Federal Building, 115 Fourth Avenue SE., Aberdeen, South Dakota 57401

District Director, Internal Revenue Service, 230 South Dearborn Street, Room 2890, Chicago, Illinois 60604

District Director, Internal Revenue Service, Federal Building, 210 Walnut Street, Des Moines, Iowa 50309

District Director, Internal Revenue Service, Federal Building and Post Office, 653 Second Avenue, North Fargo, North Dakota 58102

District Director, Internal Revenue Service, Federal Building, Second Floor, 301 South Park, Helena, Montana 59626–0016

District Director, Internal Revenue Service, Federal Building and Court House, 517 East Wisconsin Avenue, Milwaukee, Wisconsin 53202

District Director, Internal Revenue Service, Henry Reuss Building, 310 East Wisconsin Avenue, Milwaukee, Wisconsin 53201

District Director, Internal Revenue Service, H.W. Wheeler Station, P.O. Box 1548, St. Louis, Missouri 63188

District Director, Internal Revenue Service, Federal Building and Court House, 316 North Robert Street, St. Paul, Minnesota 55101

District Director, Internal Revenue Service, P.O. Box 19203, Springfield, Illinois 62794–9203

Director, Internal Revenue Service, Midwest Region, P.O. Box 24551, Kansas City, Missouri 64131

North-Atlantic Region:

Regional Commissioner, Internal Revenue Service, 90 Church Street, New York, New York 10007

District Director, Internal Revenue Service, John F. Kennedy Federal Building, Government Center, Boston, Massachusetts 02203

District Director, Internal Revenue Service, Leo W. O'Brien Federal Building, Clinton Avenue and North Pearl Street, Albany, New York 12202

District Director, Internal Revenue Service, 120 Church Street, New York, New York 10007

District Director, Internal Revenue Service, 11201 35 Tillary Street, Brooklyn, New York

District Director, Internal Revenue Service, 111 W. Huron Street, Buffalo, New York 14202

District Director, Internal Revenue Service, 11 Elmwood Avenue, Burlington, Vermont 05401

District Director, Internal Revenue Service, William R. Cotter Federal Building, (Stop 204); 135 High Street, Hartford, Connecticut 06103

District Director, Internal Revenue Service, Federal Building, 80 Daniel Street, Portsmouth, New Hampshire 03801

District Director, Internal Revenue Service, 380 Westminister Mall, Providence, Rhode Island 02903

Director, Internal Revenue Service, North-Atlantic Region, (Stop 100) 310 Lowell Street, Andover, Massachusetts 05501

Director, Internal Revenue Service, North-Atlantic Region, (Stop 100), 1040 Waverly Avenue, Holtsville, New York 11799

Southeast Region:

Regional Commissioner, Internal Revenue Service, P.O. Box 926, Room 600, Atlanta, Georgia 30370

District Director, Internal Revenue Service, 275 Peachtree Street, NE., Atlanta, Georgia 30043

District Director, Internal Revenue Service, 500 22nd Street South, Birmingham, Alabama 35233

District Director, Internal Revenue Service, 1835 Assembly Street, Columbia, South Carolina 29201

District Director, Internal Revenue Service, 320 Federal Place, Greensboro, North Carolina 27401

District Director, Internal Revenue Service, Suite 504, 100 W. Capitol Street, Jackson, Mississippi 39269

District Director, Internal Revenue Service, Federal Office Building, 400 West Bay Street, Jacksonville, Florida 32202

District Director, Internal Revenue Service, 801 Broadway, Nashville, Tennessee 37203

District Director, Internal Revenue Service, (Stop 6), 700 W. Capitol, Little Rock, Arkansas 72201

District Director, Internal Revenue Service, (Stop 6), 500 Camp Street, New Orleans, Louisiana 70130

District Director, Internal Revenue Service, One University Drive, Building B, Ft. Lauderdale, Florida 33324

Director, Internal Revenue Service Center, Southeast Region, 4800 Buford Highway, Chamblee, Georgia 30341

Director, Internal Revenue Service Center, Southeast Region, P.O. Box 30309, Airport Mail Facility, Memphis, Tennessee 38130

Southwest Region:

Regional Commissioner, Internal Revenue Service, LB 70 Stop 1000 SWR, 7839 Churchill Way, Dallas, Texas 75251

District Director, Internal Revenue Service, 517 Gold Avenue, SW., Albuquerque, New Mexico 87101

District Director, Internal Revenue Service, Stop 100D AUS, 300 E. 8th Street, Austin, Texas 78701

District Director, Internal Revenue Service, 3223 Briarpark, Houston, Texas 77042

District Director, Internal Revenue Service, 308 W. 21st Street, Cheyenne, Wyoming 82001

District Director, Internal Revenue Service, Stop 1000 DAL, 1100 Commerce Street, Dallas, Texas 75242

District Director, Internal Revenue Service, 1050 17th Street, Denver, Colorado 80265

District Director, Internal Revenue Service, 2120 N. Central Avenue, Phoenix, Arizona 85004

District Director, Internal Revenue Service, 465 S. Fourth East Street, Salt Lake City, Utah 84111

District Director, Internal Revenue Service, 200 NW. Fourth Street, Oklahoma City, Oklahoma 73102

District Director, Internal Revenue Service, 412 S. Main Street, Wichita, Kansas 67202

Director, Internal Revenue Service Center, Southwest Region, 3651 S. Interregional Highway, Austin, Texas 73301

Director, Internal Revenue Service Center, Western Region, 1160 W. 1200 South Street, Ogden, Utah 84201

Western Region:

Regional Commissioner, Internal Revenue Service, Room 511, 1650 Mission Street, San Francisco, California 94103

District Director, Internal Revenue Service, 949 East 36th Avenue, Anchorage, Alaska 99508

District Director, Internal Revenue Service, Box 041, 550 W. Fort Street, Boise, Idaho 83724

District Director, Internal Revenue Service, PJKK Federal Bldg. 300 Ala Moana, Honolulu, Hawaii 96850

District Director, Internal Revenue Service, 2400 Avila Road, Laguana Niguel, California 92677 District Director, Internal Revenue Service,

300 N. Los Angeles Street, Los Angeles, California 90012

District Director, Internal Revenue Service, 1220 S.W. Third Avenue, Portland, Oregon 97204

District Director, Internal Revenue Service, 300 Las Vegas Blvd., South Las Vegas, Nevada 89101

District Director, Internal Revenue Service, 235 Fair Oaks Blvd., Sacramento, California 95825

District Director, Internal Revenue Service, Box 36020, 450 Golden Gate Avenue, San Francisco, CA 94102

District Director, Internal Revenue Service, 55 S. Market Street, San Jose, CA 95113

District Director, Internal Revenue Service, 915 Second Avenue, Seattle, Washington, 98174

Director, Internal Revenue Service, Western Region, 5045 E. Butler Avenue, Fresno, California 93727

ADDRESSES OF CHIEF COUNSEL, REGIONAL COUNSEL, DISTRICT COUNSEL, AND REGIONAL DIRECTOR OF APPEALS OFFICES

National Office:

Appeals Division, Office of Chief Counsel, Internal Revenue Service, 1111 Constitution Avenue NW., Washington, DC 20224

Operations Division, Office of Chief, Counsel, Internal Revenue Service, 1111 Constitution Avenue, NW., Washington, DC 20224

Criminal Tax Division, Office of Chief, Counsel, Internal Revenue Service, 1111 Constitution Avenue, NW., Washington, DC 20224

Disclosure Litigation Division, Office of Chief Counsel, Internal Revenue Service, 1111 Constitution Avenue, NW., Washington, DC 20224

General Legal Services Division, Office of Chief Counsel, Internal Revenue Service, 1111 Constitution Avenue, NW., Washington, DC 20224

General Litigation Division, Office of Chief Counsel, Internal Revenue Service, 1111 Constitution Avenue, NW., Washington, DC 20224

Interpretative Division, Office of Chief Counsel, Internal Revenue Service, 1111 Constitution Avenue, NW., Washington, DC 20224

Legislation and Regulations Division, Office of Chief Counsel, Internal Revenue Service, 1111 Constitution Avenue, NW., Washington, DC 20224

Employee Plans and Exempt Organizations Division, Office of Chief Counsel, Internal Revenue Service, 1111 Constitution Avenue, NW., Washington, DC 20224

Tax Litigation Division, Office of Chief Counsel, Internal Revenue Service, 1111 Constitution Avenue, NW., Washington, DC 20224

Corporation Tax Division, Office of Chief, Counsel, Internal Revenue Service, 1111 Constitution Avenue, NW., Washington, DC 20224

Individual Tax Division, Office of Chief Counsel, Internal Revenue Service, 1111 Constitution Avenue, NW., Washington, DC 20224

Chief, Counsel, (Policy and Legal Programs) and (Management and Operations) Deputy Chief Counsels and (Technical and International) Associate Chief Counsels (Litigation) Office of Chief Counsel, Internal Revenue Service, 1111 Constitution Avenue, NW., Washington, DC 20224

Regional Counsel Offices

North-Atlantic Region:

Regional Counsel's Office, IRS, North-Atlantic Region, 26 Federal Plaza, 12th Floor, New York, New York 10278

District Counsel Offices

District Counsel's Office, IRS, 26 Federal Plaza, 12th Floor, New York, New York 10278

District Counsel's Office, IRS, Leo W. O'Brien Federal Building, Clinton Avenue and N. Pearl Street, Albany, New York 12207

District Counsel's Office, IRS, 100 Summer Street, Room 1728, Boston, Massachusetts 02110

District Counsel's Office, IRS Brooklyn Office, 1000 Uniondale Avenue and Hempstead Turnpike, Uniondale, New York 11553

District Counsel's Office, IRS, 28 Church Street, Guaranty Building, Suite 500, Buffalo, New York 14202

District Counsel's Office, IRS, 135 High Street, Room 259, Hartford, Connecticut 06103

Regional Director of Appeals, 90 Church Street, New York, New York 10007

Mid Atlantic Region:

Regional Counsel Office

Regional Counsel's Office, IRS, Mid-Atlantic Region, 841 Chestnut Street, Room 360, Philadelphia, Pennsylvania 19107

District Counsel Offices

District Counsel's Office, IRS, Room 10424, 600 Arch Street, Philadelphia, Pennsylvania 19106

District Counsel's Office, IRS, Room 4100, 101 W. Lombard Street, Baltimore, Maryland 21202

District Counsel's Office, IRS, Room 904, 970 Broad Street, Newark, New Jersey 07102

District Counsel's Office, IRS, 726 Federal Building, Room 726, 1000 Liberty Avenue, Pittsburgh, Pennsylvania 15222

District Counsel's Office, IRS, Room 5215, Federal Building, 400 N. Eighth Street, Richmond, Virginia 23240

District Counsel's Office, IRS, 422 Universal Building, North, 1875 Connecticut Avenue, NW., Washington, DC 20009

Regional Director of Appeals, Room 360, 841 Chestnut Street, Philadelphia, Pennsylvania 19107

Southeast Region:

Regional Counsel Office

Regional Counsel's Office, IRS, Southeast Region, Room 830, 275 Peachtree Street, NE., Atlanta, Georgia 30043

District Counsel Offices

District Counsel's Office, IRS, Room 850, 275 Peachtree Street, NE., Atlanta, Georgia 30043

District Counsel's Office, IRS, Room 340, 500 22nd Street, South, Birmingham, Alabama 35233

District Counsel's Office, IRS, Room 509, 320 Federal Place, Greensboro, North Carolina 27401

District Counsel's Office, IRS, Box 35027, Federal Office Building, 400 West Bay Street, Room 564, Jacksonville, Florida 32202

District Counsel's Office, IRS, Room 1502, Federal Office Building, 51 SW First Avenue, Miami, Florida 33130

District Counsel's Office, IRS, Room 703, 801 Broadway, Nashville, Tennessee 37203

District Counsel's Office, IRS, Stop 18, Room 917, 500 Camp Street, New Orleans, Louisiana 70130

Regional Director of Appeals, 625 Federal Office Building, 275 Peachtree Street, NE., Atlanta, Georgia 30043

Central Region:

Regional Counsel Office

Regional Counsel's Office, IRS, Room 7510, 550 Main Street, Cincinnati, Ohio 45202

District Counsel Offices

District Counsel's Office, IRS, Room 7525, 550 Main Street, Cincinnati, Ohio 45202

District Counsel's Office, IRS, Suite 810, One Cleveland Center, 1375 E, Ninth St., Cleveland, Ohio 44114

District Counsel's Office, IRS, 1870 McNamara Building, 477 Michigan Avenue, Detroit, Michigan 48226

District Counsel's Office, IRS, 509 Federal Building, 575 N. Pennsylvania Street, Indianapolis, Indiana 46203

District Counsel's Office, IRS 579 Federal Office Building, 600 Federal Place, Louisville, Kentucky 40202

Regional Director of Appeals, Room 7514, 550 Main Street, Cincinnati, Ohio 45202

Midwest Region:

Regional Counsel Office

Regional Counsel's Office, IRS, Kluczynski Federal Building, 230 South Dearborn Street, Room 3410, Chicago, Illinois 60604

District Counsel Offices

District Counsel's Office, IRS, Room 1342, Dirksen Federal Building, 219 South Dearborn Street, Chicago, Illinois 60604

District Counsel's Office, IRS, 439 Federal Building, 210 Walnut Street, Des Moines, Iowa 50309

District Counsel's Office, IRS, Room 240, Federal Building, 301 S. Park Avenue, Helena, Montana 59626

District Counsel's Office, IRS, 2700 Federal Office Building, 911 Walnut Street, Kansas City, Missouri 64106

District Counsel's Office, IRS, 760 Henry Reuss Federal Plaza, 310 W. Wisconsin Avenue, Milwaukee, Wisconsin 53203

District Counsel's Office, IRS, 3101 Federal Building, 215 N. Seventeenth Street, Omaha, Nebraska 68102

District Counsel's Office, IRS, Room 720, 320 W. Washington, Street, Springfield, Illinois 62701

District Counsel's Office, IRS, (3rd Floor), Chouteau Center Building, 133 S. Eleventh Street, St. Louis, Missouri 63102

District Counsel's Office, IRS, 572 Federal Building and U.S. Courthouse, 316 N. Robert Street, St. Paul, Minnesota 55101

Regional Director of Appeals, 230 S. Dearborn Street, Room 3280, Chicago, Illinois 60604

Southwest Region:

Regional Counsel Office

Regional Counsel's Office, IRS, Southwest Region, LB-81, Stop 2000 SWR, 7839 Churchill Way, Dallas, Texas 75251

District Counsel Offices

District Counsel's Office, IRS, Room 12A24, Stop 2000 DAL, 1100 Commerce Street, Dallas, Texas 75242

District Counsel's Office, IRS, 20th Floor, Seventeen Street, Denver, Colorado 80265

District Counsel's Office, IRS, Suite 350, 10850 Richmond Avenue, Houston, Texas 77042-4775

District Counsel's Office, IRS, 4010 Courthouse, 200 NW., Fourth Street, Oklahoma City, Oklahoma 73102

District Counsel's Office, IRS, Room 784, Stop 2000 AUS, 300 E. 8th Street, Austin, Texas 78701

District Counsel's Office, Suite 1500, 3225 N. Central Avenue, Phoenix, Arizona 85012

District Counsel, Room 13121, 125 S. State Street, Salt Lake City, Utah 84138

Regional Director of Appeals, LB-70, Stop 80000 SWR, 7839 Churchill Way, Dallas, Texas 75251

Western Region:

Regional Counsel Office

Regional Counsel's Office, IRS, Western Region, 5th Floor, 1650 Mission Street, San Francisco, California 94103

District Counsel Offices

District Counsel's Office, IRS, 84 W. Santa Clara Street, Room 300, San Jose, CA 95113

District Counsel's Office, IRS, Room 607, 949 E. 36th Avenue, Anchorage, Alaska 99508

District Counsel's Office, Box 024, 550 W. Fort Street, Boise, Idaho 83724

District Counsel's Office, P.O. Box C-15, Laguna Niguel, California 92677

District Counsel's Office, IRS, 3018 Federal Building, 300 N. Los Angeles Street, Los Angeles, California 90012

District Counsel's Office, IRS, 810 Crown Plaza, 1500 S.W. First Avenue, Portland, Oregon 97201

District Counsel's Office, IRS, 550 E. Charleston Boulevard, Las Vegas, Nevada 89104
District Counsel's Office, IRS, Room 2n16, U.S. Courthouse, 940 Front Street, San Diego, California 92189
District Counsel's Office, IRS, Room 504, 160 Spear Street, San Francisco, California 94105
District Counsel's Office, IRS, 2710 Federal Building, 915 Second Avenue, Seattle, Washington 98174
District Counsel's Office, IRS, 7119 PJKK Federal Building, 300 Ala Moana, Honolulu, HI 96850
Regional Director of Appeals, 5th Floor, 1650 Mission Street, San Francisco, CA 94103

Treasury/United States Mint .003

System name:

Cash Receivable Accounting Information System—Treasury/United States Mint.

System location:

United States Mint, Judiciary Square Building, 633 3rd Street, NW., Washington, DC 20220; United States Mint, Independence Mall, Philadelphia, PA 19106; United States Mint, 320 West Colfax Avenue, Denver, CO 80204; United States Assay Office, 155 Hermann Street, San Francisco, CA 94102; United States Bullion Depository, West Point, NY 10996; United States Bullion Depository, Fort Knox, KY 40121.

Categories of individuals covered by the system:

Employees and former employees of the United States Mint and the general public who have: (a) Served on jury duty when employed by the United States Mint, (b) Paid for lost Government property belonging to the Mint; (c) Purchased numismatic items from Mint sales outlets; and (d) Have obtained travel advances.

Categories of records in the system:

(1) Receivables due from U.S. Mint employees and former employees who have served on jury duty or received witness fees; (2) Receivables due from Mint employees, former employees and general public for lost Government property, assay sample work and cash sales of over-the-counter numismatic items; and (3) Receivables due from Mint employees and former employees who have outstanding travel advances.

Authority for maintenance of the system:

5 U.S.C. 5537 and 31 U.S.C. 5111(a)(3).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in the records may be used to disclose information: (a) To accounting offices, managers, supervisors and government officials pertaining to cash receivables and debts owed the Government; (b) To appropriate Federal, state, local, or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license; (c) To a Federal, state, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an employee, or issuance of a security clearance, license, contract, grant, or other benefit; (d) To a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings; (e) To foreign governments in accordance with formal or informal international agreements; (f) To a congressional office in response to an inquiry made at the request of the individual to whom the record pertains; (g) To the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings; (h) To unions recognized as exclusive bargaining representatives under the Civil Service Reform Act of 1978, 5 U.S.C. 7111 and 7114. (i) To third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper documents.

Retrievability:

Name or number substitute:

Safeguards:

Storage in filing cabinets with access by authorized accounting personnel.

Retention and disposal:

General records control schedule, GAO rules and regulations, United States Mint Records Control Schedule; are destroyed in accordance with National Archives and Records Administration regulations.

System manager(s) and address:

Financial Manager, United States Mint, Judiciary Square Building, 633 3rd Street, NW., Washington, DC 20220; Budget and Accounting Officer, United States Mint, Independence Mall, Philadelphia, PA 19106; Budget and Accounting Officer, United States Mint, 320 West Colfax Avenue, Denver, CO 80204; Budget and Accounting Officer, United States Assay Office, 155 Hermann Street, San Francisco, CA 94102; Chief, Accounting Division, United States Bullion Depository, West Point, NY 10996; Administrative Officer, United States Bullion Depository, Fort Knox, KY 40121.

Notification procedure:

Refer to System manager(s) and address. An employee or former employee is required to show an identification such as: (a) Employee identification; (b) Driver's license; (c) Other means of identification, including social security number and date of birth.

Record access procedures:

For information on procedures for gaining access to and contesting records, individuals may contact the following official: Chief, Administrative Programs Division, United States Mint, Judiciary Square Building, 633 3rd Street, NW., Washington, DC 20220.

Contesting record procedures:

Refer to Record access procedures.

Record source categories:

U.S. Mint employees and appropriate agency officials.

Systems exempted from certain provisions of the act:

None.

Treasury/United States Mint .005

System name:

Current Employee Security Identification Record—Treasury/United States Mint.

System location:

United States Mint, Judiciary Square Building, 633 3rd Street, NW., Washington, DC 20220; United States Mint, Independence Mall, Philadelphia, PA 19106; United States Mint, 320 West Colfax Avenue, Denver, CO 80204; United States Assay Office, 155 Hermann Street, San Francisco, CA 94102; United States Bullion Depository, West Point, NY 10996; United States Bullion Depository, Fort Knox, KY 40121.

Categories of individuals covered by the system:

Current United States Mint employees.

Categories of records in the system:

Security information system is used to verify proper admittance to restricted areas within the Mint facilities. The card record (Mint Form 8925) provides the name of the employee, date and place of birth, descriptive data on height, weight, hair and eyes; office and division in which employed; along with photograph and signature of the employee. The record also indicates approval by facility management for the issuance of personal identification to the employee, which is subsequently carried by the employee.

Authority for maintenance of the system:

40 U.S.C. 318-318c.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in the records may be used to disclose information: (a) To accounting offices, managers, supervisors and government officials pertaining to cash receivables and debts owed the Government; (b) To appropriate Federal, state, local, or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license; (c) To a Federal, state, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an employee, or issuance of a security clearance, license, contract, grant, or other benefit; (d) To a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings; (e) To foreign governments in accordance with formal or informal international agreements; (f) To a congressional office in response to an inquiry made at the request of the individual to whom the record pertains; (g) To the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings; (h) To unions recognized as exclusive bargaining representatives under the Civil Service Reform Act of 1978, 5 U.S.C. 7111 and 7114. (i) To third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Record is 5 by 8 card filed in Kardex Binder or circular-type index system.

Retrievability:

Alphabetical by name.

Safeguards:

Maintained in secure area by security officers.

Retention and disposal:

Records are retained until separation of the employee and are destroyed upon termination in accordance with National Archives and Records Administration rules and regulations.

System manager(s) and address:

Security Officer (Coordinator), Treasury Department, United States Mint, Judiciary Square Building, 633 3rd Street, NW., Washington, DC 20220; Security Officer (Facility Manager), United States Mint, Independence Mall, Philadelphia, PA 19106; Security Officer (Facility Manager), United States Mint, 320 West Colfax Avenue, Denver, CO 80204; Security Officer (Facility Manager), United States Assay Office, 155 Hermann Street, San Francisco, CA 94102; Security Officer (Facility Manager), United States Bullion Depository, West Point, NY 10996; Security Officer (Facility Manager), United States Bullion Depository, Fort Knox, KY 40121.

Notification procedure:

Refer to System manager(s) and address. An employee is free to examine his card record upon request, after properly identifying himself as the subject of record. The following are used as proof of identity: (a) Employee identification: (b) Driver's license; and (c) Other acceptable identifying documents.

Record access procedures:

For information on procedures for gaining access to and contesting records, individuals may contact the following official: Chief, Administrative Programs Division, United States Mint, Judiciary Square Building, 633 3rd Street, NW., Washington, DC 20220.

Contesting record procedures:

Refer to Record access procedures.

Record source categories:

Personal information provided by the employee and identification approval by management staff.

Systems exempted from certain provisions of the act:

None.

Treasury/United States Mint .006

System name:

Employee and Former Employee Travel and Training Accounting Information System—Treasury/United States Mint.

System location:

United States Mint, Judiciary Square Building, 633 3rd Street, NW., Washington, DC 20220; United States Mint, Independence Mall, Philadelphia, PA 19106; United States Mint, 320 West Colfax Avenue, Denver, CO 80204; United States Assay Office, 155 Hermann Street, San Francisco, CA 94102; United States Bullion Depository, West Point, NY 10996; United States Bullion Depository, Fort Knox, KY 40121.

Categories of individuals covered by the system:

Employees and former employees of the United States Mint who have engaged in travel and training.

Categories of records in the system:

(1) SF 1166 Voucher and Schedule of Payments with supporting documents such as: (a) SF 1012 Travel Voucher; (b) SF 1028 Application and Account for Advance of Funds; (2) Travel Authorities; (3) Government Travel Request SF 1169; (4) Request, Authorization, Agreement and Certification of Training.

Authority for maintenance of the system:

5 U.S.C. Chapters 41 and 57.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in the records may be used to disclose information: (a) To accounting offices, managers, supervisors and government officials pertaining to cash receivables and debts owed the Government; (b) To appropriate Federal, state, local, or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license; (c) To a Federal, state, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an employee, or issuance of a security clearance, license, contract, grant, or other benefit; (d) To a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings; (e) To foreign governments in accordance with formal or informal international agreements; (f) To a congressional office in response to an inquiry made at the request of the individual to whom the record pertains; (g) To the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings; (h) To unions recognized as exclusive bargaining representatives under the Civil Service Reform Act of 1978, 5 U.S.C. 7111 and 7114. (i) To third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper documents.

Retrievability:

Name or number substitute.

Safeguards:

Stored in filing cabinets with access by authorized accounting personnel.

Retention and disposal:

General Records Control Schedule, GAO rules and regulations, United States Mint Records Control Schedule are destroyed in accordance with National Archives and Records Administration regulations.

System manager(s) and address:

Financial Manager, United States Mint, Judiciary Square Building, 633 3rd Street, NW., Washington, DC 20220; Budget and Accounting Officer, United States Mint, Independence Mall, Philadelphia, PA 19106; Budget and Accounting Officer, United States Mint, 320 West Colfax Avenue, Denver, CO 80204; Budget and Accounting Officer, United States Assay Office, 155 Hermann Street, San Francisco, CA 94102; Chief, Accounting Division, United States Bullion Depository, West Point, NY 10996; Administrative Officer, United States Bullion Depository, Fort Knox, KY 40121.

Notification procedure:

Refer to System manager(s) and address. An employee or former employee is required to show an identification such as: (a) Employee identification; (b) Driver's license; and (c) Other means of identification including social security number and date of birth.

Record access procedures:

For information on procedures for gaining access to and contesting records, individuals may contact the following official: Chief, Administrative Program Division, United States Mint, Judiciary Square Building, 633 3rd Street, NW., Washington, DC 20220.

Contesting record procedures:

Refer to Record access procedures.

Record source categories:

United States Mint employees and appropriate agency officials.

Systems exempted from certain provisions of the act:

None.

Treasury/United States Mint .007

System name:

Employees, Former Employees and Members of the Public, Occupational Safety and Health, Accident and Injury Records, and Claims for Injuries or Damage Compensation Records—Treasury/United States Mint.

System location:

Location and Category of Records Maintained: United States Mint, Judiciary Square Building, 633 3rd Street, NW., Washington, DC 20220—Accident/Injury/Illness Records, Vehicle Accident, and Claims against the Government; United States Mint, Independence Mall, Philadelphia, PA 19106—Accident/Injury/Illness Records, Health Records, Motor Vehicle Accident Data, Claims against the Government, Safety Equipment Logs, and Operators Training/Licensing; United States Mint, 320 West Colfax Avenue, Denver, CO 80204; Accident/Injury/Illness Records, Health Records, Motor Vehicle Accident Data, Claims against the Government, Safety Equipment Logs, and Operators Licensing; United States Assay Office, 155 Hermann Street, San Francisco, CA 94102; Accident/Injury/Illness Records, Health Records, Motor Vehicle Accident Data, Claims against the Government, Safety Equipment Logs, and Operators Training/Licensing; United States Bullion Depository, West Point, NY 10996; Accident/Injury/Illness Records, Health Records, Motor Vehicle Accident Data, Claims against the Government, and Safety Equipment Logs; United States Bullion Depository, Fort Knox, KY 40121; Accident/Injury/Illness Records, Motor Vehicle Accident Data, and Claims against the Government.

Categories of individuals covered by the system:

United States Mint employees, former employees and members of the public.

Categories of records in the system:

Refer to System location.

Authority for maintenance of the system:

29 U.S.C. 668; E.O. 11807, 28 U.S.C. 2680 et seq; 31 U.S.C. 3701 and 3721; and 31 CFR Parts 3 and 4.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in the records may be used to disclose information: (a) To accounting offices, managers, supervisors and government officials pertaining to cash receivables and debts owed the Government; (b) To appropriate Federal, state, local, or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license; (c) To a Federal, state, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an employee, or issuance of a security clearance, license, contract, grant, or other benefit; (d) To a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings; (e) To foreign governments in accordance with formal or informal international agreements; (f) To a congressional office in response to an inquiry made at the request of the individual to whom the record pertains; (g) To the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings; (h) To unions recognized as exclusive bargaining representatives under the Civil Service Reform Act of 1978, 5 U.S.C. 7111 and 7114. (i) To third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper documents.

Retrievability:

By name.

Safeguards:

Locked containers in Safety Health Office available to authorized personnel only.

Retention and disposal:

Records are retained in accordance with General Records Control Schedules, and United States Mint Records Control Schedules; are destroyed in accordance with National Archives and Records Administration rules and regulations.

System manager(s) and address:

Chief, OSHA/EPA Staff, Treasury Department, United States Mint, Judiciary Square Building, 633 3rd Street, NW., Washington, DC 20220; Safety Officer, United States Mint, Independence Mall, Philadelphia, PA 19106; Safety Manager, United States Mint, 320 West Colfax Avenue, Denver, CO 80204; Safety Manager, United States Assay Office, 155 Hermann Street, San Francisco, CA 94102; Security/Safety Officer, United States Bullion Depository, West Point, NY 10996; Administrative Officer, United States Bullion Depository, Fort Knox, KY 40121.

Notification procedure:

Refer to System manager(s) and address. An employee or former employee is required to show an identification such as: (a) Employee identification; (b) Driver's license; and (c) Other means of identification, including social security number and date of birth.

Record access procedures:

For information on procedures for gaining access to and contesting records, individuals may contact the following official: Chief, Administrative Programs Division, United States Mint, Judiciary Square Building, 633 3rd Street, NW., Washington, DC 20220.

Contesting record procedures:

Refer to Record access procedures.

Record source categories:

Employees, supervisors, medical staff, general public, and visitors to the facilities of the United States Mint.

Systems exempted from certain provisions of the act:

None.

Treasury/United States Mint .009

System name:

Employee-Supervisor Performance, Evaluation, Counseling and Time and Attendance Records—Treasury/United States Mint.

System location:

United States Assay Office, 155 Hermann Street, San Francisco, CA 94102; United States Mint, 320 West Colfax Avenue, Denver, CO 80204; United States Mint, Judiciary Square Building, 633 3rd Street, NW., Washington, DC 20220; United States Mint, Independence Mall, Philadelphia, PA 19106; United States Bullion Depository, Fort Knox, KY 40121; and United States Mint, Matland Building, 10001 Aerospace Road, Lanham, MD 20706.

Categories of individuals covered by the system:

United States Mint employees and former employees.

Categories of records in the system:

Information necessary for managers and supervisors to effectively carry out supervisory responsibilities. Included are such records as: Copies of personnel actions, performance appraisal including production and control, disciplinary actions, overtime reports, tardiness reports, work assignments, training reports, applications for employment, home addresses, leave reports, employee awards. (Supervisors maintain varying combinations of the above records. Some supervisors may maintain all or none of the above records depending upon the nature and size of the operation or organization and the number of individuals supervised.)

Authority for maintenance of the system:

5 U.S.C. 301 and FPM Supplement 990-1, Section 3.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in the records may be used to disclose information: (a) To accounting offices, managers, supervisors and government officials pertaining to cash receivables and debts owed the Government; (b) To appropriate Federal, state, local, or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license; (c) To a Federal, state, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an employee, or issuance of a security clearance, license, contract, grant, or other benefit; (d) To a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings; (e) To foreign governments in accordance with formal or informal international agreements; (f) To a congressional office in response to an inquiry made at the request of the individual to whom the record pertains; (g) To the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings; (h) To unions recognized as exclusive bargaining representatives under the Civil Service Reform Act of 1978, 5 U.S.C. 7111 and 7114. (i) To third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper documents maintained in folders.

Retrievability:

By name.

Safeguards:

Stored in file cabinets and desks of supervisors.

Retention and disposal:

Retained as long as employee is under their supervision.

System manager(s) and address:

Associate and Assistant Directors and Director's Staff, United States Mint, Judiciary Square Building, 633 3rd Street, NW., Washington, DC 20220, and Matland Building, 10001 Aerospace Road, Lanham, MD 20706; Superintendent, United States Mint, Independence Mall, Philadelphia, PA 19106; Superintendent, United States Mint, 320 West Colfax Avenue, Denver, CO 80204; Officer-in-Charge, United States Assay Office, 155 Hermann Street, San Francisco, CA 94102; Officer-in-Charge, United States Bullion Depository, West Point, NY 10996; Officer-in-Charge, United States Bullion Depository, Fort Knox, KY 40121.

Notification procedure:

Refer to System manager(s) and address. Employee or former employee is required to show identification such as: Identification card, driver's license.

Record access procedures:

For information on procedures for gaining access to and contesting records, individuals may contact the following official: Chief, Administrative Programs Division, United States Mint, Judiciary Square Building, 633 3rd Street, NW., Washington, DC 20220.

Contesting record procedures:

Refer to Record access procedures.

Record source categories:

Employees, previous employers, and appropriate agency officials.

Systems exempted from certain provisions of the act:

None.

Treasury/United States Mint .010

System name:

Examination reports of coins forwarded to Mint from U.S. Secret Service—Treasury/United States Mint.

System location:

United States Mint, Judiciary Square Building, 633 3rd Street, NW., Washington, DC 20220.

Categories of individuals covered by the system:

Individuals from whom U.S. Secret Service has seized coins suspected to be counterfeit or fraudulently altered.

Categories of records in the system:

Reports prepared for U.S. Secret Service regarding the examination of the questioned coin or coins by United States Mint.

Authority for maintenance of the system:

18 U.S.C. 331, 485, 486, 489, 490, and 491.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in the records may be used to disclose information: (a) To accounting offices, managers, supervisors and government officials pertaining to cash receivables and debts owed the Government; (b) To appropriate Federal, state, local, or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license; (c) To a Federal, state, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an employee, or issuance of a security clearance, license, contract, grant, or other benefit; (d) To a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings; (e) To foreign governments in accordance with formal or informal international agreements; (f) To a congressional office in response to an inquiry made at the request of the individual to whom the record pertains; (g) To the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings; (h) To unions recognized as exclusive bargaining representatives under the Civil Service Reform Act of 1978, 5 U.S.C. 7111 and 7114. (i) To third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper documents.

Retrievability:

By name.

Safeguards:

Files are kept in locked metal file cabinets in areas accessible only to authorized agency officials.

Retention and disposal:

Retained in accordance with United States Mint Records Control Schedule.

System manager(s) and address:

Assistant Director for Technology, United States Mint, Judiciary Square Building, 633 3rd Street, NW., Washington, DC 20220.

Notification procedure:

Refer to System manager(s) and address.

Record access procedures:

For information on procedures for gaining access to and contesting records, individuals may contact the following official: Chief, Administrative Programs Division, United States Mint, Judiciary Square Building, 633 3rd Street, NW., Washington, DC 20220.

Contesting record procedures:

Refer to Record access procedures.

Record source categories:

United States Secret Service.

Systems exempted from certain provisions of the act:

As authorized by 5 U.S.C. 552a (j) and (k), this system is exempt from the following provisions: subsections (c)(3), (d), (e)(1), (e)(4) (G), (h) and (I) and (f) of 5 U.S.C. 552a.

Treasury/United States Mint .011

System name:

General Correspondence—Treasury/United States Mint.

System location:

United States Mint, Judiciary Square, 633 3rd Street, NW., Washington, DC 20220 and Matland Building, 10001 Aerospace Road, Lanham, MD 20706.

Categories of individuals covered by the system:

Members of the public, Members of Congress, and officials from other Federal agencies.

Categories of records in the system:

Incoming correspondence and replies pertaining to the mission, function and operation of the United States Mint.

Authority for maintenance of the system:

31 U.S.C. 5131 and 5132.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in the records may be used to disclose information: (a) To accounting offices, managers, supervisors and government officials pertaining to cash receivables and debts owed the Government; (b) To appropriate Federal, state, local, or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license; (c) To a Federal, state, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an employee, or issuance of a security clearance, license, contract, grant, or other benefit; (d) To a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings; (e) To foreign governments in accordnace with formal or informal international agreements; (f) To a congressional office in response to an inquiry made at the request of the individual to whom the record pertains; (g) To the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings; (h) To unions recognized as exclusive bargaining representatives under the Civil Service Reform Act of 1978, 5 U.S.C. 7111 and 7114. (i) To third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper documents.

Retrievability:

By name of correspondent.

Safeguards:

Maintained in limited access area available only to appropriate agency officials.

Retention and disposal:

In accordance with the National Archives and Records Administration's General Records Control Schedule and the United States Mint Records Control Schedule. Destroyed in accordance with National Archives and Records Administration regulations.

System manager(s) and address:

Chief, Administrative Programs Division, United States Mint, Judiciary Square Building, 633 3rd Street, NW., Washington, DC 20220.

Notification procedure:

Refer to System Manager for addresses to which inquiries may be addressed and addresses at which the individual may present a request as to whether a system contains records pertaining to himself/herself. The individual must supply his/her name.

Record access procedures:

For information on procedures for gaining access to and contesting records, individuals may contact the following official: Chief, Administrative Programs Division, United States Mint, Judiciary Square Building, 633 3rd Street, NW., Washington, DC 20220.

Contesting record procedures:

Refer to Record access procedures.

Record source categories:

The general public, Members of Congress and Federal officials.

Systems exempted from certain provisions of the act: None.

Treasury/United States Mint .012

System name:

Criminal Investigations Files—Treasury/Mint.

System location:

United States Mint, Judiciary Square Building, 633 3rd Street, NW., Washington, DC 20220.

Categories of individuals covered by the system:

Mint employees and members of the public suspected of criminal misconduct against the United States Mint.

Categories of records in the system:

Name of individual, location of Mint facility, and reports by security personnel of the U.S. Mint.

Authority for maintenance of the system:

Title 18 U.S.C.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in the records may be used to disclose information: (a) To accounting offices, managers, supervisors and government officials pertaining to cash receivables and debts owed the Government; (b) To appropriate Federal, state, local, or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license; (c) To a Federal, state, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an employee, or issuance of a security clearance, license, contract, grant, or other benefit; (d) To a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings; (e) To foreign governments in accordance with formal or informal international agreements; (f) To a congressional office in response to an inquiry made at the request of the individual to whom the record pertains; (g) To the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings; (h) To unions recognized as exclusive bargaining representatives under the Civil Service Reform Act of 1978, 5 U.S.C. 7111 and 7114; (i) To third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper documents.

Retrievability:

By name.

Safeguards:

Files are kept in a locked metal file cabinet in an area accessible to authorized agency officials.

Retention and disposal:

Retained in accordance with United States Mint Records Control Schedule; are destroyed in accordance with National Archives and Records Administration rules and regulations.

System manager(s) and address:

Mint Security Office, United States Mint, Judiciary Square Building, 633 3rd Street, NW., Washington, DC 20220.

Notification procedure: Refer to System manager(s) and address.

Record access procedures:

For information on procedures for gaining access to and contesting records, individuals may contact the following officials: Chief, Administrative Programs Division, United States Mint, Judiciary Square Building, 633 3rd Street, NW., Washington, DC 20220.

Contesting record procedures:

Refer to Record access procedures.

Record source categories:

United States Mint and other law enforcement officials.

Systems exempted from certain provisions of the act: As authorized by 5 U.S.C. 552a (j) and (k), this system is exempt from the following provisions, subsections (c)(3), (d), (e)(1), (e)(4) (G), (H), and (I) and (f) of 5 U.S.C. 552a.

Treasury/United States Mint .013

System name:

Numismatic Coin Operations System (NUCOS) Records; Customer Mailing List, Order Processing Record for Coin Sets, Medals and Numismatic Items, and Records of Undelivered Orders—Treasury/Mint.

System location:

United States Mint, Judiciary Square Building, 633 3rd Street, NW., Washington, DC 20220 and Matland Building, 10001 Aerospace Road, Lanham, MD 20706.

Categories of individuals covered by the system:

Members of the public.

Categories of records in the system:

Names, addresses, order history of customers purchasing numismatic items and of individuals who wish to receive notification of numismatic offerings by the Mint.

Authority for maintenance of the system:

31 U.S.C. 5111, 5112, 5132 and 31 CFR Part 92.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in the records may be used to disclose information: (a) To accounting offices, managers, supervisors and government officials pertaining to cash receivables and debts owed the Government; (b) To appropriate Federal, state, local, or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license; (c) To a Federal, state, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an employee, or issuance of a security clearance, license, contract, grant, or other benefit; (d) To a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings; (e) To foreign governments in accordance with formal or informal international agreements; (f) To a congressional office in response to an inquiry made at the request of the individual to whom the record pertains; (g) To the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings; (h) To unions recognized as exclusive bargaining representatives under the Civil Service Reform Act of 1978, 5 U.S.C. 7111 and 7114. (i) To third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Magnetic tape, discs, paper and cards:

Retrievability:

Name, customer number or order number.

Safeguards:

CRT, password protection; only designated persons may request computer generated reports. Access to any information pertaining to any individual is limited to only those individuals requiring the information to accommodate handling of transactions with the customers. Separation of functions; source documents maintained in one division and programming systems in another.

Retention and disposal:

In accordance with the National Archives and Records Administration General Records Control Schedule and the United States Mint Records Control Schedule; are destroyed in accordance with National Archives and Records Administration regulations. Order cards are retained two weeks then shredded; reports are retained three months then shredded. Customer names and addresses are maintained as long as they are active.

System manager(s) and address:

Associate Director for Marketing, Judiciary Square Building, 633 3rd Street, NW., Washington, DC 20220.

Notification procedure:

Refer to System manager(s) and address. Individuals should supply order number as provided on order card or copy of both sides of cancelled check; customer number which appears on pre-punched order cards or on face of check.

Record access procedures:

For information on procedures for gaining access to and contesting records, individuals may contact the following official: Chief, Administrative Programs Division, United States Mint, Judiciary Square Building, 633 3rd Street, NW., Washington, DC 20220.

Contesting record procedures:

Refer to Record access procedures.

Record source categories:

Members of the public and appropriate government officials.

Systems exempted from certain provisions of the act: None.

Treasury/United States Mint .014

System name:

Purchases, Sales, Exchange and Assays of Precious Metals—Treasury/United States Mint.

System location:

United States Mint, Judiciary Square Building, 633 3rd Street, NW., Washington, DC 20220; United States Mint, Independence Mall, Philadelphia, PA 19106; United States Mint, 320 West Colfax Avenue, Denver, CO 80204; United States Assay Office, 155 Hermann Street, San Francisco, CA 94102; United States Bullion Depository, West Point, NY 10996.

Categories of individuals covered by the system:

General public and Government agencies who had precious metal transactions with the United States Mint.

Categories of records in the system:

Bar schedules, deposit tickets, reports on special assays, records of sales and purchases of previous metals.

Authority for maintenance of the system:

31 U.S.C. 5116, 5121, 5122, 5131, 5132 and 31 CFR Parts 90 and 92.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in the records may be used to disclose information: (a) To accounting offices, managers, supervisors and government officials pertaining to cash receivables and debts owed the Government; (b) To appropriate Federal, state, local, or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license; (c) To a Federal, state, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an employee, or issuance of a security clearance, license, contract, grant, or other benefit; (d) To a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings; (e) To foreign governments in accordance with formal or informal international agreements; (f) To a congressional office in response to an inquiry made at the request of the individual to whom the record pertains; (g) To the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings; (h) To unions recognized as exclusive bargaining representatives under the Civil Service Reform Act of 1978, 5 U.S.C. 7111 and 7114. (i) To third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper documents and computer magnetic tapes:

Retrievability:

Name or assay number.

Safeguards:

Metal file cabinet with locks and secured area available to authorized personnel only.

Retention and disposal:

United States Mint Records Control Schedule.

System manager(s) and address:

Financial Manager, United States Mint, Judiciary Square Building, 633 3rd Street, NW., Washington, DC 20220; Budget and Accounting Officer, United States Mint, Independence Mall, Philadelphia, PA 19106; Budget and Accounting Officer, United States Mint, 320 West Colfax Avenue, Denver, CO 80204; Budget and Accounting Officer, United States Assay Office, 155 Hermann Street, San Francisco, CA 94102; Chief, Accounting Division, United States Bullion Depository, West Point, NY 10996.

Notification procedure:

Refer to System manager(s) and address. Member of the general public or Government agency is required to produce proper identification to satisfy the System Manager.

Record access procedures:

For information on procedures for gaining access to and contesting records, individuals may contact the following official: Chief, Administrative Programs Division, United States Mint, Judiciary Square Building, 633 3rd Street, NW., Washington, DC 20220.

Contesting record procedures:

Refer to Record access procedures.

Record source categories:

General public; agency officials; and other Federal agencies.

Systems exempted from certain provisions of the act: None.

Treasury/United States Mint .015

System name:

Redemption of Uncurrent or Mutilated Coins—Treasury/United States Mint.

System location:

United States Mint, Independence Mall, Philadelphia, PA 19106.

Categories of individuals covered by the system:

General public, financial institutions, and other Government agencies.

Categories of records in the system:

Records of names, addresses and reference numbers pertaining to those submitting mutilated or uncurrent coins for exchange.

Authority for maintenance of the system:

31 U.S.C. 5120 and 31 CFR Part 100.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in the records may be used to disclose information: (a) To accounting offices, managers, supervisors and government officials pertaining to cash receivables and debts owed the Government; (b) To appropriate Federal, state, local, or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license; (c) To a Federal, state, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an employee, or issuance of a security clearance, license, contract, grant, or other benefit; (d) To a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings; (e) To foreign governments in accordance with formal or informal international agreements; (f) To a congressional office in response to an inquiry made at the request of the individual to whom the record pertains; (g) To the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings; (h) To unions recognized as exclusive bargaining representatives under the Civil Service Reform Act of 1978, 5 U.S.C. 7111 and 7114. (i) To third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper documents.

Retrievability:

By name or reference number.

Safeguards:

Metal file cabinet with lock.

Retention and disposal:

Retained in accordance with United States Mint Records Control Schedule; are destroyed in accordance with National Archives and Records Administration rules and regulations.

System manager(s) and address:

Budget and Accounting Officer, United States Mint, Independence Mall, Philadelphia, PA 19106.

Notification procedure:

Refer to System manager(s) and address. Individual is required to supply name and if available, reference and/or settlement number.

Record access procedures:

For information on procedure for gaining access to and contesting records, individuals may contact the following official: Chief, Administrative Programs Division, United States Mint, Judiciary Square Building, 633 3rd Street, NW., Washington, DC 20220.

Contesting record procedures:

Refer to Record access procedures.

Record source categories:

General public, Financial institutions, and other Government agencies.

Systems exempted from certain provisions of the act: None.

Treasury/United States Mint .016

System name:

Grievances. Union/Agency Negotiated—Treasury/United States Mint.

System location:

United States Mint, Judiciary Square Building, 633 3rd Street, NW., Washington, DC 20220; United States Mint, Independence Mall, Philadelphia, PA 19106; United States Mint, 320 West Colfax Avenue, Denver, CO 80204; United States Assay Office, 155 Hermann Street, San Francisco, CA 94102; United States Bullion Depository, West Point, NY 10996; United States Bullion Depository, Fort Knox, KY 40121.

Categories of individuals covered by the system:

Employees and former employees of the United States Mint.

Categories of records in the system:

This system of records contains information or documents relating to employee grievances filed under provisions of negotiated grievance procedures, including decision of appropriate third parties where applicable.

Authority for maintenance of the system:

Executive Orders 11491, 11616, 11636, and 11838; negotiated agreements between the United States Mint and exclusively recognized labor unions.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in the records may be used to disclose information: (a) To accounting offices, managers, supervisors and government officials pertaining to cash receivables and debts owed the Government; (b) To appropriate Federal, state, local, or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license; (c) To a Federal, state, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an employee, or issuance of a security clearance, license, contract, grant, or other benefit; (d) To a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings; (e) To foreign governments in accordance with formal or informal international agreements; (f) To a congressional office in response to an inquiry made at the request of the individual to whom the record pertains; (g) To the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings; (h) To unions recognized as exclusive bargaining representatives under the Civil Service Reform Act of 1978, 5 U.S.C. 7111 and 7114. (i) To third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

These records are maintained in file folders or binders.

Retrievability:

These reccords are filed by the names of the individuals on whom they are maintained or by the subject of the grievance.

Safeguards:

Access to and use of these records are limited to those agency officials whose official duties require such access.

Retention and disposal:

Retained in accordance with the United States Mint Records Control Schedules; are destroyed in accordance with National Archives and Records Administration rules and regulations.

System manager(s) and address:

For current and former employees: Personnel Officer, United States Mint, Department of the Treasury, Judiciary Square Building, 633 3rd Street, NW., Washington, DC 20220. Personnel Officer United States Mint, Independence Mall, Philadelphia, PA 19106. Personnel Officer, United States Mint, 320 West Colfax Avenue, Denver, CO 80204. Personnel Officer, United States Assay Office, 155 Hermann Street, San Francisco, CA 94102. Administrative Officer, United States Bullion Depository, West Point, NY 10996. Administrative Officer, United States Bullion Depository, Fort Knox, KY 40121.

Notification procedure:

Individuals who have filed a grievance are aware of that fact and have been provided a copy of the record. They may, however, contact the Personnel Officer indicated above regarding the existence of such records pertaining to them. It is necessary to furnish information sufficient to verify the identity of the requester such as full name, date of birth, a brief description of the grievance and the approximate date of submission.

Record access procedures:

Individuals who have filed a grievance about a decision or determination made by an agency or about conditions existing in an agency already have been provided a copy of the record. The contest, amendment, or correction of a grievance record is permitted during the prosecution of the grievance to whom the record pertains. However, after a grievance case has been closed, an individual may gain access to, or contest the official copy of the grievance record by writing the appropriate Personnel Officer indicated above. Individuals should provide their name, date of birth, a brief description of the grievance and the approximate date of submission.

Contesting record procedures:

Refer to Record access procedures.

Record source categories:

The sources of these records are as follows: (a) Individual to whom the record pertains; (b) Agency officials; (c) Affidavits or statements from employee(s); (d) Testimonies of witnesses; (e) Official documents and correspondence relating to the grievance.

Systems exempted from certain provisions of the act: None.

Treasury/BPD .001

System name:

Personnel and Administrative Records—Treasury/BPD.

System location:

Bureau of the Public Debt: Washington, DC; Parkersburg, WV; Ravenswood, WV. Federal Records Center: St. Louis, MO.

Categories of individuals covered by the system:

Past, present, and prospective employees.

Categories of records in the system:

All personnel records not mentioned in this system, but maintained at the Bureau, are considered to belong to the Office of Personnel Management and will be reported by that agency. (1) Personnel Folders (Temporary side): Contain the following types of records or information apart from official records, but which may duplicate or supplement official records: Pre-employment records and vouchers; orientation records; requests for personnel action; requests for training; performance evaluation records; letters of reference; debt correspondence; correspondence between an employee and the personnel office; disciplinary action papers; duplicate copies of personnel actions; payroll, leave, and retirement benefits data; compensation forms and reports relating hereto; tax check records; reduction-in-force data; requests for outside employment; merit promotion applications; and credit and employment verification. (2) Locator File: Contains the employee's office and home address and telephone numbers, emergency notification information, and indication of permission or denial to disclose this information upon inquiry. (3) Applications for Employment File: Contains inquiries concerning employment, applicants' résumés, and correspondence. (4) Career Development Program for Lower Level Employees (CADE) Files: Contain, but are not limited to, all pertinent information, such as applications, vouchers, correspondence, developmental plans, and appraisal forms of candidates for the program. (5) Security Investigation Files: Contain background information and the results of investigations conducted by Internal Revenue Service, U.S. Secret Service, or other federal agencies, on Bureau attorneys and certain other employees. (6) Awards Case Files: Contain reports and background data concerning awards for employees. (7) Informal Equal Employment Opportunity Complaint Files: Contain records of informal EEO complaints and discussions thereon which have not reached the level of formal complaints. (8) Administrative Grievance Files: Contain informal or formal grievance complaints and background documentation. (9) General Correspondence Files:Contain inquiry and reply letters and documentation concerning general administrative, policy, transactional, and personnel matters. (10) Union-related Files: Contain formal, informal, contractual, and administrative grievance complaints; background documentation; and reports of union dues participation. (11) Merit Promotion Files: Contain records of competitive promotion actions, including, but not limited to, vacancy announcements, candidates considered, assessments of candidates, and disposition of applications. (12) Exit Interview Files: Contain records of an employee's critique of the Bureau, final interview, and supervisors' recommendations. (13) Suitability Files: Contain information documenting the suitability for employment of prospective and current employees, such as arrest records, National Agency checks, and background information. (14) Budget Files: (a) Employee Travel Records File: Contains travel vouchers, authorizations, and receipts for travel which an employee performed in connection with official business and which is reimbursable by government funds. (b) Comprehensive Listing of Employee Master File: Contains salary, grade, leave, retirement, health-life insurance, tax, payroll deduction, and other information. (c) Time and Attendance Records: Contain the daily posting of an employee's leave and attendance. (15) Medical Records File: Contains pre-appointment and fitness-for-duty medical reports and records. (16) Employee Relations Files: Contain, but are not limited to, retirement and compensation information. (17) Confidential Financial Statements File: Contains personal financial statements required by certain employees as defined in the Department's Minimum Standards of Conduct. (18) Classification Appeals File: Contains statements and pertinent information relating to the adjudication of an appeal. (19) History of Employment File: Contains service record cards.

Authority for maintenance of the system:

Title 5 U.S.C.; Federal Personnel Manual; and Executive Order 11478, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

A record or information from a record maintained in this system of records may be disclosed as a routine use: (1) To the Office of Personnel Management or the Merit Systems Protection Board upon authorized request; (2) to other federal agencies for the purpose of their hiring; (3) to other federal agencies, state unemployment agencies, and others when necessary for employee compensation; (4) to contractors of the Department for the purpose of processing personnel and pay records; (5) to creditors or potential creditors to verify debt complaints or employment data; (6) to next-of-kin, voluntary guardians, and other representative or successor in interest of a deceased or incapacitated employee or former employee; (7) to other federal agencies to effect salary or administrative offset for the purpose of collecting a debt; (8) to a consumer reporting agency, including mailing addresses obtained from the Internal Revenue Service to obtain credit reports; (9) to a debt collection agency, including mailing addresses obtained from the Internal Revenue Service, for debt collection services; (10) to appropriate Federal, State, local, or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation; (11) to a Federal, State, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit; (12) to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations or in connection with criminal law proceedings or in response to a subpoena; (13) to unions recognized as exclusive bargaining representatives under the Civil Service Reform Act of 1978, 5 U.S.C. 7111 and 7114, arbitrators, and other parties responsible for the administration of the federal labor-management program if needed in the performance of their authorized duties; (14) to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation; and (15) to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains.

Disclosure to consumer reporting agencies:

Debt information concerning a Government claim against an employee is also furnished, in accordance with 5 U.S.C. 552a(b)(12) and section 3 of the Debt Collection Act of 1982, to consumer reporting agencies to encourage repayment of an overdue debt.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Electronic media, paper, and microform.

Retrievability:

By name or Social Security number.

Safeguards:

Information is contained in secure buildings, Federal Records Centers, or in areas which are occupied by officers and responsible employees of the Bureau who are subject to the Bureau's personnel screening procedures and to the Treasury Department Code of Conduct. Information stored in electronic media is safeguarded by automatic data processing security procedures in addition to physical security measures.

Retention and disposal:

Records are maintained in accordance with National Archives and Records Administration (NARA) and OPM retention schedules. All records are destroyed by incineration, maceration, or shredding. Records in electronic media are electronically erased using accepted techniques.

System manager(s) and address:

For administrative records—Commissioner, Bureau of the Public Debt, Washington, DC 20239. For personnel records—Director, Division of Personnel Management, Bureau of the Public Debt, Washington, DC 20239.

Notification procedure:

Address administrative inquiries and initial requests for correction of records to: Privacy Act Request, Commissioner, Bureau of the Public Debt, Washington, DC 20239, (202) 376-4307. Address personnel inquiries and initial requests for correction of records to: Privacy Act Request, Director, Division of Personnel Management, Bureau of the Public Debt, Washington, DC 20239, (202) 447-1297; or Privacy Act Request, Personnel Officer, Savings Bond Operations Office, Bureau of the Public Debt, 200 Third Street, Parkersburg, WV 26106, (304) 420-6143.

Record access procedures:

Individuals who wish to request access to records relating to them or who wish to request correction of records they believe to be in error should submit such requests pursuant to the procedures set out below in compliance with the applicable regulations (31 CFR Part 1, Subpart C). Requests which do not comply fully with these procedures may result in noncompliance with the request, but will be answered to the extent possible.

Requests for access to records: (1) A request for access to records should be in writing, signed by the individual concerned, and clearly indicate that the request is made pursuant to the Privacy Act of 1974. The Bureau reserves the right to require additional verification of an individual's identity. (2) The request must specify the Bureau system of records within which the desired records are located as well as the categories of records within the system. These categories are set out in the applicable system of records description. (3) Requests for records concerning a deceased or incapacitated individual should be accompanied either by evidence of the requester's appointment as legal representative of the estate or the individual or by a statement attesting that no such representative has been appointed and giving the nature of the relationship between the requester and the individual. (4) The request must state whether the requester wishes to be notified that the record exists or desires to inspect or obtain a copy of the record. If a copy of the record is desired, the requester must agree to pay the fees for copying the documents in accordance with 31 CFR Part 1, Subpart C.

Requests for correction of records: (1) A request by an individual for correction of records should be in writing, be signed, and clearly state that the request is made pursuant to the Privacy Act of 1974. (2) The request for correction should specify: (a) The dates of records in question, (b) the specific records alleged to be incorrect, (c) the correction requested, and (d) the reasons therefor. (3) The request must include any available evidence in support of the request.

Appeals from an initial denial of a request for correction of records: (1) An appeal from an initial denial of a request for correction of records must be in writing, be signed by the individual involved, and clearly state that it is made pursuant to the Privacy Act of 1974. (2) All appeals must, to be handled under the Privacy Act procedures, be delivered to the address set forth for submission of appeals within 35 days of the individual's receipt of the initial denial of the requested correction. (3) All appeals must also specify: (a) The records to which the appeal relates, (b) the date of the initial request made for correction of the records, and (c) the date that the initial denial of the request for correction was received. (4) All appeals must also specify the reasons for the requester's disagreement with the initial denial of correction and must include any applicable supporting evidence. (5) Appeals should be addressed to the Commissioner, Bureau of the Public Debt, Washington, DC 20239, or as otherwise provided in the applicable appendix to 31 CFR Part 1, Subpart C.

Contesting record procedures:

See "Notification Procedure" and "Record Access Procedures."

Record source categories:

Information on records in the system is furnished by the individuals listed in "Categories of Individuals" or their authorized representatives, by creditors, by supervisors, medical personnel, other employees, or as the result of security investigations.

Systems exempted from certain provisions of the act: None.

Treasury/BPD .002

System name:

United States Savings Type Securities—Treasury/BPD.

System location:

Bureau of the Public Debt: Washington, DC 20239; Parkersburg, WV 26106; and Ravenswood, WV 26164. Federal Reserve Banks and Branches located at: Atlanta, GA; Baltimore, MD; Birmingham, AL; Boston, MA; Buffalo, NY; Charlotte, NC; Chicago, IL; Cincinnati, OH; Cleveland, OH; Dallas, TX; Denver, CO; Detroit, MI; El Paso, TX; Jacksonville, FL; Helena, MT; Houston, TX; Kansas City, MO; Little Rock, AR; Louisville, KY; Los Angeles, CA; Memphis, TN; Miami, FL; Minneapolis, MN; Nashville, TN; New Orleans, LA; New York, NY; Oklahoma City, OK; Omaha, NE; Philadelphia, PA; Pittsburgh, PA; Portland, OR; Richmond, VA; Salt Lake City, UT; San Antonio, TX; San Francisco, CA; Seattle, WA; and St. Louis, MO. Federal Records Centers located at: Waltham, MA; New York, NY; Bayonne, NJ; Philadelphia, PA; Washington, DC; East Point, GA; Chicago, IL; Dayton, OH; Kansas City, MO; St. Louis, MO; Fort Worth, TX; Denver, CO; San Bruno, CA; Laguna Niguel, CA; and Seattle, WA.

Categories of individuals covered by the system:

Present and former owners of, claimants to, persons entitled to, and inquirers concerning United States savings-type securities and interest thereon—including, but not limited to, United States Savings Bonds, Savings Notes, Retirement Plan Bonds, and Individual Retirement Bonds.

Categories of records in the system:

(1) Issuance: Records relating to registration, issuance, and correspondence in connection with issuance of savings-type securities. (2) Holdings: Records documenting ownership, status, payments by date and account numbers, and inscription information; interest activity; correspondence in connection with notice of change of name and address; non-receipt or over- and underpayments of interest and principal; and numerical registers of ownership. Such records include information relating to savings-type securities held in safekeeping in conjunction with the Department's program to deliver such securities to the owners or persons entitled. (3) Transactions (redemptions, payments, and reissues): Records, which include securities transaction requests; interest activity; legal papers supporting transactions; applications for disposition or payment of securities and/or interest thereon of deceased or incapacitated owners; records of retired securities; and payment records. (4) Claims: Records including correspondence concerning lost, stolen, destroyed or mutilated savings-type securities; bonds of indemnity; legal documents supporting claims for relief; and records of caveats entered. (5) Inquiries: Records of correspondence with individuals who have requested information concerning savings-type securities and/or interest thereon.

Authority for maintenance of the system:

31 U.S.C. 3101 et seq. and 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

A record or information from a record maintained in this system of records may be disclosed as a routine use: (1) To agents or contractors of the Department for the purpose of administering the public debt of the United States; (2) to next-of-kin, voluntary guardian, legal representative or successor in interest of a deceased or incapacitated owner of securities and others entitled to the reissue, distribution, or payment for the purpose of assuring equitable and lawful disposition of securities and interest; (3) to either co-owner for bonds registered in that form or to the beneficiary for bonds registered in that form, provided that acceptable proof of death of the owner is submitted; (4) to the Internal Revenue Service for the purpose of facilitating collection of the tax revenues of the United States; (5) to the Department of Justice in connection with lawsuits to which the Department of the Treasury is a party or to trustees in bankruptcy for the purpose of carrying out their duties; (6) to the Veterans Administration and selected veterans publications for the purpose of locating owners or other persons entitled to undeliverable bonds held in safekeeping by the Department; (7) to other federal agencies to effect salary or administrative offset for the purpose of collecting debts; (8) to a consumer reporting agency, including mailing addresses obtained from the Internal Revenue Service, to obtain credit reports; (9) to a debt collection agency, including mailing addresses obtained from the Internal Revenue Service, for debt collection services; (10) to contractors conducting Treasury-sponsored surveys, polls, or statistical analyses relating to the marketing or administration of the public debt of the United States; (11) to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license; (12) to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations or in connection with criminal law proceedings or in response to a subpoena; (13) to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains; (14) To disclose through computer matching information on individuals owing debts to the Bureau of the Public Debt to other Federal agencies for the purpose of determining whether the debtor is a Federal employee or retiree receiving payments which may be used to collect the debt through administrative or salary offset; (15) to disclose through computer matching information on holdings of savings-type securities to requesting Federal agencies under approved agreements limiting the information to that which is relevant in making a determination of eligibility for Federal benefits administered by those agencies; (16) To disclose through computer matching, information on individuals, with whom the Bureau of the Public Debt has lost contact, to other Federal agencies for the purpose of utilizing letter forwarding services to advise these individuals that they should contact the Bureau about returned payments and/or matured unredeemed securities.

Disclosure to consumer reporting agencies:

Debtor information is also furnished, in accordance with 5 U.S.C. 552a(b)(12) and section 3 of the Debt Collection Act of 1982, to consumer reporting agencies to encourage repayment of an overdue debt.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records in this system are stored in their original form in file cabinets, as information in electronic media, or on microform.

Retrievability:

Information can be retrieved alphabetically by name, bond serial numbers, or, in some cases, numerically by social security number. In the case of securities, except Series G savings bonds, registered in more than one name, information relating thereto can only be retrieved by the name, or, in some cases, the social security number of the first-named co-owner.

Safeguards:

Information is contained in secure buildings, Federal Records Centers, or in areas which are occupied either by officers and responsible employees of the Department who are subject to personnel screening procedures and to the Treasury Department Code of Conduct or by agents of the Department who are required by the Department to maintain proper control over records while in their custody. Additionally, since in most cases, numerous steps are involved in the retrieval process, unauthorized persons would be unable to retrieve information in meaningful form. Information stored in electronic media is safeguarded by automatic data processing security procedures in addition to physical security measures.

Retention and disposal:

Records of holdings, forms, documents, and other legal papers which constitute the basis for transactions subsequent to original issue are maintained for such time as is necessary to protect the legal rights and interests of the United States Government and the persons affected, or otherwise until they are no longer historically significant. Other records are disposed of at varying intervals in accordance with records retention schedules reviewed and approved by the National Archives and Records Administration (NARA). All records are destroyed by shredding, incineration, or maceration. Records in electronic media are electronically erased using accepted techniques.

System manager(s) and address:

Commissioner, Bureau of the Public Debt, Washington, DC 20239.

Notification procedure:

Address inquiries and initial requests for correction of records to: Privacy Act Request, Assistant Commissioner, Savings Bond Operations Office, Bureau of the Public Debt, Parkersburg, WV 26106, (304) 420-6402. Inquiries should include the full name, social security number, address, and security serial number(s), if known.

Record access procedures:

Individuals who wish to request access to records relating to them or who wish to request correction of records they believe to be in error should submit such requests pursuant to the procedures set out below in compliance with the applicable regulations (31 CFR Part 1, Subpart C). Requests which do not comply fully with these procedures may result in noncompliance with the request, but will be answered to the extent possible.

Requests for access to records: (1) A request for access to records must be in writing, signed by the individual concerned, clearly indicate that the request is made pursuant to the Privacy Act of 1974. The Bureau reserves the right to require additional verification of an individual's identity. (2) The request must specify the Bureau system of records within which the desired records are located as well as the categories of records within the system. These categories are set out in the applicable system of records description. (3) In the case of requests for information concerning holdings of securities, the type of security involved (e.g., Series E and EE savings bonds, Series H and HH savings bonds, savings notes, retirement plan bonds) must be specified. Additionally, the request should, to the extent possible, specify: The approximate date of issue, serial number(s), exact form of registration, social security number and address. Requests which do not furnish all or some of the above information will be complied with to the extent possible, but may be subject to the requirement that additional identifying evidence be furnished. (4) Requests for information concerning records of holdings of securities, except Series G savings bonds registered in co-ownership form, must be accompanied by the name and, wherever possible, the social security number of the first-named co-owner. Requests for information concerning securities registered in beneficiary form must also be accompanied by the name and social security number of the owner thereof and, if made by the beneficiary, must be accompanied by proof of death of the registered owner. (5) Requests for records of holdings or other information concerning a deceased or incapacitated individual should be accompanied either by evidence of the requester's appointment as legal representative of the estate or the individual or by a statement attesting that no such representative has been appointed and giving the nature of the relationship between the requester and the individual. (6) The request must state whether the requester wishes to be notified that the record exists or desires to inspect or obtain a copy of the record. If a copy of the record is desired, the requester must agree to pay the fees for copying the documents in accordance with 31 CFR Part 1, Subpart C.

Requests for correction of records: (1) A request by an individual for correction of records should be in writing, be signed, and clearly state that the request is made pursuant to the Privacy Act of 1974. (2) The request for correction should specify: (a) The dates of the prior correspondence with the Bureau concerning the records in question; (b) the specific records alleged to be incorrect; (c) the correction requested; and (d) the reasons therefor. (3) The request must include any available evidence in support of the request.

Appeals from an initial denial of a request for correction of records: (1) An appeal from an initial denial of a request for correction of records must be in writing, be signed by the individual involved and clearly state that it is made pursuant to the Privacy Act of 1974. (2) All appeals must, to be handled under the Privacy Act procedures, be delivered to the address set forth for submission of appeals within 35 days of the individual's receipt of the initial denial of the requested correction. (3) All appeals must specify: (a) The records to which the appeal relates, (b) the date of the initial request made for correction of the records, and (c) the date that initial denial of the request for correction was received. (4) All appeals must also specify the reasons for the requester's disagreement with the initial denial of correction and must include any applicable supporting evidence. (5) Appeals should be addressed to the Commissioner, Bureau of the Public Debt, Washington, DC 20239, or as otherwise provided in the applicable appendix to 31 CFR Part 1, Subpart C.

Contesting record procedures:

See "Notification Procedure" and "Record Access Procedures."

Record source categories:

Information on records in this system is furnished by the individuals or their authorized representatives as listed in "Categories of Individuals" and issuing agents for securities or is generated within the system itself.

Systems exempted from certain provisions of the act: None.

Treasury/BPD .003

System name:

United States Securities (Other than Savings Type Securities)—Treasury/BPD.

System location:

Bureau of the Public Debt: Washington, DC 20239; Parkersburg, WV 26106; and Ravenswood, WV 26164; Federal Reserve Banks and Branches located at: Atlanta, GA; Baltimore, MD; Birmingham, AL; Boston, MA; Buffalo, NY; Charlotte, NC; Chicago, IL; Cincinnati, OH; Cleveland, OH; Dallas, TX; Denver, CO; Detroit, MI; El Paso, TX; Jacksonville, FL; Helena, MT; Houston, TX; Kansas City, MO; Little Rock, AR; Louisville, KY; Los Angeles, CA; Memphis, TN; Miami, FL; Minneapolis, MN; Nashville, TN; New Orleans, LA; New York, NY; Oklahoma City, OK; Omaha, NE; Philadelphia, PA; Pittsburgh, PA; Portland, OR; Richmond, VA; Salt Lake City, UT; San Antonio, TX; San Francisco, CA; Seattle, WA; and St. Louis, MO. Federal Records Centers located at: Waltham, MA; New York, NY; Bayonne, NJ; Philadelphia, PA; Washington, DC; East Point, GA; Chicago, IL; Dayton, OH; Kansas City, MO; St. Louis, MO; Fort Worth, TX; Denver, CO; San Bruno, CA; Laguna Niguel, CA, and Seattle, WA.

Categories of individuals covered by the system:

Present and former owners of, subscribers to, claimants to, persons entitled to, and inquirers concerning United States Treasury securities (except savings-type securities) and interest thereon and such securities for which the Treasury acts as agent including, but not limited to, Treasury Bonds, Notes and Bills; Adjusted Service Bonds;

Armed Forces Leave Bonds; and Federal Housing Administration Debentures.

Categories of records in the system:

(1) Issuance: Records relating to tenders, bids, subscriptions, advices of shipment, requests (applications) for original issue, and correspondence concerning erroneous issue and nonreceipt of securities. (2) Holdings: Records of ownership and interest activity on registered or recorded United States securities (other than savings-type securities); change of name and address notices; correspondence concerning errors in registration or recordation; nonreceipt or over and underpayments of interest and principal; records of interest activity; records of unclaimed accounts; and letters concerning the New York State tax exemption for veterans of World War I. (3) Transactions (redemptions, payments, reissues, transfers, and exchanges): Records which include securities transaction requests; legal papers supporting transactions; applications for transfer, disposition, or payment of securities of deceased or incompetent owners; records of Federal estate tax transactions; certificates of ownership covering paid overdue bearer securities; records of erroneous redemption transactions; records of retired securities; and payment records. (4) Claims: Records including correspondence concerning lost, stolen, destroyed, or mutilated United States securities (other than savings-type securities) or securities for which the Treasury acts as agent and interest coupons thereon; bonds of indemnity; legal documents supporting claims for relief; and records of caveats entered. (5) Inquiries: Records of correspondence with individuals who have requested information concerning United States Treasury securities (other than savings-type securities) or securities for which the Treasury acts as agent. (6) All the above categories of records except "(4) Claims" include records of Treasury Bills, notes, and bonds in the TREASURY DIRECT Book-entry Securities System.

Authority for maintenance of the system:

31 U.S.C. 3101 et seq. and 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

A record or information from a record maintained in this system of records may be disclosed as a routine use: (1) To agents or contractors of the Department for the purpose of administering the public debt of the United States; (2) to next-of-kin, voluntary guardian, legal representative or successor in interest of a deceased or incapacitated owner of securities and others entitled upon transfer, exchange, distribution, or payment for the purpose of assuring equitable and lawful disposition of securities and interest; (3) to any of the owners if the related securities are registered or recorded in the names of two or more owners; (4) to the Internal Revenue Service for the purpose of facilitating the collection of the tax revenues of the United States; (5) to the Department of Justice in connection with lawsuits to which the Department of the Treasury is a party or to trustees in bankruptcy for the purpose of carrying out their duties; (6) to the Veterans Administration when it relates to the holdings of Armed Forces Leave Bonds to facilitate the redemption or disposition of these securities; (7) to other federal agencies to effect salary or administrative offset for the purpose of collecting debts; (8) to a consumer reporting agency, including mailing addresses obtained from Internal Revenue Service, to obtain credit reports; (9) to a debt collection agency including mailing addresses obtained from the Internal Revenue Service, for debt collection services; (10) to contractors conducting Treasury-sponsored surveys, polls, or statistical analyses relating to marketing or administration of the public debt of the United States; (11) to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing a statute, rule, regulation, order, or license; (12) to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations or in connection with criminal law proceedings or in response to a subpoena; (13) to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains. See "Requests for Access to Records" for information furnished to individuals requesting access to records relating to them; (14) to disclose through computer matching information on individuals owing debts to the Bureau of the Public Debt to other Federal agencies for the purpose of determining whether the debtor is a Federal employee or retiree receiving payments which may be used to collect the debt through administrative salary offset; (15) to disclose through computer matching information on holdings of Treasury securities to requesting Federal agencies under approved agreements limiting the information to that which is relevant in making a determination of eligibility for Federal benefits administered by those agencies; (16) To disclose through computer matching, information on individuals, with whom the Bureau of the Public Debt has lost contact, to other Federal agencies for the purpose of utilizingtheir letter forwarding services to advise these individuals that they should contact the Bureau about returned payments and/or matured unredeemed securities.

Disclosure to consumer reporting agencies:

Debtor information is also furnished, in accordance with 5 U.S.C. 552a(b)(12) and section 3 of the Debt Collection Act of 1982, to consumer reporting agencies to encourage repayment of an overdue debt.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records in this system are stored in their original form in file cabinets, as information in electronic media, or on microform.

Retrievability:

Information can be retrieved by Social Security or account number, or, in some cases, alphabetically by name or numerically by security serial number. In the case of securities registered in more than one name, information relating thereto can generally only be retrieved by Social Security number or by the name of the first-named owner.

Safeguards:

Information is contained in secure buildings, Federal Records Centers, or in areas which are occupied either by officers and responsible employees of the Department who are subject to personnel screening procedures and to the Treasury Department Code of Conduct or by agents of the Department who are required by the Department to maintain proper control over records while in their custody. Additionally, since in most cases, numerous steps are involved in the retrieval process, unauthorized persons would be unable to retrieve information in a meaningful form. Information stored in electronic media is safeguarded by automatic data processing security procedures in addition to physical security measures. Additionally, for those categories of records stored in computers with terminal access, the information cannot be obtained or modified without proper passwords and preauthorized functional capability.

Retention and disposal:

Records of holdings, forms, documents, and other legal papers which constitute the basis for transactions subsequent to original issue are maintained for such time as is necessary to protect the legal rights and interests of the U.S. Government and the persons affected, or otherwise until they are no longer historically significant. Other records are disposed of at varying intervals in accordance with records retention schedules reviewed and approved by the National Archives and Records Administration (NARA). All records are destroyed by shredding, incineration, or maceration. Records in electronic media are electronically erased using accepted techniques.

System manager(s) and address:

Commissioner, Bureau of the Public Debt, Washington, DC 20239.

Notification procedure:

Individuals may submit their requests for determination if the system contains records pertaining to them or for access to records as provided under "Records access procedures" and "Requests for access to records". Contesting records procedures or requests for correction of records and appeals from an initial denial of a request for correction of records may be submitted as provided under the applicable heading below.

Record access procedures:

Individuals who wish to request access to records relating to them or who wish to request correction of records they believe to be in error should submit such requests pursuant to the procedures set out below in compliance with the applicable regulations (31 CFR Part 1, Subpart C). Requests which do not comply fully with these procedures may result in noncompliance with the request, but will be answered to the extent possible.

Requests for access to records:

(1) Request by individuals about securities they own: (a) For Treasury bills, notes, or bonds held in the TREASURY DIRECT Book—entry Securities System: Individuals may contact the nearest Federal Reserve Bank or Branch or the Bureau of the Public Debt as listed in Appendix 1 to this system of records. Individuals should provide sufficient information, including their Social Security number, to identify themselves as owners of securities and sufficient information, including account number, to identify their TREASURY DIRECT account. (b) For all other categories of records in this system or records: Individual owners should contact: Office of the Assistant Commissioner (Securities and Accounting Services),

Bureau of the Public Debt, Washington, DC 20239. Requests should contain information to identify themselves including name, address, and Social Security number; the type of security involved such as a registered note or bond, an Armed Forces Leave Bond, etc.; and, to the extent possible, specify the loan, issue date, denomination, exact form of registration, and other information about the securities. (2) Requests by individuals who are representatives of owners or their estates require appropriate authority papers. Write to: Office of the Assistant Commissioner (Securities and Accounting Services), Bureau of the Public Debt, Washington, DC 20239, to obtain information on these requirements. (3) In all cases: The request for information will be honored only if the identity and right of the requester to the information have been established.

Contesting record procedures: (1) A request by an individual contesting records procedures or for correction of records should be in writing, be signed, and, in order for the Privacy Act procedures to apply, state that the request is made pursuant to the Privacy Act of 1974. (2) The request should specify: (a) The dates of the prior correspondence with the Bureau or a Federal Reserve Bank or Branch concerning the records in question, (b) the specific records involved, (c) the change or correction requested, and (d) the reasons therefor. (3) The request must include any available evidence in support of the request and should be sent to: Assistant Commissioner (Securities and Accounting Services), Bureau of the Public Debt, Washington, DC 20239.

Appeals from an Initial Denial of a Request for Correction of Records: (1) An appeal from an initial denial of a request for correction of records must be in writing, be signed by the individual involved, and, in order for the Privacy Act procedures to apply, state that it is made pursuant to the Privacy Act of 1974. (2) All appeals must, to be handled under the Privacy Act procedures, be delivered to the address set forth for submission of appeals within 35 days of the individual's receipt of the initial denial of the requested correction, (3) All appeals must specify: (a) The records to which the appeal relates, (b) the date the initial request for correction of the records was made, and (c) the date that initial denial of the request for correction was received. (4) All appeals must also specify the reasons for the requester's disagreement with the initial denial of correction and must include any applicable supporting evidence. (5) Appeals should be addressed to the Commissioner, Bureau of the Public Debt, Washington, DC 20239, or as otherwise provided in the applicable appendix to 31 CFR Part 1, Subpart C.

Record source categories: Information contained in records in the system is furnished by the individuals or their authorized representatives as listed in "Categories of Individuals," or is generated within the system itself.

Systems exempted from certain provisions of the act: None.

Treasury/BPD.004

System name:

Controlled Access Security System.

System location:

Bureau of the Public Debt, Parkersburg, West Virginia.

Categories of individuals covered by the system:

Bureau of the Public Debt employees, employees of contractors and service companies, and official visitors.

Categories of records in the system:

A record is created for each access to designated areas and contains the individual's name; card number; work shift; access level; time, date, and location of each use of the access card at a proximity card reader.

Authority for maintenance of the system:

31 U.S.C. Sec. 321; 41 CFR 101-20.103.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

A record or information from a record maintained in this system may be disclosed as a routine use: (1) To appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing a statute, rule, regulation, order, or license; (2) to a Federal, State, or local agency maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit; (3) to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, or in connection with criminal law proceedings, or in response to a subpoena; (4) to a Congressional office in response to an inquiry made at the request of the individual to whom the record pertains; (5) to unions recognized as exclusive bargaining representatives under the Civil Service Reform Act of 1978, 5 U.S.C. 7111 and 7114, arbitrators and other parties responsible for the administration of the Federal labor-management program if needed in the performance of their authorized duties.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Magnetic media and paper records.

Retrievability:

Information on individuals can be retrieved by name or card number.

Safeguards:

Both the central system and the peripheral system will have limited accessibility. Paper records and magnetic disks are maintained in locked file cabinets with access limited to those personnel whose official duties require access, such as the systems manager, Bureau security officials, and employee relations specialists. Access to terminals is limited through the use of passwords to those personnel whose official duties require access, as for paper records.

Retention and disposal:

The retention period is for three years; then the records are destroyed.

System manager(s) and address:

Director, Division of Administration, Savings Bond Operations Office, 200 Third Street, Parkersburg, West Virginia 26106-1328.

Notification procedure:

Address inquiries and initial requests for correction of records to: Director, Division of Administration, Savings Bond Operations Office, Parkersburg, West Virginia 26106-1328.

Record access procedures:

Individuals who wish to request access to records relating to them or who wish to request correction of records they believe to be in error should submit such requests pursuant to the procedures set out below in compliance with the applicable regulations (31 CFR part 1, subpart C). Requests which do not comply fully with these procedures may result in noncompliance with the request, but will be answered to the extent possible.

Requests for Access to Records: (1) A request for access to records should be in writing, signed by the individual concerned, identify the system of records, and clearly indicate that the request is made pursuant to the Privacy Act of 1974. The Bureau reserves the right to require additional verification of an individual's identity. (2) The request should be submitted to the following: Director, Division of Administration, Savings Bond Operations Office, Parkersburg, West Virginia 26106-1328. (3) The request must state whether the requester wishes to be notified that the record exists or desires to inspect or obtain a copy of the record. If a copy of the record is desired, the requester must agree to pay the fees for copying the documents in accordance with 31 CFR part 1, subpart C. (4) Requests for records concerning a deceased or incapacitated individual should be accompanied either by evidence of the requester's appointment as legal representative of the estate or by a statement attesting that no such representative has been appointed and giving the nature of the relationship between the requester and the individual.

Requests for Correction of Records: (1) A request by an individual for correction of records should be in writing, signed by the individual involved, identify the system of records, and clearly state that the request is made pursuant to the Privacy Act of 1974. The Bureau reserves the right to require additional verification of an individual's identity. (2) The initial request should be submitted to the following: Director, Division of Administration, Savings Bond Operations Office, Parkersburg, West Virginia 26106-1328. (3) The request for correction should specify: (a) The dates of records in question, (b) the specific records alleged to be incorrect, (c) the correction requested, and (d) the reasons therefor. (4) The request must include any available evidence in support of the request.

Appeals from an Initial Denial of a Request for Correction of Records: (1) An appeal from an initial denial of a request for correction of records must be in writing, signed by the individual involved, identify the system of records, and clearly state that it is made pursuant to the Privacy Act of 1974. The Bureau reserves the right to require additional verification of an individual's identity. (2) An appeal must, to be handled under the Privacy Act procedures, be addressed to the following: Commissioner, Bureau of the Public Debt, Washington, DC 20239-0001 (or as otherwise provided for in the applicable appendix to 31 CFR part 1, subpart C), within 35 days of the individual's receipt of the initial denial of the requested correction. (3) An appeal must also specify: (a) The records to which the appeal relates, (b) the date of the initial request made for correction of the records, and (c) the date that the initial denial of the request for correction was received. (4) An appeal must also specify the reasons for the requester's disagreement with the initial denial of correction and must include any applicable supporting evidence.

Contesting record procedures:

See "Notification Procedure" and "Record Access Procedures."

Record source categories:

The individual concerned, his/her supervisor, or an official of the individual's firm or agency.

System exempted from certain provisions of the Act:

None.

Effective date: Jan. 16, 1990.

Appendix 1

This appendix lists the places that may be contacted by individuals when inquiring about their securities accounts maintained in TREASURY DIRECT. The initials "FRB" stand for Federal Reserve Bank or Branch and are followed by the name of the city. Where a separate address is required for written requests, it follows the initial entry for the FRB.

FRB Atlanta, 104 Marietta Street, NW., Atlanta, GA 30303, 404-521-8657, P.O. Box 1731, Atlanta, GA 30303

FRB Baltimore, 502 S. Sharp Street, Baltimore, MD 21201, 301-576-3300, P.O. Box 1378, Baltimore, MD 21201

FRB Birmingham, 1801 Fifth Avenue, North, Birmingham, AL 35202, 205-252-3141 Ext. 215 or 264, P.O. Box 10447, Birmingham, AL 35202

FRB Boston, 600 Atlancic Avenue, Boston, MA 02106, 617-973-3805 TREASURY DIRECT, 617-973-3810, P.O. Box 2076, Boston, MA 02106

FRB Buffalo, 160 Delaware Avenue, Buffalo, NY 14240, 716-849-5046, P.O. Box 961, Buffalo, NY 14240

FRB Charlotte, 401 South Tryon Street, Charlotte, NC 28230, 704-336-7100, P.O. Box 30248, Charlotte, NC 28230

FRB Chicago, 230 South La Salle Street, Chicago, IL 60690, 312-322-5369, P.O. Box 834, Chicago, IL 60690

FRB Cincinnati, 150 East Fourth Street, Cincinnati, OH 45201, 513-721-4787 Ext. 333, P.O. Box 999, Cincinnati, OH 45201

FRB Cleveland, 1455 East Sixth Street, Cleveland, OH 44101, 216-579-2490, P.O. Box 6387, Cleveland, OH 44101

FRB Dallas, 400 South Akard Street, Securities Department, Station K, Dallas, TX 75222, 214-651-6362

FRB Denver, 1020 16th Street, Denver, CO 80217, 303-572-2466, 303-572-2470, P.O. Box 5228, Terminal Annex, Denver, CO 80217

FRB Detroit, 160 West Fort Street, Detroit, MI 48231, 313-964-6157, P.O. Box 1059, Detroit, MI 48231

FRB El Paso, 301 East Main Street, El Paso, TX 79999, 915-544-4730, P.O. Box 100, El Paso, TX 79999

FRB Houston, 1701 San Jacinto Street, Houston, TX 77252, 713-659-4433, P.O. Box 2578, Houston, TX 77252

FRB Jacksonville, 515 Julia Street, Jacksonville, FL 32231-2499, 904-632-4245, P.O. Box 2499, Jacksonville, FL 32231-2499

FRB Kansas City, Securities Department, 925 Grand Avenue, Kansas City, MO 64198, 816-881-2783 or 2109, P.O. Box 440, Kansas City, MO 64198

FRB Little Rock, 325 West Capitol Avenue, Little Rock, AR 72203, 501-372-5451 Ext. 288, P.O. Box 1261, Little Rock, AR 72203

FRB Los Angeles, 409 Olympiac Boulevard, Los Angeles, CA 90051, 213-683-8546, P.O. Box 2077 Terinal Annex, Los Angeles, CA 90051

FRB Lousiville, 410 South Fifth Street, Lousiville, KY 40232, 502-568-9236, 502-568-9238, P.O. Box 32710, Louisville, KY 40232

FRB Memphis, 200 North Main Street, Memphis, TN 38101, 901-523-7171 Ext. 225 or 641, P.O. Box 407, Memphis, TN 38101

FRB Miami, 9100 NW. Thirty-Sixth Street, Miami, FL 33178, 305-593-9923, P.O. Box 520847, Miami, FL 33152

FRB Minneapolis, 250 Marquette Avenue, Minneapolis, MN 55480, 612-340-2075

FRB Nashville, 301 Eighth Avenue, North, Nashville, TN 37203

FRB New Orleans, 525 St. Charles Avenue, New Orleans, LA 70161, 504-586-1505, Ext. 293, P.O. Box 61630, New Orleans, LA 70161

FRB New York, 33 Liberty Street, New York, N.Y. 10045, 212-791-6619, Federal Reserve P.O. Station, New York, NY 10045

FRB Oklahoma City, 226 Dean A. McGee Avenue, Oklahoma City, OK 73125, 405 235-1721 Ext 182, P.O. Box 25129, Oklahoma City, OK 73125

FRB Omaha, 102 South Seventeenth, Omaha, NE 68102, 402-341-3610 Ext. 242

FRB Philadelphia, Securities Division, Ten Independence Mall, Philadelphia, PA 19106, 215-574-6680 P.O. Box 90, Philadelphia, PA 19105,

FRB Pittsburgh, 717 Grant Street, Pittsburgh, PA 15230-0867, 412-261-7988, P.O. Box 867, Pittsburgh, PA 15230-0867

FRB Portland, 915 SW., Stark Street, Portland, OR 97208, 503-221-5921 or 5931, P.O. Box 3436, Portland, OR 97208

FRB Richmond, 701 East Byrd Street, Richmond, VA 23261, 804 642-1250, P.O. Box 27622, Richmond, VA 23261

FRB Salt Lake City, 120 South State Street, Salt Lake City, UT 84130, 801-355-3131, 801-322 7911, P.O. Box 30780, Salt Lake City, UT 84130

FRB San Antonio, 126 East Nueva Street, San Antonio, TX 77252, 512-224-2141 Ext. 303-309, P.O. Box 1471, San Antonio, TX 77252

FRB San Francisco, 101 Market Street, San Francisco, CA 94120, 415-392-6640 or 6650, P.O. Box 7702, San Francisco, CA 94120

FRB Seattle, 1015 Second Avenue, Seattle, WA 98124, 206-442-1650, P.O. Box 3567, Seattle, WA 98124

FRB ST. Louis, 411 Locust Street, St. Louis, MO 63166, 314-444 8602, P.O. Box 442, St. Louis, MO 63166

Department of the Treasury, Washington, DC 20220, Bureau of the Public Debt, Department A, Washington, DC 20239-1000, 202-287-4113, Device for hearing impaired, 202-287-4097.

Treasury/USSBD .001

System name:

Savings Bonds Employee Records System—Treasury/USSBD.

System location:

U.S. Savings Bonds Division, Department of the Treasury, 1111—20th St. NW., Washington, DC 20226.

Categories of individuals covered by the system:

Employees of USSBD.

Categories of records in the system:

Appeal and Grievance Records, Applicant Supply Files, Case Actions, Employee Earning Statements, Employee Financial Statements, Equal Employment Opportunity Files, Incentive Awards and Reports, Itineraries, Locator Cards, Medical Records, Merit Promotion Records, Motor Vehicle Records, Payroll, Performance Evaluation, Personal Investigation, Position Control, Reduction-In-Force File, Register of Separation and Transfer, Retirement Cards, Time and Attendance Records, Tort Claims, Training Records and Reports, Travel Vouchers. All personnel records not mentioned, but maintained at the Division, are considered to belong to the Office of Personnel Management, and will be reported by that Agency.

Authority for maintenance of the system:

Treasury Department Order No. 13 established the Division of Savings Bonds under the Office of the Fiscal Assistant Secretary, dated April 1941.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

A record of information from a record maintained in this system of records may be disclosed as a routine use when: (1) Providing employee information to other Federal personnel offices when an employee is under consideration for a position with that Agency; (2) Helping a Federal, state, or local agency maintaining civil, criminal, or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the Division's hiring or retention of an employee, or issuance of a security clearance, license, contract, grant, or other benefit; (3) Providing information to a Congressional office in response to an inquiry made at the request of the individual to whom the record pertains; (4) To disclose to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation; (5) To furnish another Federal agency with information to effect inter-agency salary offset; to furnish another Federal agency with information to effect inter-agency administrative offset, except that no address information will be disclosed to another agency from this system; to furnish a consumer reporting agency with information to obtain commercial credit reports; and to furnish a debt collection contractor information for debt collection services. Current mailing addresses acquired from the Internal Revenue Service and which become a part of this system are routinely released to consumer reporting agencies to obtain credit reports and to debt collection agencies for collection services as necessary.

Disclosure to consumer reporting agencies:

Disclosures of debt information concerning a claim against an individual may also be furnished, in accordance with 5 U.S.C. 552a(b)(12) and section 3 of the Debt Collection Act of 1982 (Pub. L. 97-365), to consumer reporting agencies to encourage repayment of an overdue debt.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

All records in Personnel, with the exception of card files, are stored in metal correspondence files, indexed by individual names and numbers. Files are maintained in separate offices according to the nature or content of data.

Retrievability:

Storage of financial information is maintained on computer printouts supplied by the Bureau of the Mint. Time and attendance reports and travel vouchers of employees are stored in separate files and are accessible by name and Social Security Number.

Safeguards:

Files are accessible to Personnel employees and are locked at the close of each day.

Retention and disposal:

Record pertaining to personal historical data are maintained for two years and are then sent to the Federal Records Center. Less important records are destroyed after the two-year period. All payroll and time-and-attendance records are retained between audit periods (normally two years) and then destroyed by shredding. Travel vouchers are maintained on file for three years after audit and then sent to the Federal Records Center.

System manager(s) and address:

Director of Administration, Department of the Treasury, U.S. Savings Bonds Division, 1111-20th St., NW., Washington, DC 20226.

Notification procedure:

Any individual who wishes to know whether this system contains a record pertaining to him/her should address his/her inquiry to: Director of Administration, Department of the Treasury, U.S. Savings Bonds Division, 1111-20th St., NW., Washington, DC 20226.

Record access procedures:

See System Manager and Notification Procedure above. An individual may request access to his/her records or any information pertaining to him/her by merely notifying the office or officer in charge. The individual, however, must be under the supervision of a Savings Bonds Officer during the entire time he/she has this information in his/her possession.

Contesting record procedures:

Contested information should be specified, and the reason(s) for contesting the record listed. See System Manager above.

Record source categories:

Data accumulated in the record system at the Savings Bonds Division are gathered from the individual and/or from sources directly connected with the employee's appointment.

Systems exempted from certain provisions of the act:

None.

Treasury/USSBD .002

System name:

Savings Bonds Sales Promotion/Volunteer Record System—Treasury/USSBD.

System location:

Savings Bonds Division, Department of the Treasury, 1111 20th Street, NW., Washington, DC 20226; and/or Regional and Branch Offices.

Categories of individuals covered by the system:

Bond Tellers, Campaign Managers, Campaign Nominees, Committee Volunteer Lists and Contacts, General Correspondence, Geographical Chairmen, Governmental Biographical Sketches, Honorary Chairmen, Individual Volunteer Lists, Mailing Lists—General and Labor, Major Corporation Executives, National Panel of Public Relations.

Categories of records in the system:

Administrative lists and related detail.

Authority for maintenance of the system:

Treasury Department Order No. 13 established the Division of Savings Bonds under the office of the Fiscal Assistant Secretary, dated April 1941.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

There are no disclosures outside the Department for this records system.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Mailing lists are accessible to employees and stored on addressograph plates. Other correspondence and materials are filed in the regular correspondence file cabinets.

Retrievability:

Records are indexed by year, volunteer position and name, and are retrievable by those identifiers.

Safeguards:

The individual, however, must be under supervision of a Savings Bonds officer during the entire time he or she has this information in his/her possession.

Retention and disposal:

Records are maintained as long as needed and up-dated as necessary.

System manager(s) and address:

Director, Department of the Treasury, Savings Bonds Division, 1111 20th Street NW., Washington, DC 20226.

Notification procedure:

Records that are housed by the Savings Bonds Division are not of a nature that would warrant strict guidelines for accessibility. An individual may request access to his/her record or any information pertaining to him/her by merely notifying the office or officer in charge.

Record access procedures:

An individual may request access to his or her record at any time by notifying the Officer in charge. The individual, however, must be under the supervision of a Savings Bonds officer during the entire time the information is in his/her possession.

Contesting record procedures:

See System manager above. Contested information should be specified, and the reason(s) for contesting the record listed.

Record source categories:

Data accumulated in the record system at Savings Bonds are gathered from the individual and/or from sources directly connected with the volunteer's appointment.

Systems exempted from certain provisions of the act: None.

Treasury/USSBD .003

System name:

Savings Bonds Sales Record System—Treasury/USSBD.

System location:

Savings Bonds Division, Department of the Treasury, 1111 20th Street NW., Washington, DC 20226; and/or Regional Offices.

Categories of individuals covered by the system:

Blue Ribbon Target Cards, Blue Ribbon Target Status Control Sheets, Field Call Reports, Itineraries, Net-Saver Reports, Payroll Savings Reporting Procedures Forms, Progress Summaries, Time and Attendance Records, Training Reports, Work Plans, State-County Chairmen, State and Volunteer Fund Lists., "Take Stock in America" Records, Telephone calls, Volunteer Bio's.

Categories of records in the system:

Routine lists and administrative details associated with sales.

Authority for maintenance of the system:

Treasury Department Order No. 13 established the Division of Savings Bonds under the office of the Fiscal Assistant Secretary, dated April 1941.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

There are no disclosures for this system of records outside the Department.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records of this nature are filed in large notebooks and are indexed according to individual names, regions, areas and states.

Retrievability:

Records are retrievable under indexes indicated above.

Safeguards:

Records do not warrant tight security.

Retention and disposal:

High priority records are kept as long as needed, records of lower priority are destroyed after two years.

System manager(s) and address:

Director of Sales Operations, Department of the Treasury, Savings Bonds Division, 1111 20th Street, NW., Washington, DC 20226.

Notification procedure:

An individual may request access to his or her record or any information pertaining to him/ her by merely notifying the office or officer in charge. The individual, however, must be under the supervision of a Savings Bonds officer during the entire time he or she has this information in his/her possession.

Record access procedures:

See Notification and System Manager.

Contesting record procedures:

See System manager above. Contested information should be specified, and the reasons(s) for contesting the record listed.

Record source categories:

Data accumulated in the sales record system at Savings Bonds are gathered from the individual and/or from sources directly connected with the employee's appointment.

Systems exempted from certain provisions of the act: None.

Treasury/USSS .001

System name:

Administrative Information System--Treasury/USSS.

System location:

(a) U.S. Secret Service (Headquarters), 1800 G Street NW., Washington, DC 20223. Components of the this System are geographically dispersed throughout Secret Service field offices. (See below, United States Secret Service, Appendix A, listing the addresses of Secret Service offices.) (b) U.S. Secret Service Uniformed Division, 1310 L Street, NW., Washington, DC 20005; (c) Presidential Protective Division, U.S. Secret Service, Room 10, Old Executive Office Building, 17th and Pennsylvania Avenue, NW., Washington, DC 20500; (d) Vice- Presidential Protective Division, U.S. Secret Service, Old Executive Office Building, Room 295, Washington, DC 20500; (e) Dignitary Protective Division U.S. Secret Service, 1310 L Street, NW., Washington, DC 20005; (f) Special Services Division, U.S. Secret Service, Washington Navy Yard, 2nd and M Streets, SE., Bldg. 216, Washington, DC 20374; (g) Johnson Protective Division, U.S. Secret Service, P.O. Box 921, Stonewall, TX 78671; (h) Ford Protective Division, U.S. Secret Service, P.O. Box 955, Rancho Mirage, CA 92270-955; (i) Technical Security Division, U.S. Secret Service, Old Executive Office Building, Room 572, Washington, DC 20500; (j) Carter Protective Division, U.S. Secret Service, P.O. Box 308, Plains, GA 31780. Western Protective Division, U.S. Secret Service, 2660 Townsgate Rd., Westlake Village, CA 92361-276.

Categories of individuals covered by the system:

(a) Individuals who are now or were Secret Service employees; (b) Individuals, contractors, and vendors, etc., who are presently doing or previously did business with the Secret Service; (c) Claimants against the Secret Service under the Federal Tort Claims Act and the Military Personnel and Federal Employees Claims Act.

Categories of records in the system:

(a) Records containing information on issuance of Secret Service equipment and accountable government property; (b) Records containing procurement negotiations, contracts, agreements, etc., with the Secret Service; (c) Records containing information on past, present, and future administrative correspondence with individuals, contractors, vendors, etc., who have or plan to enter into contractual agreements with the Secret Service; (d) Records on vehicle accidents, injuries, fatalities; (e) Records on motor vehicle operators in the Secret Service.

Authority for maintenance of the system:

Title 40 and 41 of the U.S. Code, and other rules and regulations where applicable; 5 U.S.C. 301; 44 U.S.C. 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

(a) Disclosure of information to the Department of Treasury, GAO, OMB, GSA, the Department of Justice and other Federal, state, and local government agencies regarding purchases, contracts, and anticipated purchases and contracts of the Secret Service; (b) To provide administrative services for the Secret Service and maintain administrative records as required by law; (c) To use in the adjudication of any claim for or against the Secret Service; (d) Disclosure to individuals, contractors, vendors, etc., for the purpose of inquiries relating to or confirmation of orders and purchases; (e) Disclosure to a student participating in a Secret Service student volunteer program, Where such disclosure is necessary to further the efforts of the Secret Service.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are contained in file jackets.

Retrievability:

Records may be retrieved by name and/or number.

Safeguards:

(1) File jackets and indices at Headquarters are located in locked rooms which are secured by alarms and other internal security devices with guards on duty on an around the clock basis. Access is available only to employees responsible for records management and operational employees who have a need for such information, each of whom holds a top secret security clearance; (2) The file jackets and the master file indices in Secret Service field offices are located in locked file cabinets or in locked rooms when Secret Service employees are not on duty. Access to the system is limited to employees of the Secret Service holding top secret security clearances.

Retention and disposal:

The file jackets and indices are retained in accordance with mandatory National Archives and Records Administration (NARA), General Records Schedules 3, 4, 8, 10, 11, 13, & 23. Disposal is by burning or shredding.

System manager(s) and address: Assistant Director, Office of Administration, U. S. Secret Service, 1800 G Street, NW., Washington, DC 20223.

Notification procedure:

Individuals who wish to present a request as to whether this system contains records pertaining to them should address inquiries to: Freedom of Information and Privacy Acts Officer, U.S. Secret Service, 1800 G Street, NW., Room 720, Washington, DC 20223.

Record access procedures:

Requests for information contained in this system should be addressed to:

Freedom of Information and Privacy Acts Officer, U.S. Secret Service, 1800 G Street, NW., Room 720, Washington, DC 20223.

Contesting record procedures:

See access above.

Record source categories:

(a) Individuals who are presently or were Secret Service employees; (b) Individuals, corporations, companies, contractors, etc., previously engaged or presently engaged in business with the Secret Service; (c) Claimants.

Systems exempted from certain provisions of the act: None.

Treasury/USSS .002

System name:

Chief Counsel Record System—Treasury/USSS.

System location:

Office of Chief Counsel, United States Secret Service, 1800 G Street, NW., Washington, DC 20223.

Categories of individuals covered by the system:

(a) Individuals who have filed administrative claims involving an employee of the U.S. Secret Service; (b) Individuals involved in litigation against the U.S. Secret Service; (c) Individuals who have filed a petition for remission of forfeiture of equipment with the U.S. Secret Service.

Categories of records in the system:

(a) Copies of administrative claims involving employees of the U.S. Secret Service and responses thereto; (b) Any type of legal document, including complaints, summaries, and litigation reports, motions, and any other court filing; (c) Records concerning requests for information regarding the use of reproductions of obligations of the United States including bonds, checks, coins, coupons, currencies (U.S. and foreign), fractional notes, postage stamps (U.S. and foreign), postal money orders, and postmarks.

Authority for maintenance of the system:

18 U.S.C. 3056; 28 U.S.C. 2672 (Federal Tort Claims Act); 18 U.S.C. 471-509.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (a) Administrative claims may be routinely sent to Department of Justice attorneys to assist them in litigation involving the Secret Service; (b) Legal records and litigation reports may be sent to Department of Justice attorneys to assist them in the preparation for litigation involving the U.S. Secret Service; (c) Records indicating a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, may be referred to the appropriate Federal, state, local or foreign agency charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, rule, regulation or order issued pursuant thereto; (d) Disclosures to opposing counsel, a court magistrate or administrative tribunal in the course of a legal proceeding, and disclosures to opposing counsel in the course of discovery proceedings for the purpose of enforcing, or prosecuting, a violation or potential violation of law, whether civil, criminal or regulatory in nature and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto; (e) Disclosures to Federal, state or local agencies maintaining civil, criminal or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant or other benefit; (f) Disclosures to a Federal agency in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter; (g) Disclosure to a student participating in a Secret Service student volunteer program, where such disclosure is necessary to further the efforts of the Secret Service.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are contained in file jackets.

Retrievability:

This System is indexed chronologically for administrative claims and requests for information regarding reproductions. Access to the physical files containing litigation records is by name.

Safeguards:

The file jackets are secured in a locked room with guards on duty on an around-the-clock basis. Access to the records is available only to employees responsible for record management and operational employees who have a need for such information, each of whom holds a top secret security clearance.

Retention and disposal:

(1) All judicial case records are retained for a period of 20 years; (2) Administrative claims, and requests for information are disposed of at varying intervals in accordance with the records retention schedule approved by the National Archives and Records Administration. Any disposal is by shredding and/or burning.

System manager(s) and address: Chief Counsel, U.S. Secret Service, 1800 G Street NW., Room 842, Washington, DC 20223.

Notification procedure:

Individuals who wish to present a request as to whether the system contains records pertaining to them should address inquiries to: Freedom of Information and Privacy Acts Officer, U.S. Secret Service, 1800 G Street NW., Room 720, Washington, DC 20223.

Record access procedures:

Requests for information contained in this System should be addressed to: Freedom of Information and Privacy Acts Officer, U.S. Secret Service, 1800 G Street NW., Room 720, Washington, DC 20223.

Contesting record procedures:

See access above.

Record source categories:

(a) Administrative claims are filed by those individuals who believe that they have a claim against the U.S. Secret Service; (b) Individuals who are involved in legal proceedings against the U.S. Secret Service. All litigation reports are initiated by Office of Chief Counsel, U.S. Secret Service; (c) Requests for information regarding the use of reproductions from Secret Service field offices, the general public, and from professional organizations.

Systems exempted from certain provisions of the act: None.

Treasury/USSS .003

System name:

Criminal Investigation Information System—Treasury/USSS.

System location:

(a) United States Secret Service, (Headquarters), 1800 G Street NW., Washington, DC 20223; (b) Components of this System are geographically dispersed throughout Secret Service field offices. (See United States Secret Service Appendix A listing the addresses of Secret Service field offices.)

Categories of individuals covered by the system:

(a) Individuals who have been or are currently the subject of a criminal investigation by the U.S. Secret Service in connection with the performance by that agency of its authorized criminal investigative functions; (b) Individuals who are payees, registered owners or endorsers of stolen or lost obligations and other securities of the United States; (c) Individuals who are witnesses, credit card holders with doctored credit histories, holders of altered identification cards, complainants, informants, suspects, defendants, fugitives, released prisoners, correspondents, organized crime figures, and victims of crimes who have been identified by the Secret Service in the conduct of criminal investigations or by information supplied by other law enforcement agencies, government units, and the general public.

Categories of records in the system:

(a) Records containing information compiled for the purpose of identifying individual criminal offenders and alleged offenders and consisting only of identifying data and notations of arrest, the nature and disposition of criminal charges, sentencing, confinement, release, and parole or probation status; (b) Records containing information compiled for the purpose of a criminal investigation, including reports of informants and investigators, and associated with an identifiable individual; (c) Records containing reports identifiable with an individual compiled at various stages of the process of enforcement of criminal laws from arrest or indictment through release from supervision; (d) Records containing investigatory material compiled for law enforcement purposes, including but not limited to, handwriting exemplars; laboratory analyses of inks and papers; handwriting analyses; petitions for the remission of forfeitures; notice of nonreceipt of Treasury drafts; affidavits of forged endorsements; opinions of the examiner of questioned documents; certificates by owners of U.S. registered securities concerning forged requests for payments or assignments; applications for relief on account of loss, theft, or destruction of U.S. Savings Bonds or checks; photographic reproductions of obligations and other securities of the United States; contraband items; claims against the United States for the proceeds of government checks and bonds; and reports necessary for the settlement of check and bond claims.

Authority for maintenance of the system:

18 U.S.C. 3056.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

(a) Disclosure to Federal, state, and local government agencies foreign or domestic, having prosecutive and civil law enforcement functions for use by attorneys, magistrates, and judges, parole or probation authorities and other law enforcement authorities for the purpose of developing a criminal or civil investigation, prosecuting, sentencing, or determining the parole and probation status of criminal offenders or suspected criminal offenders; (b) Disclosure to personnel of other Federal, state and local law enforcement agencies, foreign or domestic, for the purpose of developing information on subjects involved in Secret Service criminal investigations and assisting other law enforcement agencies in the investigation and prosecution of violations of the criminal laws which those agencies are responsible for enforcing; (c) Disclosure to personnel of Federal, state, and local governmental agencies, where such disclosure is considered reasonably necessary for the purpose of furthering Secret Service efforts to investigate the activities of and apprehend criminal offenders and suspected criminal offenders; (d) Disclosure to personnel of Federal, state, and local governmental agencies, foreign and domestic, where there is a showing of reasonable necessity to obtain such information to accomplish a valid law enforcement purpose; (e) Disclosure to employees and officials of financial and commercial business firms and to private individuals of identifying information pertaining to actual or suspected criminal offenders where such disclosure is considered reasonably necessary for the purpose of furthering Secret Service efforts to investigate the activities of and apprehend criminal offenders and suspected criminal offenders; (f) Records maintained in this System indicating a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, may be disclosed to the appropriate agency, whether Federal, state, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto; (g) Disclosures in the course of presenting evidence to a court, magistrate or administrative tribunal and disclosures to opposing counsel in the course of discovery proceedings for the purpose of enforcing, or prosecuting, a violation or potential violation of law, whether civil, criminal or regulatory in nature and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto; (h) Disclosures to Federal, state or local agencies maintaining civil, criminal or other pertinent information or enforcement information relevant to an agency decision concerning the hiring or retention of an employee, or the issuance of a license, grant or other benefit; (i) Disclosures to a Federal, state or local agency agency in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter; (j) Disclosures of information relating to criminal and civil proceedings to the news media in accordance with the guidelines contained in 28 CFR 50.2; (k) Disclosure in connection with the utilization by the Secret Service to the Northern Virginia Regional Identification System for the storage and retrieval of fingerprint information maintained by the Secret Service; (l) Disclosure to a student participating in a Secret Service student volunteer program, where such disclosure is necessary to further the efforts of the Secret Service.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

All records comprising this System of the U.S. Secret Service are contained in file jackets, microfilm and microfiche. Portions of the indices and information contained in the records are maintained in on-line computer data files located at Headquarters.

Retrievability:

This system is indexed by name, address, vehicle license number, and telephone number, in master and magnetic media indices both at Headquarters and in the field offices. Additionally, subjects are retrievable from the computerized files by physical description. Access to the physical files containing records is by case number obtained from the indices.

Safeguards:

(1) At Headquarters the field jackets and indices containing the records are secured by alarms, and other internal security devices, in locked rooms with guards on duty on an around-the-clock basis. Access to the records is available only to employees responsible for records management and operational employees with a "need to know," each of whom has a top secret security clearance; (2) In field offices the file jackets and the master field indices are located in locked filing cabinets and when Secret Service employees are not on duty in locked rooms. Access to the system is limited to employees of the Secret Service holding top secret security clearances.

Retention and disposal:

(1) All Judicial cases, 20 years; (2) Non-judicial criminal investigative cases (except non-judicial check and bond cases), 10 years; (3) Non-judicial check claim and bond forgery cases, 5 years; (4) Administrative files of an investigatory nature, 5 years; (5) All other files and records the disposition of which is not otherwise specified, 5 years; (6) Investigations for other districts, 2 years; (7) Receipts for counterfeit and contraband, 2 years; (8) Investigation Control Forms, varies; (9) Arrest History Forms, Indefinite; (10) Headquarters Criminal Investigative case files, 50 years; (11) Consensual and non-consensual interception indices, 10 years or when investigative use no longer exists, whichever is longer; (12) Fingerprint and photograph files, at varying intervals in accordance with record retention schedules approved by the National Archives and Records Administration. Disposal is by burning, shredding, maceration, and pulping.

System manager(s) and address:

Assistant Director, Office of Investigations, U.S. Secret Service, 1800 G St., NW., Washington, DC 20223.

Notification procedure:

In accordance with the provisions of 5 U.S.C. 552a (j) and (k), the Director of the U.S. Secret Service has exempted this System from compliance with the provisions of 5 U.S.C. 552a (e)(4)(G).

Record access procedures:

In accordance with the provisions of 5 U.S.C. 552a (j) and (k), the Director of the U.S. Secret Service has exempted this System from compliance with the provisions of 5 U.S.C. 552a (e)(4)(H).

Contesting record procedures:

See access above.

Record source categories:

In accordance with the provisions of 5 U.S.C. 552a (j) and (k) the Director of the U.S. Secret Service has exempted this System from compliance with the provisions of 5 U.S.C. 552a (e)(4)(I).

Systems exempted from certain provisions of the act:

This system is exempt from 5 U.S.C. 552a (c)(3), (c)(4), (d), (e)(1), (e)(4)(G), (e)(4)(H), and (e)(4)(I), of the Privacy Act pursuant to 5 U.S.C. 552a (j) and (k).

Treasury/USSS .004

System name:

Financial Management Information System—Treasury/USSS.

System location:

(a) U.S. Secret Service, (Headquarters) 1800 G St., NW., Washington, DC 20223; (b) Components of this System are geographically dispersed throughout Secret Service field offices (See below United States Secret Service, Appendix A listing the addresses of Secret Service field offices.); (c) U.S. Secret Service Uniformed Division, 1310 L Street, NW., Room 210, Washington, DC 20005; (d) Special Services Division, U.S. Secret Service, Building 216, Washington Navy Yard, Washington, DC 20374; (e) Presidential Protective Division, U.S. Secret Service, Room 1, Old Executive Office Building, Washington, DC 20500; (f) Vice-Presidential Protective Division, U.S. Secret Service, Old Executive Office Building, Room 295, Washington, DC 20500; (g) Dignitary Protective Division, U.S. Secret Service, 1310 L St., NW., Suite 500, Washington, DC 20005; (h) Johnson Protective Division, U.S. Secret Service, P.O. Box 927, Stonewall, TX 78671; (i) Ford Protective Division, U.S. Secret Service, P.O. Box 955, Rancho Mirage, CA 92270–955; (j) Carter Protective Division, U.S. Secret Service, P.O. Box 308, Plains, GA 31780–0308; (k) Technical Security Division, U.S. Secret Service, Old Executive Office Building, Room 572, Washington, DC 20500. (1) Western Protective Division, U.S. Secret Service 2660 Townsgate Rd., 270 Village Park, Westlake Village, CA 91361–2762.

Categories of individuals covered by the system:

(a) Individuals who are now, or were previously, Secret Service employees; (b) Individuals, contractors, vendors, etc., who are presently doing business with or previously did business with the Secret Service; (c) Individuals who are involved in or were previously involved in tort claims with the Secret Service; (d) Individuals who are now or previously were involved in payments (accounts receivable) with the Secret Service; (e) Individuals who have been recipients of awards.

Categories of records in the system:

(a) Records containing information compiled for the purpose of pay, travel, property damage, expenses incurred other than travel, and retirement annuities and taxes; (b) Records containing information of accounts receivable and payable, involving Secret Service employees and other persons; (c) Records containing information of tort claims dealing with Secret Service property, concerning payment and accounts receivable; (d) Records containing information on the expenditures, anticipated expenditures, and budget studies of the Secret Service; (e) Time and attendance records.

Authority for maintenance of the system:

31 U.S.C. 68, 484, 952, and 1801 thru 1806, and 5 U.S.C. 5514, and 21 U.S.C. 2415.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The routine uses of the records contained in this System are as follows: (a) Disclosure to the Internal Revenue Service, U.S. Treasury, GAO, OPM and other Federal agencies dealing with the payment and collection of monies concerning Secret Service employees; (b) Disclosure to the Internal Revenue Service, U.S. Treasury Department, OPM, GAO, and other Federal agencies dealing with the payment, collection and audit of monies concerning persons who have financial dealings with the Secret Service; (c) To establish and maintain a means of gaining statistical information needed to answer inquiries from other Federal, state, and local governments and Congress; (d) To establish a reporting system to Treasury, OMB, GAO, and Congress concerning Secret Service expenditures; (e) To establish a means of payments to contractors and vendors for purchases made by Secret Service; (f) Disclosure to other Federal agencies to effect inter-agency salary offset and to affect inter-agency administrative offset; (g) Disclosures to consumer reporting agencies to obtain commercial credit reports; (h) Disclosures to debt collection agencies for debt collection services; (i) Disclosures of current mailing addresses obtained from the Internal Revenue Service, which have become a part of this system, to consumer reporting agencies to obtain credit reports and to debt collection agencies for collection services; (j) Disclosures to appropriate Federal, State, or foreign agencies responsible for investigating or prosecution of the violation of, or for enforcing or implementing, a statute, rule, regulation, order or license; (k) Disclosures to a Federal, state, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an employee, or issuance of a security clearance, license, contract, grant, or other benefit; (l) Disclosures to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings; (m) Disclosures to foreign governments in accordance with formal or informal international agreements; (n) Disclosures to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains; (o) Disclosures to the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings; (p) Disclosure to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation; (q) Disclosure to a student participating in a Secret Service student volunteer program, where such disclosure is necessary to further the efforts of the Secret Service.

Disclosure to consumer reporting agencies:

Disclosures pursuant to 5 U.S.C. 552a(b)(12) may be made from this system to consumer reporting agencies as defined in the Debt Collection of 1982 (31 U.S.C. 3701(a)(3) or the Fair Credit Reporting Act (15 U.S.C. 1681a(f)).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

All records are contained in files, microfilm, and/or microfiche. Portions of the indices and information contained in this System are programmed into computers maintained at Headquarters.

Retrievability:

This System is indexed by name and/or number at Headquarters and by name only in field offices and protective divisions. Access is by name and/or number.

Safeguards:

(1) The file jackets, indices and computers are secured by alarms and other internal security devices in locked rooms with guards on duty on a 24-hour basis; (2) Access to the records is available only to employees responsible for records management and operational employees who have a need for such information, each of whom holds a top secret security clearance; (3) The file jackets and/or indices are located in locked filing cabinets and in locked rooms when Secret Service employees are not on duty. Access is limited to employees holding top secret security clearances.

Retention and disposal:

(1) Financial Management Division's automated accounting systems, foreign disbursement file, and paid files are retained for six years; (2) Accounts receivable systems are maintained for four years unless they are not liquidated; (3) Systems for holiday, overtime, and other pay adjustments, enter on duty information, resignations, retirements, reassignments, etc., are disposed of at varying intervals in accordance with records retention schedules approved by the National Archives and Record Administration (NARA); (4) Records on personnel actions, leave, change of station, bonds, health benefits and insurance policies, bank deposits, allotments, etc., are held for six months; (5) All other records are retained in accordance with mandatory National Archives and Record Administration (NARA), General Records Schedules 5, 6, & 7. Disposal of records is by burning, mulching, shredding, or electronic deletion.

System manager(s) and address:

Assistant Director, Office of Administration, 1800 G St., NW., Washington, DC 20223.

Notification procedure:

Individuals who wish to present a request as to whether this system contains a record pertaining to them should address inquiries to: Freedom of Information and Privacy Acts Officer, U.S. Secret Service, 1800 G St. NW., Room 720, Washington, DC 20223.

Record access procedures:

Request for information contained in this System should be addressed to: Freedom of Information and Privacy Acts Officer, U.S. Secret Service, 1800 G St., NW., Room 720, Washington, DC 20223.

Contesting record procedures:

See access above.

Record source categories:

(a) Individuals who are presently or were previously Secret Service employees; (b) Individuals who are presently or were service contractors or suppliers with the Secret Service; (c) Individuals who are presently or were previously involved in tort claims with the Secret Service; (d) Individuals who are presently or were previously involved in collections and disbursements with the Secret Service; (e) Internal Revenue Service; (f) Surviving spouse of deceased personnel.

Systems exempted from certain provisions of the act: None.

Treasury/USSS .005

System name:

Freedom of Information Request System—Treasury/USSS.

System location:

United States Secret Service, 1800 G St., NW., Washington, DC 20223.

Categories of individuals covered by the system:

Individuals or organizations who have requested information under the Freedom of Information Act, or the Privacy Act.

Categories of records in the system:

(a) Correspondence relating to requests for information; (b) Documents relevant to appeals and lawsuits under the Freedom of Information Act.

Authority for maintenance of the system:

5 U.S.C. 552.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

(a) Records may be disseminated to a Federal agency which furnished the record for the purpose of permitting a decision as to access or correction to be made by that Agency, or for the purpose of consulting with that Agency as to the propriety of access or correction; (b) Records may be disseminated to any appropriate Federal, state, local, or foreign Agency for the purpose of verifying the accuracy of information submitted by an individual who has requested amendment or correction of records; (c) Disclosure to a student participating in a Secret Service student volunteer program, where such disclosure is necessary to further the efforts of the Secret Service.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records comprising this System are maintained in file jackets.

Retrievability:

The files and indices are indexed numerically and alphabetically.

Safeguards:

The files and indices are secured in filing cabinets in locked rooms. Access to the records is available only to employees responsible for the management of the system and operational employees who have a need for such information, each of whom have a top secret security clearance.

Retention and disposal:

All files and indices are destroyed six years after the date of last entry. Disposal is by burning and/or shredding.

System manager(s) and address:

Freedom of Information and Privacy Acts Officer, U.S. Secret Service, 1800 G St., NW., Room 720, Washington, DC 20223.

Notification procedure:

Individuals who wish to present a request as to whether this system contains records pertaining to them should address their inquiries to: Freedom of Information and Privacy Acts Officer, U.S. Secret Service, 1800 G St., NW , Room 720, Washington, DC 20223.

Record access procedures:

Any individual wishing to obtain information on the procedures for gaining access to and contesting records should contact: Freedom of Information and Privacy Acts Officer, U.S. Secret Service, 1800 G St., NW., Room 720, Washington, DC 20223.

Contesting record procedures:

See access above.

Record source categories:

Individuals or organizations requesting information pursuant to the Freedom of Information Act or the Privacy Act.

Systems exempted from certain provisions of the act: None.

Treasury/USSS .006

System name:

Non Criminal Investigation Information System—Treasury/USSS.

System location:

(a) United States Secret Service, 1800 G St., NW., Washington, DC 20223; (b) Components of this System are geographically dispersed throughout Secret Service field offices. (See below, United States Secret Service Appendix A, listing the addresses of Secret Service field offices.)

Categories of individuals covered by the system:

(a) Individuals who are applicants for employment with the U.S. Secret Service and other bureaus of the Department of the Treasury; (b) Individuals who are employees of the U.S. Secret Service and other bureaus of the Department of the Treasury holding security clearances granting access to classified documents and records; (c) Individuals who have filed administrative claims with the Secret Service and other bureaus of the Department of the Treasury under the Federal Tort Claims Act or who have been involved in automobile accidents or other incidents involving employees of the Secret Service and other bureaus of the Department of the Treasury resulting in tort claims against such individuals; (d) Individuals involved in investigations required in the administration of the Government Losses in Shipment Act, the Gold Reserve Act, and the Silver Purchase Act; (e) Individuals who are employees of the Secret Service and other bureaus of the Department of the Treasury who have been accused of misconduct in the performance of their duties, or who have been the subject of a complaint involving the performance of their official functions; (f) Individuals who are the subject of investigations or supply information to investigative agents conducting special investigations relating to the performance by the Secret Service of its statutory and regulatory functions.

Categories of records in the system:

(a) Record containing investigatory material compiled solely for the purpose of determining suitability, eligibility, or qualifications for Federal civilian employment or access to classified information; (b) Records containing investigatory material compiled for law enforcement purposes, including but not limited to, reports of investigators relating to claims under the Federal Tort Claims Act, Government Losses in Shipment Act, the Gold Reserve Act and the Silver Purchase Act, and employee misconduct or malfeasance; (c) Records containing reports or statement of investigators, witnesses, complainants, claimants and correspondents associated with identifiable individuals.

Authority for maintenance of the system:

18 U.S.C. 3056, Executive Order 10450 and Treasury Order 102-18 (revised March, 1985); and Treasury Order 173-1.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The routine uses of the records contained in this System are as follows: (a) Disclosure to the Department of Justice and other Federal agencies for administrative, civil, or other legal proceedings to be used by personnel officials, attorneys, administrative law officers, and judges; (b) Disclosure to personnel of other Federal, state and local governmental agencies, foreign and domestic, for the purpose of developing or confirming information on individuals involved in non-criminal investigations conducted by the Secret Service; (c) Disclosure to personnel of private institutions and to private individuals for the purpose of confirming and/or determining suitability, eligibility, or qualifications for Federal civilian employment or access to classified information; and for the purposes of furthering the efforts of the Secret Service to investigate the activities of individuals related to or involved in non-criminal civil and administrative investigations; (d) Disclosure to another agency or to an instrumentality of any governmental jurisdiction within or under the control of the United States for the purpose of determining suitability, eligibility, or qualifications for employment with or access to classified information in such other agency or instrumentality; (e) Records maintained indicating a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, may be referred to the appropriate agency, whether Federal, state, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto; (f) Disclosures in the course of presenting evidence to a court, magistrate or administrative tribunal and disclosures to opposing counsel in the course of discovery proceedings for the purpose of enforcing, or prosecuting, a violation or potential violation of law, whether civil, criminal or regulatory in nature and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto; (g) Disclosures to Federal, state or local agencies maintaining civil, criminal or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant or other benefit, to the extent that the information is relevant and necessary to the requesting agencies' decision on the matter; (h) Disclosures of information relating to civil proceedings to the news media in accordance with the guidelines contained in 28 CFR 50.2. (i) Disclosure to Federal, state, or local government agencies for the purpose of developing a relevant ongoing civil, criminal, background investigations; (j) Disclosure to a student participating in a Secret Service student volunteer program, where such disclosure is necessary to further the efforts of the Secret Service.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records comprising this System of the U.S. Secret Service are contained in file jackets, microfilm, and microfiche. Portions of these indices and information are maintained in on-line computer data files located at Headquarters.

Retrievability:

This System is indexed alphabetically by name in Headquarters, Inspection, field master, and magnetic media indices. Access to the physical files is by case number obtained from the name indices.

Safeguards:

(1) The file jackets and indices are secured by alarms and other internal security devices in locked rooms with guards on duty on an around-the-clock basis. Access to the records is available only to employees responsible for record management and operational employees who have a need for such information, each of whom holds a top secret security clearance; (2) The file jackets and the master field indices comprising this System in field offices are located in locked filing cabinets and when employees are not on duty, in locked rooms. Access to the system is limited to employees holding top secret security clearances.

Retention and disposal:

The retention schedule is as follows: (1) All judicial case records are retained for a period of 20; (2) Applicant security and background investigation records of Secret Service employees are retained for twenty years after retirement or separation of the employee from Secret Service employment; (3) Applicant investigation records relating to employees of Bureaus of the Treasury Department other than the Secret Service, are retained for 20 years; (4) All other records, the disposition of which are not otherwise specified, are retained for 5 years. Disposal: Disposal of records is by burning, shredding, maceration, and pulping.

System manager(s) and address:

Assistant Directors, Office of Investigation and Office of Inspection, 1800 G St., NW., Washington, DC 20223.

Notification procedure:

The Director of the U.S. Secret Service has exempted this System from the provisions of 5 U.S.C. 552a(e)(4)(G).

Record access procedures:

The Director of the U.S. Secret Service has exempted this System from the provisions of 5 U.S.C. 552a(e)(4)(H).

Contesting record procedures:

See access above.

Record source categories:

The Director of the U.S. Secret Service has exempted this System from the provisions of 5 U.S.C. 552a(e)(4)(I).

Systems exempted from certain provisions of the act: This system is exempt from 5 U.S.C. 552a (c)(3), (d), (e)(4)(G), (e)(4)(H), (e)(4) (I) and (f) of the Privacy Act pursuant to 5 U.S.C. 552a (j) and (k).

Treasury/USSS .007

System name:

Protection Information System—Treasury/USSS.

System location:

(a) United States Secret Service, 1800 G St., NW., Washington, DC 20223; (b) Presidential Protective Division, U.S. Secret Service, Room 1, Old Executive Office Building, Washington, DC 20500; (c) Vice-Presidential Protection Division, U.S. Secret Service, Room 295, Executive Office Building, Washington, DC 20500; (d) Dignitary Protective Division, U.S. Secret Service, 1310 L St., NW, Suite 500, Washington, DC 20005; (e) Special Services Division, U.S. Secret Service, Washington Navy Yard, 2nd and M St., SE, Bldg. 216, Washington, DC 20374; (f) Johnson Protective Division, U.S. Secret Service, P.O. Box 927, Stonewall, TX 78671; (g) Ford Protective Division, U.S. Secret Service, P.O. Box 955, Rancho Mirage, CA 92270-955; (h) U.S. Secret Service Uniformed Division, Room 320, 1310 L St., NW, Washington, DC 20005; (i) Technical Security Division, Room 572, Old Executive Office Building, Washington, DC 20500; (j) Carter Protective Division, U.S. Secret Service, P.O. Box 308, Plains, GA 31780; (k) Western Protective Division, Westlake Village, CA 91361-2762. (1) WAVES Center, Old Executive Office Bldg., Room 065. Components of this System are geographically dispersed throughout Secret Service field offices. (See below, United States Secret Service Appendix A, listing the addresses of Secret Service field offices.)

Categories of individuals covered by the system:

(a) Individuals who have been or are currently the subject of a criminal investigation by the U.S. Secret Service or another law enforcement agency for the violation of certain criminal statutes relating to the protection of persons or the security of properties; (b) Individuals who are the subjects of investigative records and reports supplied to the Secret Service by Federal, state, and local law enforcement agencies, foreign or domestic, other non-law enforcement governmental agencies, or private institutions and individuals; (c) Individuals who are the subjects of non-criminal protective and background investigations by the Secret Service and other law enforcement agencies where the evaluation of such individuals, in accordance with criteria established by the Secret Service, indicates a need for such investigations; (d) Individuals who are granted ingress and egress to areas secured by the Secret Service, or to areas in close proximity to persons protected by the Secret Service, including but not limited to invitees, passholders, tradesmen, and law enforcement, maintenance or service personnel; (e) Individuals who have attempted or solicited unauthorized entry into areas secured by the Secret Service; individuals who have sought an audience or contact with persons protected by the Secret Service or who have been involved in incidents or events which relate to the protective functions of the Secret Service; (f) Individuals who are witnesses, protectees, suspects, complainants, informants, defendants, fugitives, released prisoners, and correspondents who have been identified by the Secret Service or from information supplied by other law enforcement agencies, governmental units, private institutions, and members of the general public in connection with the performance by the Secret Service of its authorized protective functions.

Categories of records in the system:

(a) Records containing information compiled for the purpose of identifying individual criminal offenders and alleged offenders and consisting only of identifying data and notations of arrest, the nature and disposition of criminal charges, sentencing, confinement, release, and parole or probation status; (b) Records containing information compiled for the purpose of a criminal investigation, including reports of informants and investigators, which are associated with an identifiable individual; (c) Records containing reports relative to an individual compiled at various stages of the process of enforcement of certain criminal laws from arrest or indictment through release from supervision; (d) Records containing information supplied by other Federal, state, and local law enforcement agencies, foreign or domestic, other non-law enforcement governmental agencies, private institutions and persons concerning individuals who, because of their activities, personality traits, criminal or mental history, or history of social deviancy, may be of interest to the Secret Service in connection with the performance by that agency of its protective functions; (e) Records containing information compiled for the purpose of identifying and evaluating individuals who may constitute a threat to the safety of persons or security of areas protected by the Secret Service; (f) Records containing information compiled for the purpose of background investigations of individuals, including but not limited to, passholders, tradesmen, maintenance or service personnel who have access to areas secured by or who may be in close proximity to persons protected by the Secret Service.

Authority for maintenance of the system:

The protective authority is contained in 18 U.S.C. 3056 and Section 1 of Pub. L. 90-331 (18 U.S.C. 871; 18 U.S.C. 1751). The protective and security authority of the U.S. Secret Service Uniformed Division is contained in 3 U.S.C. 202.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The routine uses are as follows: (a) Disclosure to the Department of Justice and other Federal, state, and local governmental agencies having a prosecutive function for the use of attorneys, magistrates, and judges; and parole and probation authorities for the purpose of prosecuting, sentencing, and determining the parole and probation status of criminal offenders or suspected criminal offenders; and for civil and other proceedings involving Secret Service Protective functions; (b) Disclosure to personnel of other Federal, state and local law enforcement agencies, foreign or domestic, for the purpose of developing information on subjects involved in Secret Service protective investigations and evaluations and for the purpose of protective intelligence briefings of personnel of other law enforcement and governmental agencies assisting the U.S. Secret Service in the performance of its protective functions; (c) Disclosure to personnel of Federal, state, and local governmental agencies, foreign or domestic, where such disclosures are considered reasonably necessary for the purpose of furthering Secret Service efforts to investigate the activities of those persons considered to be of protective interest; (d) Disclosure to personnel of Federal, state, and local law enforcement agencies and other governmental agencies, foreign or domestic, where there is a showing of a reasonable need to accomplish a valid enforcement purpose; (e) Disclosure to personnel of private institutions and to private individuals of identifying information pertaining to actual or suspected criminal offenders or other individuals considered to be of protective interest for the purpose of furthering Secret Service efforts to evaluate the danger such individuals pose to persons protected by that agency; (f) Records indicating a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule, or order issued pursuant thereto, may be disclosed to the appropriate agency, whether Federal, state, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation, or order issued pursuant thereto; (g) Disclosures in the course of presenting evidence to a court, magistrate or administrative tribunal and disclosures to opposing counsel in the course of discovery proceedings for the purpose of enforcing, or prosecuting, a violation or potential violation of law, whether civil, criminal or regulatory in nature and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto; (h) Disclosures and/or responses to Federal, state or local agencies maintaining civil, criminal or other relevant law enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the issuance of a contract, grant, or other benefit, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter; (i) Disclosures of information relating to criminal and civil proceedings to the news media in accordance with the guidelines contained in 28 CFR 50.2; (j) Disclosure to a student participating in a Secret Service student volunteer program, where such disclosure is necessary to further the efforts of the Secret Service.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

All records are contained in file jackets, microfilm, or microfiche. Portions of the information contained in the records are maintained in on-line computer data files located at Headquarters.

Retrievability:

This System is indexed by name, and other identifying data in master and magnetic media indices. Access to the physical files is by case number, both at Headquarters and the field offices.

Safeguards:

(1) The file jackets and magnetic media are secured by alarms and other internal security devices in locked rooms with guards on duty on an around-the-clock basis. Access to the records is available only to employees responsible for record management and operational employees who have a need for such information, each of whom holds a top secret security clearance; (2) The file jackets and the master field indices in field offices are located in locked filing cabinets and in locked rooms when employees are not on duty. Access to the system is limited to employees of the Secret Service holding top secret security clearances.

Retention and disposal:

The retention schedule for records is as follows: (1) All judicial case records are retained for a period of 20 years. In cases where periodic checkups are conducted in protective intelligence cases, the retention period is computed from the date of the final check-up; (2) All other protective intelligence case records including protective surveys and non-judicial protective intelligence cases are routinely retained for a period of five years; (3) Disposal of records contained in this System is by burning or shredding.

System manager(s) and address:

Assistant Director, Office of Protective Research, Assistant Director Protective Operations, U.S. Secret Service, 1800 G St., NW., Washington, DC 20223.

Notification procedure:

In accordance with the provisions of 5 U.S.C. 552a (j) and (k) the Director of the U.S. Secret Service has exempted this System from the provisions of 5 U.S.C. 552a(e)(4)(G).

Record access procedures:

In accordance with the provisions of 5 U.S.C. 552a (j) and (k) the Director of the U.S. Secret Service has exempted this System from the provisions of 5 U.S.C. 552a(e)(4)(H).

Contesting record procedures:

See access above.

Record source categories:

In accordance with the provisions of 5 U.S.C. 552a (j) and (k) the Director of the U.S. Secret Service has exempted this System from the provisions of 5 U.S.C. 552a(e)(4)(I).

Systems exempted from certain provisions of the act: This system is exempt from 5 U.S.C. 552a(c)(3), (c)(4), (d), (e)(3), (e)(4)(G), (e)(4)(H), (e)(4)(I), (e)(5), (e)(8), (f) and (g) of the Privacy Act pursuant to 5 U.S.C. 552a (j) and (k).

Treasury/USSS .008

System name:

Public Affairs Record System—Treasury/USSS.

System location:

U.S. Secret Service, 1800 G St., NW., Washington, DC 20223.

Categories of individuals covered by the system:

(a) Persons who are private citizens who correspond requesting information relating to the Secret Service;

(b) Persons who are members of the news media, authors and publishers requesting information about the Secret Service;

(c) Members of Congress who make inquiries with the Secret Service;

(d) Persons who are recipients of the Secret Service Honor Award, who have received recognition from or assisted the Secret Service.

Categories of records in the system:

(a) Records of inquiries received from the general public, the communication media and the press relative to Secret Service activities; (b) Records of awards presented by the Secret Service; (c) Records of Congressional inquiries and correspondence.

Authority for maintenance of the system:

18 U.S.C. 3056 and Treasury Department Order Number 173-3, dated October 29, 1965.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses are as follows: (a) Disclosures and/or responses to members of Congress and/or the general public. (b) Disclosure to a student participating in a Secret Service student volunteer program, where such disclosure is necessary to further the efforts of the Secret Service.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records comprising this System are maintained in file jackets.

Retrievability:

Records are filed alphabetically and chronologically.

Safeguards:

The files are secured in locked filing cabinets in locked rooms, with guards on duty on an around-the-clock basis. Access is available only to employees responsible for management of the system and operational employees who have a need for such information, each of whom holds a top secret security clearance.

Retention and disposal:

Records in this system are maintained in accordance with mandatory General Services Administration, Records Schedule 14, Items 1-8.

System manager(s) and address:

Assistant to the Director, Office of Public Affairs, U.S. Secret Service, 1800 G St., NW., Washington, DC 20223.

Notification procedure:

Individuals who wish to present a request as to whether this system contains records pertaining to them should address inquiries to: Freedom of Information and Privacy Acts Officer, U.S. Secret Service, 1800 G St., NW., Room 720, Washington, DC 20223.

Record access procedures:

Requests for information contained in the System should be addressed to: Freedom of Information and Privacy Acts Officer, U.S. Secret Service, 1800 G St., NW., Room 720, Washington, DC 20223.

Contesting record procedures:

See access above.

Record source categories:

(a) The general public, the news media and members of Congress who correspond with the Secret Service; (b) Persons who have received awards or honors from the Secret Service.

Systems exempted from certain provisions of the act: None.

Treasury/USSS .009

System name:

Training Information System — Treasury/USSS.

System location:

(a) U.S. Secret Service, Office of Training, 1310 L St., NW., Room 900, Washington, DC 20005. (b) James J. Rowley Training Center, Beltsville, MD 20705.

Categories of individuals covered by the system:

Individuals who are now or were Secret Service employees and officers of the U.S. Secret Service Uniformed Division.

Categories of records in the system:

Records containing the type and dates of training programs of the U.S. Secret Service employees, officers of the U.S. Secret Service Uniformed Division including course control documents and lesson plans for classes conducted by the Office of Training.

Authority for maintenance of the system:

18 U.S.C. 3056.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Disclosure to a student participating in a Secret Service student volunteer program, where such disclosure is necessary to further the efforts of the Secret Service, otherwise, disclosures are not made outside of the Agency.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are maintained on cards.

Retrievability:

Records are filed alphabetically.

Safeguards:

Records are secured in locked rooms with alarms when employees are not on duty. Access is available only to employees responsible for management of the records and operational employees who have a need for such information, each of whom holds a top secret security clearance.

Retention and disposal:

Records are currently disposed of at varying intervals in accordance with record retention schedules approved by the National Archives and Records Administration (NARA).

System manager(s) and address:

Assistant to the Director, Office of Training, U.S. Secret Service, Room 900, 1310 L St., NW., Washington, DC 20005.

Notification procedure:

Individuals who wish to present a request as to whether this system contains records pertaining to them should address inquiries to: Freedom of Information and Privacy Acts Officer, U.S. Secret Service, 1800 G St., NW., Room 720, Washington, DC 20223.

Record access procedures:

Requests for information contained in the System should be addressed to: Freedom of Information and Privacy Acts Officer, U.S. Secret Service, 1800 G St., NW., Room 720, Washington, DC 20223.

Contesting record procedures:

See access above.

Record source categories:

(a) Individuals who are now or were Secret Service employees, officers of the U.S. Secret Service Uniformed Division and the Treasury Police Force officers; (b) Individuals from other Federal, state and local law enforcement agencies.

Systems exempted from certain provisions of the act: None.

Appendix A

U.S. Secret Service field offices:

Western Bank Building, 505 Marquette Street, NW., Suite 1700, Albuquerque, NM 87102, (505)766-3336.
6100 Rockside Woods Blvd., Cleveland, OH 44131-2334, (216)522-4365.
Equitable Building, 100 Peachtree Street, NE., Atlanta, GA 30303, (404)331-6111.
Strom Thurmond Federal Bldg., 1835 Assembly Street, Suite 1425, Columbia, SC 29201, (803)765-5446.
Federal Office Building, 300 East 8th Street, Suite 972, Austin, TX 78701, (512)482-5103.
411 Federal Office Building, 85 Marconi Boulevard, Columbus, OH 43215, (614)469-7370.
U.S. Courthouse, Room 7100, 101 W. Lombard Street, Baltimore, MD 21201, (301)962-2200.
Federal Building, 525 S. Griffin Street, Dallas TX 75202 (214)767-8021.
500 Building, 500 South 22nd St., Suite 203, Birmingham, AL 35233, (205)731-1144.
1660 Lincoln Street, Suite 1430, Denver, CO 80264, (303)844-3027.
Boston Federal Office Bldg., 10 Causeway Street, Boston, MA 0222-1080, (617)565-5640.
Federal Building & U.S. Courthouse, Room 317, 231 Lafayette Blvd; Detroit, MI 48226, (313)226-6400.
Federal Building, Room 1208, 111 West Huron Street, Buffalo, NY 14202, (716)846-4401.
Pershing Building West, Room 301, 4100 Rio Bravo Street, El Paso, TX 79902, (915)541-7546.
1 Valley Square, Suite 910, Charleston, WV 25301, (304)347-5188.
Gerald R. Ford Federal Bldg. & U.S. Courthouse, 110 Michigan Ave; NW., Grand Rapids, MI 49503, (616)456-2276.
226 Skeens Building, 4530 Park Road, Charlotte, NC 28209, (704)523-9583.
300 Ala Moana Boulevard; Room 6309, Honolulu, HI 96850, (808)541-1912.
219 S. Dearborn Street, Suite 742, Chicago, IL 60604, (312)353-5431.
602 Sawyer Street, Houston, TX 77007, (713)229-2755.
Federal Office Building, 550 Main Street, Cincinnati, OH 45202, (513)684-3585.
575 N. Pennsylvania Street, Suite 211, Indianapolis, IN 46204, (317)269-6444.
Federal Bldg., 100 West Capitol Street, Jackson, MS 39269, (601)948-7459.
7820 Arlington Expressway, Suite 500, Jacksonville, FL 32211, (904)724-4530.
500 Camp Street, New Orleans, LA 70130, (504)589-4041.
811 Grand Avenue, Kansas City, MO 64142, (816)374-5022.
6 World Trade Center, Room 623, New York, NY 10048-0953, (212)466-4400.
Savers Federal Bldg; 320 W. Capitol, Suite 640, Little Rock, AR 72201, (501)378-6241.
Federal Building, Room 400, 200 Granby Mall, Norfolk, VA 23510, (804)441-3200.
300 N. Los Angeles Street, Room 4324, Los Angeles, CA 90012, (213)894-4830.
200 Northwest Fifth Street, Suite 926, Oklahoma City, OK 73102, (405)231-4476.
U.S. Courthouse, Room 439, 601 West Broadway, Louisville, KY 40202, (502)582-5171.
Old Federal Bldg; 106 S. 15th Street, Room 905, Omaha, NE 68102, (402)221-4671.
167 North Main Street, Suite 831, Memphis, TN 38103, (901)521-3568.
Room 406-410, D Bldg; 58 bis, Rue la Boetie, American Embassy, Paris 8, France, (75008)4296-1202.
8375 Northwest 53rd Street, Suite 201, Miami, FL 33166, (305)591-3660.
600 Arch Street, 7256 Federal Bldg; Philadelphia, PA 19106, (215)597-0600.
517 East Wisconsin Avenue, Room 572, Milwaukee, WI 53202, (414)291-3587.
Room 2041, Federal Building, 230 North 1st Avenue, Phoenix, AZ 85025, (602)261-3556.
110 South 4th Street, 218 U.S. Courthouse, Minneapolis, MN 55401, (612)348-1800.
1000 Liberty Avenue, Room 835, Pittsburgh, PA 15222, (412)644-3384.
107 Saint Francis Street, Suite 1100, Mobile, AL 36602, (205)690-2851.
121 Southwest Salmon Street, Suite 1330, Portland, OR 97204, (503)221-2162.
801 Broadway Street, U.S. Courthouse 658, Nashville, TN 37203, (615)251-5841.
The Federal Center, 380 Westminster St., Suite 343, Providence, RI 02903, (401)331-6456.
60 Evergreen Place, East Orange, NJ 07018, (201)645-2334.
400 North Eighth Street, Room 10-006, Richmond, VA 23240, (804)771-2274.
One Church Street, 6th Floor, New Haven, CT 06501, (203)865-2449.
501 J Street, Suite 530, Sacramento, CA 95814, (916)551-2802.
1114 Market Street, Room 924, St. Louis, MO 63101, (314)425-4238.
234 Summit Street, Room 305, Toledo, OH 43604, (419)259-6434.
350 South Main Street, Salt Lake City, UT 84101, (801)524-5910.
1800 G Street, NW., Washington, DC 20223, (202)535-5100.
727 E. Durango, Room A602, San Antonio, TX 78206, (512)229-6175.
880 Front Street, Suite 4-5-1, San Diego, CA 92188, (619)293-5640.
450 Golden Gate Avenue, San Francisco, CA 94102, (415)556-6800.
Federal Office Building, Room 539, 5th Floor, Chalos E. Chardon Avenue, San Juan, PR 00918, (809)753-4539.
Post Office Building, Room 304, Washington and Linden Streets, Scranton, PA 18501, (717)346-5871.
915 Second Avenue, Seattle, WA 98174, (206)442-5495.
920 W. Riverside Avenue, Spokane, WA 99201, (509)456-2532.
600 East Monroe Street, Suite 210, Springfield, IL 62701, (217)492-4033.
100 S. Clinton Street, U.S. Federal Building, Room 1371, Syracuse, NY 13260, (315)423-5338.
700 Twiggs Street, Suite 740, Tampa, FL 33602, (813)228-2636.

DEPARTMENT OF THE TREASURY

Office of Thrift Supervision

12 CFR PART 503–PRIVACY ACT

Authority: Sec. 552a, 80 Stat. 383, as amended (5 U.S.C. 552a); sec. 3, as added by sec. 301, 103 Stat. 278 (12 U.S.C. 1462a); sec. 4, as added by sec. 301, 103 Stat. 280 (12 U.S.C. 1463); sec. 5, 48 Stat. 132, as amended (12 U.S.C. 1464).

Cross Reference: See 31 CFR part 1, subpart C.

503.1 Scope and procedures.

(a)*In general.*The Privacy Act regulations of the Department of the Treasury, 31 CFR part 1, subpart C, apply to the Office as a component part of the Department of the Treasury. This part 503 sets forth, for the Office, specific notification and access procedures with respect to particular systems of records, and identifies the officials designated to make the initial determinations with respect to notification and accessto records and accountings of disclosures of records. This part 503 also sets forth the specific procedures for requesting amendment of records and identifies the officials designated to make the initial and appellate determinations with respect to requests for amendments of records. It identifies the officials designated to grant extensions of time on appeal, the officials with whom "Statements of Disagreement" may be filed, the official designated to receive service of process and the addresses for delivery of requests, appeals, and service of process. In addition, it references the notice of systems of records and notices of the routine uses of the information in the system required dby 5 U.S.C. 552a(e)(4) and (11) and published annually by the Office of the Federal Register in "Privacy Act Issuances."

(b)*Requests for notification and access to records and accountings of disclosures.*Initial determinations under 31 CFR 1.26, whether to grant requests for notification and access to records and accountings of disclosures for the Office, will be madeby the head of the organizational unit having immediate custody of the records requested or an official designated by this official. This is indicated in the appropriate system notice in "Privacy Act Issuances" publisahed annually by the Office of the Federal Register. Requests for information and specific guidance on where to send requests for records may be mailed or delivered personally to: Privacy Act Request, Office of Congressional Relations and Communicationbs, Office of Thrift Supervision, 1700 G Street, NW., Washington, DC 20552.

(c)*Requests for amendment of records.* Initial determinations under 31 CFR 1.27(a) through (d), whether to grant requests to amend records will be made by the head of the organizational unit having immediate custody of the records or the delegate of such official. Requests for amendment should be addressed to: Privacy Act Amendment Request, Office of Congressional Relations and Communications, Office of Thrift Supervision, 1700 G Street, NW, Washington, DC 20552.

(d)*Administrative appeal of initial determinations refusing amendment of records.* Appellate determinations refusing amendment of records under 31 CFR 1.27(e) including extensions of time on appeal, with respect to records of the Office will be made by the Director of the Office of Thrift Supervision ("Director") or Chief Counsel or the delegate of the Director or Chief Counsel. Appeals made by mail should be addressed to, or delivered personally to: Privacy Act Amendment Appeal, Office of Congressional Relations and Communications, Office of Thrift Supervision, 1700 G Street, NW, Washington, DC 20552.

(e)*Statements of disagreement.* "Statements of Disagreement" under 31 CFR 1.27(e)(4)(i) shall be filed with the Senior Deputy Director for Congressional Relations and Communications at the address indicated in the letter of notification within 35 days of the date of such notification and should be limited to one page.

(f)*Service of process.*Service of process will be received by the Chief Counsel's Office or the delegate of such official and shall be delivered to the following location: Chief Counsel's Office, Office of Thrift Supervision, 1700 G Street, NW, Washington, DC 20552.

(g)*Annual notice of systems of records.*The annual notice of systems of records is published by the Office of the Federal Register, as specified in 5 U.S.C. 552a(f). The publication is entitled "Privacy Act Issuances". Any specific requirements for access, including identification requirements, in addition to the requirements set forth in 31 CFR 1.26 and 1.27 are indicated in the notice for the pertinent system.

[54 FR 49443, Nov. 30, 1989]

Title 31-Money and Finance: Treasury

Subtitle A-Office of the Secretary of the Treasury

PART 1—DISCLOSURE OF RECORDS

Subpart C Records Pertaining to Individuals

1.20 Purpose and scope of regulations.
1.21 Definitions.
1.22 Requirements relating to systems of records.
1.23 Publication in the **Federal Register**—Notices of systems of records, general exemptions, specific exemptions, review of all systems.
1.24 Disclosure of records to person other than the individual to whom they pertain.
1.25 Accounting of disclosures.
1.26 Procedures for notification and access to records pertaining to individuals—format and fees for request for access.
1.27 Procedures for amendment of records pertaining to individuals—format, agency review and appeal from initial adverse agency determination.
1.28 Training, rules of conduct, penalties for non-compliance.
1.29 Record transferred to Federal Records Center or National Archives of the United States.
1.30 Application to system of records maintained by Government contractors.
1.31 Sale or rental of mailing lists.
1.32 Use and disclosure of social security numbers.
1.34 Guardianship.
1.35 Information forms.
1.36 Systems exempt in whole or in part from provisions of 5 U.S.C. 552a and this part.
Appendix A—Departmental Offices
Appendix B—Internal Revenue Service
Appendix C—United States Customs Service
Appendix D—United States Secret Service
Appendix E—Bureau of Alcohol, Tobacco and Firearms
Appendix F—Bureau of Engraving and Printing
Appendix G—Financial Management Service
Appendix H—United States Mint
Appendix I—Bureau of the Public Debt
Appendix J—Office of the Comptroller of the Currency
Appendix K—United States Savings Bonds Division
Appendix L—Federal Law Enforcement Training Center

Authority: 5 U.S.C. 552a.

Source: 52 FR 26304, Jul. 14, 1987, unless otherwise noted.

Subpart C—Records Pertaining to Individuals

§ 1.20 Purpose and scope of regulations.

The regulations in this subpart are issued to implement the provisions of the Privacy Act of 1974 (5 U.S.C. 552a). The regulations apply to all records which are contained in systems of records maintained by the Department of the Treasury and which are retrieved by an individual's name or personal identifier. They do not relate to those personnel records of Government employees, which are under the jurisdiction of the Office of Personnel Management to the extent such records are subject to regulations issued by such OPM. The regulations apply to all components of the Department of the Treasury. Any reference in this subpart to the Department or its officials, employees, or records shall be deemed to refer also to the components or their officials, employees, or records. The regulations set forth the requirements applicable to Department of the Treasury employees maintaining, collecting, using or disseminating records pertaining to individuals. They also set forth the procedures by which individuals may request notification of whether the Department of the Treasury maintains or has disclosed a record pertaining to them or may seek access to such records maintained in any nonexempt system of records, request correction of such records, appeal any initial adverse determination of any request for amendment, or may seek an accounting of disclosures of such records. For the convenience of interested persons, the components of the Department of the Treasury may reprint these regulations in their entirety (less any appendices not applicable to the component in question) in those titles of the Code of Federal Regulations which normally contain regulations applicable to such components. In connection with such republication, and at other appropriate times, components may issue supplementary regulations applicable only to the component in question, which are consistent with these regulations. In the event of any actual or apparent inconsistency, these Departmental regulations shall govern. Persons interested in the records of a particular component should, therefore, also consult the Code of Federal Regulations for any rules or regulations promulgated specifically with respect to that component (see Appendices to this subpart for cross references). The head of each component is hereby also authorized to substitute other appropriate officials for those designated and correct addresses specified in the appendix to this subpart applicable to the component. The components of the Department of the Treasury for the purposes of this subpart are:

(a) The Departmental Offices, which includes the offices of:

(1) The Secretary of the Treasury, including immediate staff;

(2) The Deputy Secretary of the Treasury, including immediate staff;

(3) The Under Secretary of the Treasury for Finance, including immediate staff;

(4) The Fiscal Assistant Secretary, including immediate staff;

(5) The Assistant Secretary of the Treasury for Economic Policy and all other offices reporting to such official, including immediate staff;

(6) The General Counsel and also the Legal Division, except legal counsel to the components listed in paragraphs (a)(9) and (b) through (l) of this section;

(7) The Assistant Secretary of the Treasury for International Affairs and all offices reporting to such official, including immediate staff;

(8) The Treasurer of the United States, including immediate staff;

(9) The Assistant Secretary of the Treasury for Tax Policy, including immediate staff and all offices reporting to such official;

(10) The Assistant Secretary of the Treasury for Management, and all offices reporting to such official, including immediate staff;

(11) The Assistant Secretary of the Treasury for Domestic Finance and all offices reporting to such official, including immediate staff;

(12) The Assistant Secretary of the Treasury for Legislative Affairs, including immediate staff;

(13) The Assistant Secretary of the Treasury for Public Affairs and Public Liaison, including immediate staff;

(14) The Assistant Secretary of the Treasury for Enforcement and all offices reporting to such official, including immediate staff;

(15) The Special Assistant to the Secretary (National Security), including immediate staff;

(16) The Inspector General and all offices reporting to such official, including immediate office.

(b) The Bureau of Alcohol, Tobacco and Firearms;

(c) The Office of the Comptroller of the Currency;

(d) The United States Customs Service;

(e) The Bureau of Engraving and Printing;

(f) The Federal Law Enforcement Training Center;

(g) The Financial Management Service;

(h) The Internal Revenue Service;

(i) The United States Mint;

(j) The Bureau of the Public Debt;

(k) The United States Savings Bond Division;

(l) The United States Secret Service;

For purposes of this subpart, the office of the legal counsel for the components listed in paragraphs (b), (c), (d), (e), (f), (g), (h), (i), and (j) of this section are to be considered a part of such component. Any office, which is now in existence or may hereafter be established, which is not specifically listed or known to be a component of any of those listed above, shall be deemed a part of the Departmental Offices for the purpose of these regulations.

§ 1.21 Definitions.

(a) The term "agency" means agency as defined in 5 U.S.C. 552(e);

(b) The term "individual" means a citizen of the United States or an alien lawfully admitted for permanent residence;

(c) The term "maintain" includes maintain, collect, use, or disseminate;

(d) The term "record" means any item, collection, or grouping of information about an individual that is maintained by the Department of the Treasury or component of the Department. This includes, but is not limited to, the individual's education, financial transactions, medical history, and criminal or employment history and that contains the name, or an identifying number, symbol, or other identifying particular assigned to the individual, such as a finger or voice print or a photograph;

(e) The term "system of records" means a group of any records under the control of the Department of the Treasury or any component from which information is retrieved by the name of the individual or by some identifying number, symbol, or other identifying particular assigned to the individual;

(f) The term "statistical record" means a record in a system of records maintained for statistical research or reporting purposes only and not used in whole or part in making any determination about an identifiable individual, except as provided by 13 U.S.C. 8.

(g) The term "routine use" means the disclosure of a record that is compatible with the purpose for which the record was collected;

(h) The term "component" means a bureau or office of the Department of the Treasury as set forth in § 1.20 and in the appendices to these regulations. (See 5 U.S.C. 552a(a).)

(i) The term "request for access" means a request made pursuant to 5 U.S.C. 552a(d)(1).

(j) The term "request for amendment" means a request made pursuant to 5 U.S.C. 552a(d)(2).

(k) The term "request for accounting" means a request made pursuant to 5 U.S.C. 552a(c)(3).

§ 1.22 Requirements relating to systems of records.

(a) *In general.* Subject to 5 U.S.C. 552a (j) and (k) and § 1.23(c), each component shall, in conformance with 5 U.S.C. 552a:

(1) Maintain in its records only such information about an individual as is relevant and necessary to accomplish a purpose of the agency required to be accomplished by the statute or by Executive Order of the President (See 5 U.S.C. 552a(e)(1)).

(2) Collect information to the greatest extent practicable directly from the subject individual when the information may result in adverse determinations about an individual's rights, benefits, and privileges under Federal programs. (See 5 U.S.C. 552a(e)(2)).

(b) *Requests for information from individuals.* Subject to 5 U.S.C. 552a(j) and § 1.23(c)(1), each component of the Treasury shall inform each individual whom it asks to supply information, on the form which it uses to collect the information or on a separate form that can be retained by the individual:

(1) The authority (whether granted by statute, or by Executive Order of the President) which authorizes the solicitation of the information and whether disclosure of such information is mandatory or voluntary;

(2) The principal purpose or purposes for which the information is intended to be used;

(3) The routine uses which may be made of the information, as published pursuant to 5 U.S.C. 552a(e)(4)(D); and

(4) The effects on such individual, if any, of not providing all or any part of the requested information. (See 5 U.S.C. 552a(e)(3)).

(c) *Report on new systems.* Each component of the Treasury shall provide adequate advance notice to Congress and the Office of Management and Budget through the Disclosure Branch and Administration Section of the Office of the General Counsel of any proposal to establish or alter any system of records in order to permit an evaluation of the probable or potential effect of such proposal on the privacy and other personal or property rights of individuals or the disclosure of information relating to such individuals, and its effect on the preservation of the constitutional principles of federalism and separation of powers. (See 5 U.S.C. 552a(o)).

(d) *Accurate and secure maintenance of records.* Each component shall:

(1) Subject to 5 U.S.C. 552a(j) and § 1.23(c)(1), maintain all records which are used in making any determination about any individual with such accuracy, relevance, timeliness, and completeness as is reasonably necessary to assure fairness to the individual in the determination (see 5 U.S.C. 552a(e)(5);

(2) Prior to disseminating any record about an individual to any person other than an agency, unless the dissemination is made pursuant to 5 U.S.C. 552 (see 31 CFR Part 1, Subpart A), make reasonable efforts to assure that such records are accurate, complete, timely, and relevant for Department of the Treasury purposes (see 5 U.S.C. 552a(e)(6)) and

(3) Establish appropriate administrative, technical, and physical safeguards to insure the security and confidentiality of records and to protect against any anticipated threats or hazards to their security or integrity which could result in substantial harm, embarrassment, inconvenience, or unfairness to any individual on whom information is maintained. (See 5 U.S.C. 552a(e)(10)).

(i) System managers, with the approval of the head of their offices within a component, shall establish administrative and physical controls, consistent with Department regulations, to insure the protection of records systems from unauthorized access or disclosure and from physical damage or destruction. The controls instituted shall be proportional to the degree of sensitivity of the records but at a minimum must insure that records other than those available to the general public under the Freedom of Information Act (5 U.S.C. 552), are protected from public view, that the area in which the records are stored is supervised during all business hours and physically secure during nonbusiness hours to prevent unauthorized personnel from obtaining access to the records. Automated systems shall comply with the security standards promulgated by the National Bureau of Standards.

(ii) System managers, with the approval of the head of their offices within a component, shall adopt access restrictions to insure that only those individuals within the agency who have a need to have access to the records for the performance of their duties have access to them. Procedures shall also be adopted to prevent accidental access to, or dissemination of, records.

(e) *Prohibition against maintenance of records concerning First Amendment rights.* No component shall maintain a record describing how any individual exercises rights guaranteed by the First Amendment (e.g. speech), unless the maintenance of such record is:

(1) Expressly authorized by statute, or

(2) Expressly authorized by the individual about whom the record is maintained, or

(3) Pertinent to and within the scope of an authorized law enforcement activity. (See 5 U.S.C. 552a (e)(7).

(f) *Notification of disclosure under compulsory legal process.* Subject to 5 U.S.C. 552a(j) and § 1.23(c)(1), when records concerning an individual are subpoenaed by a Grand Jury, Court, or quasi-judicial agency, or disclosed in accordance with an ex parte court order pursuant to 26 U.S.C. 6103(i), the official served with the subpoena or court order shall make reasonable efforts to assure that notice of any disclosure is provided to the individual. Notice shall be provided within five working days of making the records available under compulsory legal process or, in the case of a Grand Jury subpoena or an ex parte order, within five days of its becoming a matter of public record. Notice shall be mailed to the last known address of the individual and shall contain the following information: The date and authority to which the subpoena is, or was returnable, or the date of and court issuing the ex parte order, the name and number of the case or proceeding, and the nature of the information sought and provided. Notice of the issuance of a subpoena or an ex parte order is not required if the system of records has been exempted from the notice requirement of 5 U.S.C. 552a (e)(8) and this section, pursuant to 5 U.S.C. 552a (j) and § 1.23 (c)(1), by a Notice of Exemption published in the **Federal Register**. (See 5 U.S.C. 552a (e)(8)).

(g) *Emergency Disclosure.* If information concerning an individual has been disclosed to any person under compelling circumstances affecting health or safety, the individual shall be notified at the last known address within 5 days of the disclosure (excluding Saturdays, Sundays, and legal public holidays). Notification shall include the following information: The nature of the information disclosed, the person or agency to whom it was disclosed, the date of disclosure, and the compelling circumstances justifying the disclosure. Notification shall be given by the officer who made or authorized the disclosure. (See 5 U.S.C. 552a (b)(8)).

§ 1.23 Publication in the Federal Register—Notices of systems of records, general exemptions, specific exemptions, review of all systems.

(a) *Notices of systems of records to be published in the* **Federal Register**. (1) The Department shall publish a notice of the existence and character of all systems of records every 3 years in the **Federal Register.** An annual notice of systems of records is required to be published by the Office of the Federal Register in the publication entitled "Privacy Act Issuances", as specified in 5 U.S.C. 552a(f).

(2) Minor changes to systems of records shall be published annually. (See paragraph (d)(8) of this section)

(3) In addition, the Department shall publish in the **Federal Register** upon establishment or revision a notice of the existence and character of any new or revised systems of records. Unless otherwise instructed, each notice shall include:

(i) The name and location of the system;

(ii) The categories of individuals on whom records are maintained in the system;

(iii) The categories of records maintained in the system;

(iv) Each routine use of the records contained in the system, including the categories of users and the purpose of such use;

(v) The policies and practices of the component regarding storage, retrievability, access controls, retention, and disposal of the records;

(vi) The title and business address of the Treasury official who is responsible for the system of records;

(vii) The procedures of the component whereby an individual can be notified if the system of records contain a record pertaining to the individual, including reasonable times, places, and identification requirements.

(viii) The procedures of the component whereby an individual can be notified on how to gain access to any record pertaining to such individual that may be contained in the system of records, and how to contest its content; and

(ix) The categories of sources of records in the system. (See 5 U.S.C. 552a(e)(4)).

(b) *Notice of new or modified routine uses to be published in the* **Federal Register**. At least 30 days prior to a new use or modification of a routine use, as published under paragraph (a)(3)(iv) of this section, each component shall publish in the **Federal Register** notice of such new or modified use of the information in the system and provide an opportunity for interested persons to submit written data, views, or arguments to the components. (See 5 U.S.C. 552a(e)(11)).

(c) *Promulgation of rules exempting systems from certain requirements*—(1) *General exemptions.* In accordance with existing procedures applicable to a Treasury component's issuance of regulations, the head of each such component may adopt rules, in accordance with the requirements (including general notice) of 5 U.S.C. 553 (b) (1), (2), and (3), (c) and (e), to exempt any system of records within the component from any part of 5 U.S.C. 552a and these regulations except subsections (b) (Sec. 1.24, conditions of disclosure), (c)(1) (Sec. 1.25, keep accurate accounting of disclosures), (c)(2) (Sec. 1.25, retain accounting for five years or life of record), (e)(4) (A) through (F) (paragraph (a) of this section, publication of annual notice of systems of records), (e)(6) (Sec. 1.22(d), accuracy of records prior to dissemination), (e)(7) (Sec. 1.22(e), maintenance of records on First Amendment rights), (e)(9) (Sec. 1.23, establish rules of conduct), (e)(10) (Sec. 1.22(d)(3), establish safeguards for records), (e)(11) (paragraph (c) of this section, publish new intended use), and (i) (Sec. 1.28(c), criminal penalties) if the systems of records maintained by the component which performs as its principal function any activity pertaining to the enforcement of criminal laws, including police efforts to prevent, control, or reduce crime or to apprehend criminals, and the activities of prosecutors, courts, correctional, probation, pardon, or parole authorities, and which consists of (i) information compiled for the purpose of identifying individual criminal offenders and alleged offenders and consisting only of identifying data and notations of arrests, the nature and disposition of criminal charges, sentencing, confinement, release, and parole, and probation status; (ii) information compiled for the purpose of a criminal investigation, including reports of informants and investigators, and associated with an identifiable individual; or (iii) reports identifiable to an individual compiled at any stage of the process of enforcement of the criminal laws from arrest or indictment through release from supervision. (See 5 U.S.C. 552a(j)).

(2) *Specific exemptions.* In accordance with existing procedures applicable to a Treasury component's issuance of regulations, the head of each such component may adopt rules, in accordance with the requirements (including general notice) of 5 U.S.C. 553 (b) (1), (2), and (3), (c), and (e), to exempt any system of records within the component from 5 U.S.C. 552a(c)(3) (Sec. 1.25(c)(2), accounting of certain disclosures available to the individual), (d) (Sec. 1.26(a), access to records), (e)(1) (Sec. 1.22(a)(1), maintenance of information to accomplish purposes authorized by statute or executive order only), (e)(4)(G) (paragraph (a)(7) of this section, publication of procedures for notification), (e)(4)(H) (paragraph (a)(8) of this section, publication of procedures for access and contest), (e)(4)(I) (paragraph (a)(9) of this section, publication of sources of records), and (f) (Sec. 1.26, promulgate rules for notification, access and contest), if the system of records is:

(i) Subject to the provisions of 5 U.S.C. 552(b)(1);

(ii) Investigatory material compiled for law enforcement purposes, other than material within the scope of subsection (j)(2) of 5 U.S.C. 552a and paragraph (a)(1) of this section. If any individual is denied any right, privilege, or benefit that such individual would otherwise be entitled to by Federal law, or for which such individual would otherwise be eligible, as a result of the maintenance of this material, such material shall be provided to the individual, except to the extent that the disclosure of the material would reveal the identity of a source who furnished information to the Government under an express promise that the identity of the source would be held in confidence, or prior to September 27, 1975, under an implied promise that the identity of the source would be held in confidence;

(iii) Maintained in connection with providing protective services to the President of the United States or other individuals pursuant to 18 U.S.C. 3056;

(iv) Required by statute to be maintained and used solely as statistical records;

(v) Investigatory material compiled solely for the purpose of determining suitability, eligibility, or qualifications for Federal civilian employment, military service, Federal contracts, or access to classified information, but only to the extent that the disclosure of such material would reveal the identity of a source who furnished information to the Government under an express promise that the identity of the source would be held in confidence, or, prior to September 27, 1975, under an implied promise that the identity of the source would be held in confidence;

(vi) Testing or examination material used solely to determine individual qualifications for appointment or promotion in the Federal service the disclosure of which would compromise the objectivity or fairness of the testing or examination process; or

(vii) Evaluation material used to determine potential for promotion in the armed services, but only to the extent that the disclosure of such material would reveal the identity of a source who furnished information to the Government under an express promise that the identity of the source would be held in confidence, or, prior to September 27, 1975, under an implied promise that the identity of the source would be held in confidence.

(3) At the time that rules under this subsection are adopted, the head of the component shall include in the statement required under 5 U.S.C. 553(c) the reasons why the system of records is to be exempted from a provision of 5 U.S.C. 552a and this part. (See 5 U.S.C. 552a (j) and (k).)

(d) *Review and Report to OMB.* The Department shall ensure that the following reviews are conducted as often as specified below by each of the components who shall be prepared to report to the Departmental Disclosure Branch upon request the results of such reviews and any corrective action taken to resolve problems uncovered. Each component shall:

(1) Review every two years a random sample of the component's contracts that provide for the maintenance of a system of records on behalf of the component to accomplish a function of the component, in order to ensure that the working of each contract makes the provisions of the Act apply. (5 U.S.C. 552a(m)(1).)

(2) Review annually component's recordkeeping and disposal policies and practices in order to assure compliance with the Act.

(3) Review routine use disclosures every 3 years, that are associated with each system of records in order to ensure that the recipient's use of such records continues to be compatible with the purpose for which the disclosing agency originally collected the information.

(4) Review every three years each system of records for which the component has issued exemption rules pursuant to section (j) or (k) of the Privacy Act in order to determine whether the exemption is needed.

(5) Review annually each ongoing matching program in which the component has participated during the year, either as a source or as a matching agency in order to assure that the requirements of the Act, the OMB Matching Guidelines, and the OMB Model Control System and checklist have been met.

(6) Review component's training practices annually to ensure that all component personnel are familiar with the requirements of the Act, these regulations and Departmental directives.

(7) Review annually the actions of component personnel that have resulted either in the agency being found civilly liable under section (g) of the Act, or an employee being found criminally liable under the provisions of section (i) of the Act, in order to determine the extent of the problem and to prevent future recurrences.

(8) Review annually each system of records notice to ensure that it accurately describes the system. Where minor changes are needed, publish an amended notice in the **Federal Register**. Minor changes shall be consolidated in one annual comprehensive publication. The term "minor change to a system of records" means a change that does not significantly change the system. More specifically, a minor change does not affect the character or purpose of the system and does not affect the ability of an individual to gain access to a record about the individual or to any information pertaining to such individual which is contained in the system; for example, changing the title of the system manager or the location of the system.

§ 1.24 Disclosure of records to person other than the individual to whom they pertain.

(a) *Conditions of disclosure.* No component of Treasury shall disclose any record which is contained in a system of records maintained by it by any means of communication to any person, or to another agency, except pursuant to a written request by, or with the prior written consent of, the individual to whom the record pertains, or the parent, if a minor, or legal guardian, if incompetent, of such individual, unless disclosure of the record would be:

(1) To those offices and employees of the Department of the Treasury who have a need for the record in the performance of their duties;

(2) Retired under 5 U.S.C. 552 (Subpart A of this part);

(3) For a routine use as defined in 5 U.S.C. 552a(a)(7) and § 1.21(g) and as described under 5 U.S.C. 552a(e)(4)(D) and § 1.23(a)(4);

(4) To the Bureau of the Census for purposes of planning or carrying out a census or survey or related activity pursuant to the provisions of title 13 of the U.S. Code;

(5) To a recipient who has provided the component with advance adequate written assurance that the record will be used solely as a statistical research or reporting record, and the record is to be transferred in a form that is not individually identifiable;

(6) To the National Archives of the United States as a record which has sufficient historical or other value to warrant its continued preservation by the United States Government, or for evaluation by the Administrator of General Services or the designee of such official to determine whether the record has such value;

(7) To another agency or to an instrumentality of any governmental jurisdiction within or under the control of the United States for a civil or criminal law enforcement activity,

(i) If the activity is authorized by law; and

(ii) If the head of the agency or instrumentality has made a written request to the Department of the Treasury specifying the particular portion desired and the law enforcement activities for which the record is sought;

(8) To a person pursuant to a showing of compelling circumstances affecting the health or safety of an individual, if upon such disclosure, notification is transmitted to the last known address of such individual;

(9) To either House of Congress, or, to the extent of matter within its jurisdiction, any committee or subcommittee thereof, any joint committee of Congress or subcommittee of any such joint committee.

(10) To the Comptroller General, or the authorized representatives of such official, in the course of the performance of the duties of the General Accounting Office; or

(11) Pursuant to the order of a court of competent jurisdiction. (See 5 U.S.C. 552a(b)).

§ 1.25 Accounting of disclosures.

(a) *Accounting of certain disclosures.* Each component, with respect to each system of records under its control, shall:

(1) Keep an accurate accounting of: (i) The date, nature, and purpose of each disclosure of a record to any person or to an agency made under 5 U.S.C. 552a (b) and § 1.24; and (ii) the name and address of the person or agency to whom the disclosure is made;

(2) Retain the accounting made under paragraph (a)(1) of this section for at least five years or the life of the record, whichever is longer, after the disclosure for which the accounting is made; and

(3) Inform any person or other agency about any correction or notation of dispute made by the constitutent unit in accordance with 5 U.S.C. 552a(d) and § 1.28 of any record that has been disclosed to the person or agency if an accounting of the disclosure was made. (See 5 U.S.C. 552(c).)

(b) *Accounting systems.* To permit the accounting required by paragraph (a) of this section, system managers, with the approval of the head of their offices within a component, shall establish or implement, a system of accounting for all disclosures of records, either orally or in writing, made outside the Department of the Treasury. Accounting records shall:

(1) Be established in the least expensive and most convenient form that will permit the system manager to advise individuals, promptly upon request, what records concerning them have been disclosed and to whom;

(2) Provide, as a minimum, the identification of the particular record disclosed, the name and address of the person or agency to whom or to whom or to which disclosed, and the date, nature and purpose of the disclosure; and

(3) Be maintained for 5 years or until the record is destroyed or transferred to the National Archives and Records Administrative for storage in records centers, in which event, the accounting pertaining to those records, unless maintained separately, shall be transferred with the records themselves.

(c) *Exemptions from accounting requirements.* No accounting is required for disclosure of records:

(1) To those officers and employees of the Department of the Treasury who have a need for the record in the performance of their duties; or

(2) If disclosure would be required under 5 U.S.C. 552 and Subpart A of this part.

(d) *Access to accounting by individual.* (1) Subject to paragraphs (c) and (d)(2) of this section, each component shall establish and set forth in the appendix to this subpart applicable to the component, procedures for making the accounting required under paragraph (a) of this section available to the individual to whom the record pertains and shall thereafter make such accounting available in accordance therewith at the request of the individual. The procedures may require the requester to provide reasonable identification.

(2) Access accountings of disclosure may be withheld from the individual named in the record only if the disclosures were (i) made under 5 U.S.C. 552a (b)(7) and § 1.24 (a)(7), or (ii) under a system of records exempted from the requirements of 5 U.S.C. 552a(c)(3) in accordance with 5 U.S.C. 552 (j) or (k) and § 1.23(c). (See 5 U.S.C. 552a(c)).

§ 1.26 Procedures for notification and access to records pertaining to individuals—format and fees for request for access.

(a) *Procedures for notification and access.* Each component shall establish, in accordance with the requirements of 5 U.S.C. 553, and set forth in the appendix to this subpart applicable to such component procedures whereby an individual can be notified, in response to a request, if any system of records named by the individual contains a record pertaining to that individual. In addition, such procedures shall set forth the requirements for access to such records. As a minimum such procedures shall specify the times during, and the places at which access will be accorded, together with such identification as may be required of the individual before access. (See 5 U.S.C. 552a(f) (1), (2) and (3))

(b) *Access.* Each component in accordance with the procedures prescribed under paragraph (a) of this section, shall allow an individual to gain access to records or to any information pertaining to such individual which is contained in the system of records upon request. The individual shall be permitted to review the record and have a copy made of all or any portion of the record in a form that is comprehensible. The individual will also be permitted to be accompanied by any person of the individual's choosing to review the record, except that the agency may require the individual to furnish a written statement authorizing discussion of that individual's record in the accompanying person's presence. (See 5 U.S.C. 552a(d)(1)).

(c) *Exceptions.* Neither the procedures prescribed under paragraph (a) of this section nor the requirements for access under paragraph (b) of this section shall be applicable to—(1) systems of records exempted pursuant to 5 U.S.C. 552a (j) and (k) and § 1.23(c); (2) information compiled in reasonable anticipation of a civil action or proceeding (See 5 U.S.C. 552(d)(5)); or (3) information pertaining to an individual which is contained in, and inseparable from, another individual's record.

(d) *Format of request.* (1) A record for notification of whether a record exists shall:

(i) Be made in writing and signed by the person making the request, who must be the individual about whom the record is maintained, or such individual's duly authorized representative (See § 1.34);

(ii) State that it is made pursuant to the Privacy Act, 5 U.S.C. 552a or these regulations, have marked "Privacy Act Request" on the request and on the envelope;

(iii) Give the name of the system or subsystem or categories of records to which access is sought, as specified in "Privacy Act Issuances" published by the Office of the Federal Register and referenced in the appendices to this subpart;

(iv) Describe the nature of the record(s) sought in sufficient detail to enable Department personnel to locate the system of records containing the record with a reasonable amount of effort. Whenever possible, a request for access should describe the nature of the record sought, the date of the record or the period in which the record was compiled.

(v) Provide such identification of the requester as may be specified in the appropriate appendix to this subpart; and

(vi) Be addressed or delivered in person to the office or officer of the component indicated for the particular system or subsystem or categories of records the individual wishes access to, as specified in "Privacy Act Issuances" published by the Office of the Federal Register and referenced in the appendices to this subpart. Assistance in ascertaining the appropriate component or in preparing a request for notification may be obtained by a written request to this effect addressed as specified in Appendix A of this part, as the address for the Departmental Offices for "Request for notification and access to records and accountings of disclosures".

(2) A request for access to records shall, in addition to complying with paragraph (a)(1)(i) through (vi) of this section:

(i) State whether the requester wishes to inspect the records or desires to have a copy made and furnished without first inspecting them;

(ii) If the requester desires to have a copy made, state the firm agreement of the requester to pay the fees for duplication ultimately determined in accordance with (31 CFR 1.6) Subpart A of this title, unless such fees are waived pursuant to that section by the system manager or other appropriate official as indicated in the appropriate appendix to these regulations; and

(iii) Comply with any other requirement set forth in the applicable appendix to this subpart or the "Notice of Records Systems" applicable to the system in question. Requesters are hereby advised that any request for access which does not comply with the foregoing requirements and those set forth elsewhere in this Subpart C, will not be deemed subject to the time constraints of this section, unless and until amended so as to comply. However, components shall advise the requester in what respect the request is deficient so that it may be processed. This section applies only to records which are contained in a system of records and which are in the possession or control of the component. (See 5 U.S.C. 552a (d) and (f)).

(e) *Requests for records not in control of component.* (1) Treasury employees shall make reasonable efforts to assist an oral requester to ascertain to which office or officer a written request should be sent. When the request is for a record which is not in the possession or control of any component of the Department of the Treasury, the requester shall be so advised.

(2) Where the record requested was created by a Department or agency other than the Department of the Treasury or a component of the Department and has been classified (e.g. National Defense or Intelligence Information) or otherwise restrictively endorsed (e.g. Office of Personnel Management records of FBI reports) by such other Department or agency, and a copy is in the possession of a component of the Department of the Treasury, that portion of the request shall be referred to the originating agency for determination as to all issues in accordance with the Privacy Act. In the case of a referral to another agency under this paragraph, the requester shall be notified that such portion of the request has been so referred and that the requester may expect to hear from that agency.

(3) When information sought from a system manager or other appropriate official in the Department of the Treasury includes information furnished by other Federal agencies not classified or otherwise restrictively endorsed, the system manager or other appropriate official receiving the request shall consult with the appropriate agency prior to making a decision to disclose or not to disclose the record. The decision as to whether the record shall be disclosed shall be made, in the first instance by the system manager or other appropriate official maintaining the record. (See 5 U.S.C. 552a (d) and (f)).

(f) *Date of receipt of request.* A request for notification or access to records shall be considered to have been received for purposes of this subpart on the date on which the requirements of paragraph (d) of this section have been satisfied. Requests for notification or access to records and any separate agreement to pay shall be stamped or endorsed with the date of receipt by the receiving office. The latest of such stamped dates will be deemed to be the date of receipt of the request for the purposes of this subpart. (See 5 U.S.C. 552a (d) and (f)).

(g) *Notification of determination*—(1) *In general.* Notification of determinations as to notification of whether a record exists or as to whether to grant access to records requested will be made by the officers designated in the appendices to this subpart. The notification of the determination shall be mailed within 30 days (excluding Saturdays, Sundays and legal public holidays) after the date of receipt of the request, as determined in accordance with paragraph (f) of this section. If it is not possible to respond within 30 days, the designated officer shall inform the requester, stating the reason for the delay (e.g. volume of records requested, scattered location of the records, need to consult other agencies, or the difficulty of the legal issues involved) and when a response will be dispatched. (See 5 U.S.C. 552a (d) and (f)).

(2) *Granting of access.* When it has been determined that the request for access will be granted—(i) and a copy requested; such copy in a form comprehensible to the requester shall be furnished promptly, together with a statement of the applicable fees for duplication; and (ii) and the right to inspect has been requested, the requester shall be promptly notified in writing of the determination, and when and where the requested records may be inspected. An individual seeking to inspect such records may be accompanied by another person of such individual's choosing. The individual seeking access shall be required to sign the required form indicating that the Department of the Treasury is authorized to discuss the contents of the subject record in the accompanying person's presence. If, after making the inspection, the individual making the request desires a copy of all or a portion of the requested records, such copy in a form comprehensible to the individual shall be furnished upon payment of the applicable fees for duplication. Fees to be charged are as prescribed by 31 CFR Part 1, Subpart A, § 1.6 Fees shall not be charged where they would amount, in the aggregate, to less than $3.00. (See 5 U.S.C. 552a (d) and (f)).

(3) *Requirements for access to medical records.* When access is requested to medical records, including psychological records, the responsible official may determine that such release could have an adverse effect on the individual and that release will be made only to a physician authorized in writing to have access to such records by the individual making the request. Upon receipt of the authorization the physician will be permitted to review the records or to receive copies of the records by mail, upon proper verification of identity. (See 5 U.S.C. 552a (f) (3)).

(4) *Denial of request.* When it is determined that the request for notification of whether a record exists or access to records will be denied (whether in whole or part or subject to conditions or exceptions), the person making the request shall be so notified by mail in accordance with paragraph (g)(1) of this section. The letter of notification shall specify the city or other location where the requested records are situated (if known), contain a statement of the reasons for not granting the request as made, set forth the name and title or position of the responsible official and advise the individual making the request of the right to file suit in accordance with 5 U.S.C. 552a (g)(1)(B).

(5) *Prohibition against the use of 5 U.S.C. 552 (b) exemptions.* Exemptions from disclosure under 5 U.S.C. 552 (b) (31 CFR Part 1, Subpart A, § 1.2 (c)), may not be invoked for the purpose of withholding from an individual any record which is otherwise accessible to such individual under the Privacy Act, 5 U.S.C. 552a and this subpart. (See 5 U.S.C. 552a(q)).

(6) *Records exempt in whole or in part.* (i) When an individual requests notification as to whether a record exists or access to records concerning the individual which have been exempted from individual access pursuant to 5 U.S.C. 552a (j) or which have been compiled in reasonable anticipation of a civil action or proceeding in either a court or before an administrative tribunal and the assertion of the exemption is deemed necessary, the Department of the Treasury will neither confirm nor deny the existence of the record but shall advise the individual only that no record available to the individual pursuant to the Privacy Act of 1974 has been identified.

(ii) Requests from individuals for access to records which have been exempted from access pursuant to 5 U.S.C. 552a (k) shall be processed as follows:

(A) Requests for information classified pursuant to Executive Order 11652 require the responsible component of the Department to review the information to determine whether it continues to warrant classification under the criteria of sections 1 and 5 (B), (C), (D) and (E) of the Executive Order. Information which no longer warrants classification under these criteria shall be declassified and made available to the individual. If the information continues to warrant classification, the individual shall be advised that the information sought is classified, that it has been reviewed and continues to warrant classification, and that it has been exempted from access pursuant to 5 U.S.C. 552 (b)(1) and 5 U.S.C. 552a (k)(1). Information which has been exempted pursuant to 5 U.S.C. 552a (j) and which is also classified shall be reviewed as required by this paragraph but the response to the individual shall be in the form prescribed by paragraph (g)(6)(i) of this section.

(B) Requests for information which has been exempted from disclosure pursuant to 5 U.S.C. 552a (k)(2) shall be responded to in the manner provided in paragraph (g)(6)(i) of this section unless the requester shows that the information has been used or is being used to deny the individual any right, privilege or benefit for which he is eligible or to which he would otherwise be entitled under federal law. In that event, the individual shall be advised of the existence of the information but such information as would identify a confidential source shall be extracted or summarized in a manner which protects the source to the maximum degree possible and the summary extract shall be provided to the requesting individual.

(C) Information compiled as part of an employee background investigation which has been exempted pursuant to 5 U.S.C. 552a (k)(5) shall be made available to an individual upon request except to the extent that it identifies the confidential source. Material identifying the confidential sources shall be extracted or summarized in a manner which protects the source to the maximum degree possible and the summary or extract shall be provided to the requesting individual.

(D) Testing or examination material which has been exempted pursuant to 5 U.S.C. 552a (k)(6) shall not be made available to an individual if disclosure would compromise the objectivity or fairness of the testing or examination process; but may be made available if no such compromise possibility exists. (See 5 U.S.C. 552a (d)(5), (j) and (k)).

§ 1.27 Procedures for amendment of records pertaining to individuals—format, agency review and appeal from initial adverse agency determination.

(a) *In general.* Subject to the application of exemptions promulgated by the head of each component, in accordance with § 1.23(c), and subject to § 1.27(f), each component of the Department of the Treasury, shall in conformance with 5 U.S C. 552a(d)(2), permit an individual to request amendment of a record pertaining to such individual. Any request for amendment of records or any appeal that does not fully comply with the requirements of this section and any additional specific requirements imposed by the component in the applicable appendix to this subpart will not be deemed subject to the time constraints of paragraph (e) of this section, unless and until amended so as to comply. However, components shall advise the requester in what respect the request or appeal is deficient so that it may be resubmitted or amended. (See 5 U.S.C. 552a (d) and (f)).

(b) *Form of request to amend records.* In order to be subject to the provisions of this section, a request to amend records shall:

(1) Be made in writing and signed by the person making the request, who must be the individual about whom the record is maintained, or the duly authorized representative of such individual;

(2) State that it is made pursuant to the Privacy Act, 5 U.S.C. 552a or these regulations, have marked "Privacy Act Amendment Request" on the request and on the envelope;

(3) Be addressed to the office or officer of the component specified for such purposes in "Privacy Act Issuances" published by the Office of the Federal Register and referenced in the appendices to this subpart for that purpose; and

(4) Reasonably describe the records which the individual desires to have amended, including, to the best of the requester's knowledge, dates of letters requesting access to such records previously and dates of letters in which notification concerning access was made, if any, and the individual's documentation justifying the correction. (See U.S.C. 552a (d) and (f)).

(c) *Date of receipt of request.* A request for amendment of records pertaining to an individual shall be deemed to have been received for purposes of this subpart when the requirements of paragraph (b) of this section have been satisfied. The receiving office or officer shall stamp or otherwise endorse the date of receipt of the request. (See 5 U.S.C. 552a (d) and (f)).

(d) *Review of requests to amend records.* Officials responsible for review of requests to amend records pertaining to an individual, as specified in the appropriate appendix to this subpart, shall:

(1) Not later than 10 days (excluding Saturdays, Sundays, and legal public holidays) after the date of receipt of such request, acknowledge in writing such receipt; and

(2) Promptly, either—(i) Make any correction of any portion which the individual believes and the official agrees is not accurate, relevant, timely, or complete; or

(ii) Inform the individual of the refusal to amend the record in accordance with the individual's request, the reason for the refusal, and the name and business address of the officer designated in the applicable appendix to this subpart, as the person who is to review such refusal. (See 5 U.S.C. 552a (d) and (f)).

(e) *Administrative appeal*—(1) *In general.* Each component shall permit individuals to request a review of initial decisions made under paragraph (d) of this section, when an individual disagrees with a refusal to amend this record. (See 5 U.S.C. 552a (d), (f), and (g)(1)).

(2) Form of request for administrative review of refusal to amend record. At any time within 35 days after the date of the notification of the initial decision described in paragraph (d)(2)(ii) of this section, the requester may submit an administrative appeal from such refusal to the official specified in the notification of the initial decision and the appropriate appendix to this subpart. The appeal shall:

(i) Be made in writing stating any arguments in support thereof and be signed by the person to whom the record pertains, or the duly authorized representative of such official;

(ii) Be addressed to and mailed or hand delivered within 35 days of the date of the initial decision, to the office or officer specified in the appropriate appendix to this subpart and in the notification. (See the appendices to this subpart for the address to which appeals made by mail should be addressed);

(iii) Have clearly marked on the appeal and on the envelope, "Privacy Act Amendment Appeal";

(iv) Reasonably describe the records requested to be amended; and

(v) Specify the date of the initial request, to amend records, and the date of the letter giving notification that the request was denied. (See 5 U.S.C. 552a (d) and (f)).

(3) *Date of receipt.* Appeals shall be promptly stamped with the date of their receipt by the office to which addressed and such stamped date will be deemed to be the date of receipt for all purposes of this subpart. The receipt of the appeal shall be acknowledged within 10 days (excluding Saturdays, Sundays, and legal public holidays) from the date of the receipt (unless the determination on appeal is dispatched in 10 days, in which case, no acknowledgement is required) by the responsible official and the requester advised of the date of receipt established by the foregoing and when a response is due in accordance with this paragraph. (See 5 U.S.C. 552a (d) and (f)).

(4) *Review of administrative appeals from denial of requests to amend records.* Officials responsible for deciding administrative appeals from denials of requests to amend records pertaining to an individual, as specified in the appendices to this subpart shall: Complete the review, and notify the requester of the final agency decision within 30 days (exclusive of Saturdays, Sundays and legal public holidays) after the date of receipt of such appeal, unless the time is extended by the head of the agency or the delegate of such official, for good cause shown. If such final agency decision is to refuse to amend the record, in whole or in part, the requester shall also be advised of the right—(i) to file a concise "Statement of Disagreement" setting forth the reasons for his disagreement with the decision which shall be filed within 35 days of the date of the notification of the final agency decision and (ii) to judicial review of the final agency decision under 5 U.S.C. 552a(g)(1)(A). (See 5 U.S.C. 552a (d), (f) and (g)(1)).

(5) *Notation on record and distribution of statements of disagreement.* The system manager is responsible, in any disclosure containing information about which an individual has filed a "Statement of Disagreement", occurring after the filing of the statement under paragraph (e)(4) of this section, for clearly noting any portion of the record which is disputed and providing copies of the statement and, if deemed appropriate, a concise statement of the component's reasons for not making the amendments requested to persons or other agencies to whom the disputed record has been disclosed. (See 5 U.S.C. 552a(d)(4)).

(f) *Records not subject to correction under the Privacy Act.* The following records are not subject to correction or amendment by individuals:

(1) Transcripts or written statements made under oath; and

(2) Transcripts of Grand Jury proceedings, judicial or quasi-judicial proceedings which form the official record of those proceedings; and

(3) Pre-sentence reports comprising the property of the courts but maintained in agency files; and

(4) Records pertaining to the determination, the collection and the payment of the federal taxes; and

(5) Records duly exempted from correction by notice published in the **Federal Register**; and

(6) Records compiled in reasonable anticipation of a civil action or proceeding.

§ 1.28 Training, rules of conduct, penalties for non-compliance.

(a) *Training.* Subject to policy guidance and regulations issued by the Deputy Secretary, who has Departmentwide responsibility therefor, each component shall institute a training program to instruct employees and employees of Government contractors covered by 5 U.S.C. 552a(m), who are involved in the design, development, operation or maintenance of any system of records, on a continuing basis with respect to the duties and responsibilities imposed on them and the rights conferred on individuals by the Privacy Act, the regulations in this subpart, including the appendices thereto, and any other related regulations. Such training shall provide suitable emphasis on the civil and criminal penalties imposed on the Department and the individual employees by the Privacy Act for non-compliance with specified requirements of the Act as implemented by the regulations in this subpart. (See 5 U.S.C. 552a(e)(9))

(b) *Rules of conduct.* In addition, to the Standards of Conduct published in Part 0 of this title, particularly 31 CFR 0.735–44, the following are applicable to employees of the Department of the Treasury (including, to the extent required by the contract or 5 U.S.C. 552a(m), Government contractors and employees of such contractors), who are involved in the design, development, operation or maintenance of any system of records, or in maintaining any records, for or on behalf of the Department, including any component thereof.

(1) The head of each office of a component of the Department shall be responsible for assuring that employees subject to such official's supervision are advised of the provisions of the Privacy Act, including the criminal penalties and civil liabilities provided therein, and the regulations in this subpart, and that such employees are made aware of their individual and collective responsibilities to protect the security of personal information, to assure its accuracy, relevance, timeliness and completeness, to avoid unauthorized disclosure either orally or in writing, and to insure that no information system concerning individuals, no matter how small or specialized is maintained without public notice.

(2) Employees of the Department of the Treasury involved in the design, development, operation, or maintenance of any system of records, or in maintaining any record shall:

(i) Collect no information of a personal nature from individuals unless authorized to collect it to achieve a function or carry out a responsibility of the Department;

(ii) Collect from individuals only that information which is necessary to Department functions or responsibilities, unless related to a system exempted under 5 U.S.C. 552a (j) or (k);

(iii) Collect information, wherever possible, directly from the individual to whom it relates, unless related to a system exempted under 5 U.S.C. 552a(j);

(iv) Inform individuals from whom information is collected about themselves of the authority for collection, the purposes thereof, the use that will be made of the information, and the effects, both legal and practical, of not furnishing the information. (While this provision does not explicitly require it, where feasible, third party sources should be informed of the purposes for which information they are asked to provide will be used.);

(v) Neither collect, maintain, use nor disseminate information concerning an individual's religious or political beliefs or activities or membership in associations or organizations, unless (A) the individual has volunteered such information for the individual's own benefits; (B) the information is expressly authorized by statute to be collected, maintained, used or disseminated; or (C) the activities involved are pertinent to and within the scope of an authorized investigation, adjudication or correctional activity;

(vi) Advise their supervisors of the existence or contemplated development of any record system which is capable of retrieving information about individuals by individual identifier;

(vii) Disseminate no information concerning individuals outside the Department except when authorized by 5 U.S.C. 552a or pursuant to a routine use published in the **Federal Register**;

(viii) Assure that an accounting is kept in the prescribed form, of all dissemination of personal information outside the Department, whether made orally or in writing, unless disclosed under 5 U.S.C. 552 and Subpart A of this part;

(ix) Maintain and process information concerning individuals with care in order to insure that no inadvertent disclosure of the information is made either within or without the Department; and

(x) Assure that the proper Department authorities are aware of any information in a system maintained by the Department which is not authorized to be maintained under the provisions of the Privacy Act of 1974, including information on First Amendment Activities, information that is inaccurate, irrelevant or so incomplete as to risk unfairness to the individual concerned.

(3) Heads of components within the Department or their delegates shall, at least annually, review the record systems subject to their supervision to insure compliance with the provisions of the Privacy Act of 1974 and the regulations in this subpart. (See 5 U.S.C. 552a (e)(9), (i) and (m)).

(c) *Criminal penalties.* (1) The Privacy Act imposes criminal penalties on the conduct of Government officers or employees as follows: Any officer or employee of an agency (which term includes the Department of the Treasury):

(i) Who by virtue of the official's employment or official position, has possession of, or access to, agency records which contain individually identifiable information the disclosure of which is prohibited by this section (5 U.S.C. 552a) or regulations established thereunder, and who knowing that disclosure of the specific material is so prohibited, willfully discloses the material in any manner to any person or agency not entitled to receive it, or

(ii) Who willfully maintains a system of records without meeting the notice requirements of paragraph (e)(4) of this section (5 U.S.C. 552a)—shall be guilty of a misdemeanor and fined not more than $5,000.

(2) The Act also imposes a collateral criminal penalty on the conduct of any person as follows:

> "Any person who knowingly and willfully requests or obtains any record concerning an individual from an agency under false pretenses shall be guilty of a misdemeanor and fined not more than $5,000."

(3) For the purposes of 5 U.S.C. 552a (i), the provisions of paragraph (c)(1) of this section are applicable to Government contractors and employees of such contractors who by contract, operate by or on behalf of the Department of the Treasury a system of records to accomplish a Departmental function. Such contractor and employees are considered employees of the Department of the Treasury for the purposes of 5 U.S.C. 552a(i). (See 5 U.S.C. 552a (i) and (m).)

§ 1.29 Records transferred to Federal Records Center or National Archives of the United States.

(a) *Records transferred to the Administrator of General Services for storage in the Federal Records Center.* Records pertaining to an identifiable individual which are transferred to the Federal Records Center in accordance with 44 U.S.C. 3103 shall, for the purposes of the Privacy Act, 5 U.S.C. 552a, be considered to be maintained by the component which deposited the record and shall be subject to the provisions of the Privacy Act and this subpart. The Administrator of General Services shall not disclose such records except to the Department of the Treasury or to others under rules consistent with the Privacy Act which may be established by the Department of the Treasury or a component. If such records are retrieved for the purpose of making a determination about an individual, they must be reviewed for accuracy, relevance, timeliness, and completeness.

(b) *Records transferred to the National Archives of the United States.* (1) Records transferred to National Archives prior to September 27, 1975. Records pertaining to an identifiable individual transferred to the National Archives prior to September 27, 1975, as a record which has sufficient historical or other value to warrant its continued preservation by the United States Government shall be considered to be maintained by the National Archives, and

(i) Shall not be subject to 5 U.S.C. 552a,

(ii) Except, that a statement describing such records (modeled after 5 U.S.C. 552a (e)(4) (A) through (G)) shall be published in the **Federal Register**.

(2) *Records transferred to National Archives on or after September 27, 1975.* Records pertaining to an identifiable individual transferred to the National Archives as a record which has sufficient historical or other value to warrant its continued preservation by the United States Government, on or after September 27, 1975, shall be considered to be maintained by the National Archives, and

(i) Shall not be subject to 5 U.S.C. 552a,

(ii) Except, that a statement describing such records in accordance with 5 U.S.C. 552a (e)(4) (A) through (G) shall be published in the **Federal Register** and rules of conduct and training in accordance with 5 U.S.C. 552 (e) (9) are to be established by the National Archives. (See 5 U.S.C. 552a (e)).

§ 1.30 Application to system of records maintained by Government contractors.

When a component contracts for the operation of a system of records, to accomplish a Departmental function, the provisions of the Privacy Act, 5 U.S.C. 552a, and this subpart shall be applicable to such system. The component shall have responsibility for insuring that the contractor complies with the contract requirements relating to privacy.

§ 1.31 Sale or rental of mailing list.

(a) *In general.* An individual's name and address shall not be sold or rented by a component unless such action is specifically authorized by law.

(b) *Withholding of names and addresses.* This section shall not be construed to require the withholding of names and addresses otherwise permitted to be made public. (See 5 U.S.C. 552a (n)).

§ 1.32 Use and disclosure of social security numbers.

(a) *In general.* An individual shall not be denied any right, benefit, or privilege provided by law by a component because of such individual's refusal to disclose his social security number.

(b) *Exceptions.* The provisions of paragraph (a) of this section shall not apply with respect to:

(1) Any disclosure which is required by Federal statute, or

(2) The disclosure of a social security number to any Federal, State, or local agency maintaining a system of records in existence and operating before January 1, 1975, if such disclosure was required under statute or regulation adopted prior to such date to verify the identity of an individual.

(c) *Requests for disclosure of social security number.* Any component which requests an individual to disclose his or her social security account number shall inform that individual whether:

(1) Disclosure is mandatory or voluntary.

(2) By what statutory or other authority such number is solicited, and

(3) What uses will be made of it. (See section 7 of the Privacy Act of 1974 set forth at 5 U.S.C. 552a, note.)

§ 1.34 Guardianship.

The parent or guardian of a minor or a person judicially determined to be incompetent shall, in addition to establishing the identity of the minor or other person represented, establish parentage or guardianship by furnishing a copy of a birth certificate showing parentage or a court order establishing the guardianship and may thereafter, act on behalf of such individual. (See 5 U.S.C. 552a (h)).

§ 1.35 Information forms.

(a) *Review of forms.* Except for forms developed and used by constituent units, the Deputy Assistant Secretary for Administration shall be responsible for reviewing all forms developed and used by the Department of the Treasury to collect information from and about individuals. The heads of components shall each be responsible for the review of forms used by such component to collect information from and about individuals.

(b) *Scope of review.* The responsible officers shall review each form for the purpose of eliminating any requirement for information that is not relevant and necessary to carry out an agency function and to accomplish the following objectives;

(1) To insure that no information concerning religion, political beliefs or activities, association memberships (other than those required for a professional license), or the exercise of First Amendment rights is required to be disclosed unless such requirement of disclosure is expressly authorized by statute or is pertinent to, and within the scope of, any authorized law enforcement activity;

(2) To insure that the form or a separate form that can be retained by the individual makes clear to the individual which information he is required by law to disclose and the authority for that requirement and which information is voluntary;

(3) To insure that the form or a separate form that can be retained by the individual states clearly the principal purpose or purposes for which the information is being collected, and summarizes concisely the routine uses that will be made of the information;

(4) To insure that the form or a separate form that can be retained by the individual clearly indicates to the individual the effect in terms of rights, benefits or privileges of not providing all or part of the requested information; and

(5) To insure that any form requesting disclosure of a Social Security Number, or a separate form that can be retained by the individual, clearly advises the individual of the statute or regulation requiring disclosure of the number or clearly advises the individual that disclosure is voluntary and that no consequence will follow from the refusal to disclose it, and the uses that will be made of the number whether disclosed mandatorily and voluntarily.

(c) *Revision of Forms.* Any form which does not meet the objectives specified in the Privacy Act and in this section, shall be revised to conform thereto. A separate statement may be used in instances when a form does not conform. This statement will accompany a form and shall include all the information necessary to accomplish the objectives specified in the Privacy Act and this section.

§ 1.36 Systems exempt in whole or in part from provisions of 5 U.S.C. 552a and this part.

In accordance with 5 U.S.C. 552a (j) and (k) and § 1.23(c), constituent units of the Department of the Treasury exempt the following systems of records from certain provisions of the Privacy Act for the reasons indicated:

Office of the Secretary

Office of the General Counsel

NOTICE EXEMPTING A SYSTEM OF RECORDS FROM REQUIREMENTS OF THE PRIVACY ACT.

(a)*In general.*The General Counsel of the Treasury exempts athe system of rcords entitled "Treasury Interagency Automated Litigation System (TRIALS)" from the provisions of subsection (c)(3), (d), (e)(1), (e)(4)(G), (H) and (I), and (f) of 5 U.S.C. 552a. The manual part of this system of records contains information or documents relating to litigation or administrative proceedings involving or concerning the Department or its officials, and includes pending, active and closed files. The manual records consist of copies of pleadings, investigative reports, information compiled in reasonable anticipation of a civil action or proceeding, legal memoranda, and related correspondence. Pleadings which have been filed with a court or administrative tribunal are matters of public record and no exemption is claimed as to them. The computerized part of the system contains summary data on Treasury Department non–tax litigation and administrative proceeding, e.g., plaintiff, defendant, attorney, witness, judge and/or hearing officer names, type of case, relief sought, date, docket number, pertinent dates, and issues. The purpose of the exemptions is to maintain the confidentiality of investigatory materials compiled for law enforcement purposes; information compiled in reasonable anticiption of a civil action proceeding is exempt from access under section (d)(5) until the file is closed;thereafter section (k)(2) may apply in part to the information. Legal memorandum and related correspondence contain no personal information and are not subject to disclosure under section 552a. Determinations concerning whether particular information contained in this section is exempt from disclosure will be made at the time a request is received from an individual to gain accss to information pertaining to him.

(b)*Authority.*These rules are promulgated pursuant to the authority vested in the Secretary of the Treasury by 5 U.S.C. 552a(k), and pursuant to the authority vested in the General Counsel by 31 CFR 1.23(c).

(c)*Name of System.*Treasury Interagency Automated Litigation System (TRIALS).

(d) *Provisions from which exempted.* This system contains records described in 5 U.S.C. 552a(k), the Privacy Act of 1974. Exemption will be claimed for such records only where appropriate from the following provisions, subsections (c)(3), (d), (e)(1), (e)(4)(G), (H), and (I), and (f) of 5 U.S.C. 552a.

(e) *Reasons for claimed exemptions.* Those sections would otherwise require the Department to notify an individual of investigatory materials maintained in a record pertaining to him, permit access to such record, permit requests for its correction (section 552a(d), (e)(4)(G), (H), and (f)); make available to him any required accounting of disclosures made of the record (section 552a(c)(3)), publish the sources of records in the system (section 552a(e)(4)(I)); and screen records to insure that there is maintained only such information about an individual as is relevant to accomplish a required purpose of the Department (section 552a(e)(1)). The records compiled for the prosecution or defense of civil litigation on behalf of the Department or its officials contain investigatory materials compiled for litigation purposes, together with memoranda concerning the applicable law, and related correspondence. The use of investigatory material in court proceedings is governed by due process and statutory procedural requirements. Informing individuals that they are on record in a particular system enables such individuals to learn the nature of the investigatory material and the evidentiary basis for prosecuting or defending legal proceedings to which they are a party; furthermore, the disclosure of certain investigatory material compiled for law enforcement purposes may disclose investigative techniques and procedures so that future law enforcement efforts would be hindered. Access to an accounting of disclosures of such records would have a similar detrimental effort upon the successful prosecution of legal claims. In addition, screening for relevancy to Department purposes, and correction or attempted correction of such materials could require excessive amounts of time and effort on the part of all concerned. Accordingly, the General Counsel finds that the public interest and public policy in maintaining an effective legal services program requires exemption from the stated sections of the Act to the extent that they are applicable to appropriate materials in this system.

Office of the Inspector General

Notice exempting a system of records from the disclosure requirements of the Privacy Act of 1974

(a) *In general.* The Office of the Inspector General, Department of the Treasury exempts the system of records entitled, "General Allegations and Investigative Records" from certain provisions of the Privacy Act of 1974. The purpose of the exemption is to maintain confidentiality of data obtained from various sources that may ultimately accomplish a statutory or executively ordered purpose.

(b) *Authority.* The authority to issue exemptions is vested in the Office of the Inspector General, as a constituent unit of the Treasury Department by 31 CFR 1.20.

(c) *Exemptions under 5 U.S.C. 552a(j)(2):* (1) Under 5 U.S.C. 552a(j)(2), the head of any agency may exempt any system of records within the agency from certain provisions of the Privacy Act of 1974, if the agency or component that maintains the system performs as its principal function any activities pertaining to the enforcement of criminal laws. The Office of the Inspector General is authorized under Treasury Department Order No. 256 to initiate, organize, direct, and control investigations of any allegations of illegal acts, violations, and any other misconduct, concerning any official or employee of any Treasury Office or Bureau.

(2) To the extent that the exemption under 5 U.S.C. 552a(j)(2) does not apply to the above named system of records, then the exemption under 5 U.S.C. 552a(k)(2) relating to investigatory material compiled for law enforcement purposes is claimed for this system.

(3) The provisions of the Privacy Act of 1974 from which exemptions are claimed under 5 U.S.C. 552a(j)(2) are as follows:

5 U.S.C. 552a(c)(3) and (4)
5 U.S.C. 552a(d)(1), (2), (3), (4)
5 U.S.C. 552a(e)(1)(2) and (3)
5 U.S.C. 552a(e)(4)(G), (H), and (I)
5 U.S.C. 552a(e)(5) and (8)
5 U.S.C. 552a(f)
5 U.S.C. 552a(g)

(d) *Exemptions under 5 U.S.C. 552a(k)(2).* (1) Under 5 U.S.C. 552a(k)(2), the head of any agency may exempt any system of records within the agency from certain provisions of the Privacy Act of 1974 if the system is investigatory material compiled for law enforcement purposes.

(2) To the extent that information contained in the above named system has as its principal purpose the enforcement of criminal laws, the exemption for such information under 5 U.S.C. 552a(j)(2) is claimed.

(3) Provisions of the Privacy Act of 1974 from which exemptions are claimed under 5 U.S.C. 552a(k)(2) are as follows:

5 U.S.C. 552a(c)(3)
5 U.S.C. 552a(d)(1), (2), (3), and (4)
5 U.S.C. 552a(e)(1)
5 U.S.C. 552a(e)(4)(G), (H), and (I)
5 U.S.C. 552a(f)

(e) *Reasons for exemptions under 5 U.S.C. 552a(j)(2) and (k)(2).* (1) 5 U.S.C. 552a(c)(3) requires that an agency make accountings of disclosures of records available to individuals named in the records at their request. These accountings must state the date, nature and purpose of each disclosure of the record and the name and address of the recipient. The application of this provision would alert subjects of an investigation to the existence of the investigation and that such persons are subjects of that investigation. Since release of such information to subjects of an investigation would provide the subjects with significant information concerning the nature of the investigation, it could result in the altering or destruction of documentary evidence, improper influencing of witnesses, and other activities that could impede or compromise the investigation.

(2) 5 U.S.C. 552a(c)(4), (d)(1), (2), (3), and (4), (e)(4)(G) and (H), (f) and (g) relate to an individual's right to be notified of the existence of records pertaining to such individual; requirements for identifying an individual who requests access to records; the agency procedures relating to access to records and the contest of information contained in such records; and the civil remedies available to the individual in the event of adverse determinations by an agency concerning access to or amendment of information contained in record systems. This system is exempt from the foregoing provisions for the following reasons: To notify an individual at the individual's request of the existence of records in an investigative file pertaining to such individual or to grant access to an investigative file could interfere with investigative and enforcement proceedings; co-defendants of a right to a fair trial; constitute an unwarranted invasion of the personal privacy of others, disclose the identity of confidential sources and reveal confidential information supplied by these sources; and disclose investigative techniques and procedures.

(3) 5 U.S.C. 552a(e)(4)(I) requires the publication of the categories of sources of records in each system of records. The application of this provision could disclose investigative techniques and procedures and cause sources to refrain from giving such information because of fear of reprisal, or fear of breach of promises of anonymity and confidentiality. This would compromise the ability to conduct investigations, and to identify, detect, and apprehend violators.

(4) 5 U.S.C. 552a(e)(1) requires each agency to maintain in its records only such information about an individual that is relevant and necessary to accomplish a purpose of the agency required by statute or Executive Order. An exemption from the foregoing is needed:

(A) Because it is not possible to detect relevance or necessity of specific information in the early stages of a criminal or other investigation.

(B) Relevance and necessity are questions of judgment and timing. What appears relevant and necessary when collected may ultimately be determined to be unnecessary. It is only after the information is evaluated that the relevance and necessity of such information can be established.

(C) In any investigation the Inspector General may obtain information concerning the violations of laws other than those within the scope of his jurisdiction. In the interest of effective law enforcement, the Inspector General should retain this information as it may aid in establishing patterns of criminal activity, and provide leads for those law enforcement agencies charged with enforcing other segments of criminal or civil law.

(D) In interviewing persons, or obtaining other forms of evidence during an investigation, information may be supplied to the investigator which relate to matters incidental to the main purpose of the investigation but which may relate to matters under the investigative jurisdiction of another agency. Such information cannot readily be segregated.

(5) 5 U.S.C. 552a(e)(2) requires an agency to collect information to the greatest extent practicable directly from the subject individual when the information may result in adverse determinations about an individual's rights, benefits, and privilege under Federal programs. The application of the provision would impair investigations of illegal acts, violations of the rules of conduct, merit system and any other misconduct for the following reasons:

(A) In certain instances the subject of an investigation cannot be required to supply information to investigators. In those instances, information relating to a subject's illegal acts, violations of rules of conduct, or any other misconduct, etc., must be obtained from other sources.

(B) Most information collected about an individual under investigation is obtained from third parties such as witnesses and informers. It is not feasible to rely upon the subject of the investigation as a source for information regarding his activities.

(C) The subject of an investigation will be alerted to the existence of an investigation if an attempt is made to obtain information from the subject. This would afford the individual the opportunity to conceal any criminal activities to avoid apprehension.

(D) In any investigation it is necessary to obtain evidence from a variety of sources other than the subject of the investigation in order to verify the evidence necessary for successful litigation.

(6) 5 U.S.C. 552a(e)(3) requires that an agency must inform the subject of an investigation who is asked to supply information of:

(A) the authority under which the information is sought and whether disclosure of the information is mandatory or voluntary.

(B) the purposes for which the information is intended to be used,

(C) the routine uses which may be made of the information, and

(D) the effects on the subject, if any of not providing the requested information. The reasons for exempting this system of records from the foregoing provision are as follows:

(i) The disclosure to the subject of the investigation as stated in (B) above would provide the subject with substantial information relating to the nature of the investigation and could impede or compromise the investigation.

(ii) If the subject were informed of the information required by this provision, it could seriously interfere with undercover activities by requiring disclosure of undercover agents identity and impairing their safety, as well as impairing the successful conclusion of the investigation.

(iii) Individuals may be contacted during preliminary information gathering in investigations authorized by Treasury Department Order No. 256 before any individual is identified as the subject of an investigation. Informing the individual of the matters required by this provision would hinder or adversely affect any present or subsequent investigations.

(7) 5 U.S.C. 552a(e)(5) requires that records be maintained with such accuracy, relevance, timeliness, and completeness as is reasonably necessary to assure fairness to the individual in making any determination about an individual. Since the law defines "maintain" to include the collection of information, complying with this provision would prevent the collection of any data not shown to be accurate, relevant, timely, and complete at the moment of its collection. In gathering information during the course of an investigation it is not possible to determine this prior to collection of the information. Facts are first gathered and then placed into a logical order which objectively proves or disproves criminal behavior on the part of the suspect. Material which may seem unrelated, irrelevant, incomplete, untimely, etc., may take on added meaning as an investigation progresses. The restrictions in this provision could interfere with the preparation of a complete investigative report.

(8) 5 U.S.C. 552a(e)(8) requires an agency to make reasonable efforts to serve notice on an individual when any record on such individual is made available to any person under compulsory legal process when such process becomes a matter of public record. The notice requirement of this provision could prematurely reveal an ongoing criminal investigation to the subject of the investigation.

(f) *Exempt information included in another system.* Any information from a system of records for which an exemption is claimed under 5 U.S.C. 552a(j) or (k) which also is included in another system of records retains the same exempt status as in the system for which an exemption is claimed.

Assistant Secretary for Administration

The Assistant Secretary for Administration exempts under section (k) of the Privacy Act of 1974, 5 U.S.C. 552a, the Department's Personnel Security Files and Personnel Security Files and Indices from sections (c)(3), (d), (e)(1), (e)(4)(G) through (e)(4)(I), and (f) of the Act. The records maintained in the exempt systems of appropriate materials in this system.

Exemption of Foreign Assets Control Enforcement Records from certain provisions of the Privacy Act of 1974 (Pub. L.93–579, 5 U.S.C. 552a)

The new regulations promulgated by the Office of Foreign Assets Control (as amendments to the Foreign Assets Control Regulations; Transaction Control Regulations; Cuban Assets Control Regulations; and Rhodesian Sanction Regulations) read as follows:

Pursuant to subsection (k)(2) of 5 U.S.C. 552a, the Privacy Act of 1974, the Enforcement Records of the Office of Foreign Assets Control are hereby exempted from the requirements of subsections (c)(3), (d), (e)(1), (e)(4)(G–1), and (f) of 5 U.S.C. 552a, as materials which are compiled and maintained for the purpose of conducting and recording investigations of criminal violations of relevant statutes and regulations administered by the Office of Foreign Assets Control. These records contain, among other things, information and evidence which furnished in confidence by individuals, corporations, partnerships and other entities, and foreign government sources. If it should appear that the individual concerning whom a record is maintained has been or will be denied any right, privilege, or benefit to which he would otherwise be entitled by Federal law, or for which he would otherwise be eligible, except for the maintenance of such material, such material shall be disclosed to such individual, except: (1) To the extent that disclosure would reveal the identity of a source who furnished information to the government under an express promise that the identity of the source would be held in confidence; or (2) to the extent that disclosure would reveal the identity of a source who furnished information prior to the effective date of the Privacy Act (September 27, 1975) under an implied promise that the identity of the source would be held in confidence.

The Internal Revenue Service

Notice of Exempt Systems

The Commissioner of Internal Revenue finds that the orderly and efficient administration of the internal revenue laws necessitates that certain systems of records maintained by the Internal Revenue Service be exempted from certain sections of the Privacy Act of 1974 (88 Stat. 1986).

(a) *Exemptions under 5 U.S.C. 552a (j) (2).* (1) This paragraph applies to the following systems of records maintained by the Internal Revenue Service, for which exemptions are claimed under 5 U.S.C. 552a(j) (2).

Name of system	No.
Case Management and Time Reporting System, Criminal Investigation Division	46.002
Confidential Informants, Criminal Investigation Division	46.003
Electronic Surveillance Files, Criminal Investigation Division	46.005
Centralized Evaluation and Processing of Information Items (CEPIIs), Criminal Investigation Division	46.009
Relocated Witnesses, Criminal Investigation Division	46.015
Secret Service Details, Criminal Investigation Division	46.016
Treasury Enforcement Communications System (TECS)	46.022

Name of system	No.
Assault and Threat Investigation Files	60.001
Bribery Investigation Files	60.002
Disclosure Investigation Files	60.004
Chief Counsel Criminal Tax Case Files	90.001

(2) Under 5 U.S.C. 552a(j)(2), the head of any agency may promulgate rules to exempt any system of records within the agency from certain provisions of the Privacy Act of 1974 if the agency or component thereof that maintains the system performs as its principal function any activities pertaining to the enforcement of criminal laws. Certain components of the Internal Revenue Service have as their principal function activities pertaining to the enforcement of criminal laws.

(3) To the extent the exemption under 5 U.S.C. 552a(j)(2) does not apply to any of the above-named systems, then exemptions under 5 U.S.C. 552a(k)(2), relating to investigatory material compiled for law enforcement purposes, are hereby claimed for such systems.

(4) The provisions of the Privacy Act of 1974 from which exemptions are claimed under 5 U.S.C. 552a(j)(2) are as follows:

5 U.S.C. 552a(c) (3) and (4)
5 U.S.C. 552a(d) (1), (2), (3), and (4)
5 U.S.C. 552a(e) (1), (2), and (3)
5 U.S.C. 552a(e) (4) (G), (H), and (I)
5 U.S.C. 552a(e) (5) and (8)
5 U.S.C. 552a(f)
5 U.S.C. 552a(g)

(5) See paragraph (c) for reasons for the exemptions.

(b) *Exemptions under 5 U.S.C. 552a (k)(2).* (1) This paragraph applies to the following systems of records maintained by the Internal Revenue Service, for which exemptions are claimed under 5 U.S.C. 552a(k)(2):

Name of system	No.
Wage and Information Returns Processing (IRP)	22.061
Acquired Property Records	26.001
Form 2209, Courtesy Investigations	26.006
IRS and Treasury Employee Delinquency	26.008
Litigation Case Files	26.011
Offer in Compromise (OIC) Files	26.012
One-hundred Per Cent Penalty Cases	26.013
Returns Compliance Programs (RCP)	26.016
TDA (Taxpayer Delinquent Accounts)	26.019
TDI (Taxpayer Delinquency Investigations) Files	26.020
Transferee Files	26.021
Delinquency Prevention Programs	26.022
Applicant Appeal Files	37.002
Closed Files containing Derogatory Information about Individuals' practice before the IRS and Files of attorneys and certified public accountants formerly enrolled to Practice	37.003
Derogatory Information (No Action)	37.004
Present Suspensions and Disbarments Resulting from Administrative Proceeding	37.005
Inventory	37.007
Resigned Enrolled Agents (action pursuant to 31 CFR Section 10.55(b))	37.009
Present Suspensions from Practice Before the Internal Revenue Service	37.011
Examination Administrative File	42.001
Audit Information Management System (AIMS)	42.008
Classification and Examination Selection Files	42.016
Compliance Programs and Projects Files	42.021
International Enforcement Program Files	42.017
Combined Case Control Files	42.012
Audit Underreporter Case Files	42.029
Discriminant Function File (DIF)	42.030
Appeals Case Files	44.001
Disclosure Records	48.001
Collateral and Information Requests System	49.001
Component Authority and Index Card Mircofilm Retrieval System	49.002
Overseas Compliance Projects System	49.007
Conduct Investigation Files	60.003
Enrollee Charge Investigation Files	60.006
Miscellaneous Information File	60.007
Special Inquiry Investigation Files	60.009
Chief Counsel Disclosure Litigation Division Case Files	90.002
Chief Counsel General Legal Services Case Files	90.004
Chief Counsel General Litigation Case Files	90.005
Chief Counsel Tax Litigation Case Files	90.009
File Digest Room Files containing briefs, Legal opinions, Digests of Documents generated internally or by the Department of Justice relating to the Administration of the Revenue Laws	90.010
Legal Case Files of the Chief Counsel, Deputy Chief Counsel, Associate Chief Counsels (Litigation) and (Technical)	90.013
Reports and Information Retrieval Activity Computer and Microfilm Records	90.016
Correspondence File—Inquiries about Enforcement Activities	00.002

(2) Under 5 U.S.C. 552a (k)(2), the head of any agency may promulgate rules to exempt any system of records within the agency from certain provisions of the Privacy Act of 1974 if the system is investigatory material compiled for law enforcement purposes. To the extent that information contained in the above-named systems has as its principal purpose the enforcement of criminal laws, exemption for such information under 5 U.S.C. 552a (j)(2) is hereby claimed.

(3) The provisions of the Privacy Act of 1974 from which exemptions are claimed under 5 U.S.C. 552a(k)(2) are as follows:

5 U.S.C. 552a(c)(3)
5 U.S.C. 552a(d) (1), (2), (3), and (4)
5 U.S.C. 552a (e)(1)
5 U.S.C. 552a(e)(4) (G), (H), and (I)
5 U.S.C. 552a(f)

(4) See paragraph (c) for reasons for the exemptions.

(c) *Reasons for exemptions.* The following are the reasons for exempting systems of records maintained by the Internal Revenue Service pursuant to 5 U.S.C. 552a (j)(2) and (k)(2) of the Privacy Act of 1974.

(1) 5 U.S.C. 552a(c)(3). This provision of the Privacy Act provides for the release of the disclosure accounting required by 5 U.S.C. 552a(c) (1) and (2) to the individual named in the record at his request. The reasons for exempting systems of records from the foregoing provision are as follows:

(i) The release of disclosure accounting would put the subject of an investigation on notice of the existence of an investigation and that such person is the subject of that investigation;

(ii) Such release would provide the subject of an investigation with an accurate accounting of the date, nature, and purpose of each disclosure and the name and address of the person or agency to whom the disclosure is made. The release of such information to the subject of an investigation would provide the subject with significant information concerning the nature of the investigation and could result in the altering or destruction of documentary evidence, the improper influencing of witnesses, and other activities that could impede or compromise the investigation. In the case of a delinquent account, such release might enable the subject of the investigation to dissipate assets before levy;

(iii) Release to the individual of the disclosure accounting would alert the individual as to which agencies were investigating this person and the scope of the investigation, and could aid the individual in impeding or compromising investigations by those agencies.

(2) 5 U.S.C. 552a (c)(4), (d)(1), (2), (3), and (4), (e)(4) (G) and (H), (f), and (g). These provisions of the Privacy Act relate to an individual's right to notification of the existence of records pertaining to such individual; requirements for identifying an individual who requests access to records; the agency procedures relating to access to records and the contest of the information contained in such records; and the civil remedies available to the individual in the event of adverse determinations by an agency concerning access to or amendment of information contained in record systems. The reasons for exempting systems of records from the foregoing provisions are as follows: To notify an individual at the individual's request of the existence of records in an investigative file pertaining to such individual or to grant access to an investigative file could interfere with investigative and enforcement proceedings; deprive co-defendants of a right to a fair trial or an impartial adjudication; constitute an unwarranted invasion of the personal privacy of others; disclose the identity of

confidential sources and reveal confidential information supplied by such sources; and disclose investigative techniques and procedures.

(3) 5 U.S.C. 552a(e)(4)(I). This provision of the Privacy Act requires the publication of the categories of sources of records in each system of records. In cases where an exemption from this provision has been claimed, the reasons are as follows:

(i) Revealing categories of sources of information could disclose investigative techniques and procedures;

(ii) Revealing categories of sources of information could cause sources who supply information to investigators to refrain from giving such information because of fear of reprisal, or fear of breach of promises of anonymity and confidentiality.

(4) 5 U.S.C. 552a(e)(1). This provision of the Privacy Act requires each agency to maintain in its records only such information about an individual as is relevant and necessary to accomplish a purpose of the agency required to be accomplished by statute or executive order. The reasons for exempting systems of records from the foregoing provision are as follows:

(i) The Internal Revenue Service will limit its inquiries to information which is necessary for the enforcement and administration of tax laws. However, an exemption from the foregoing provision is needed because, particularly in the early stages of a tax audit or other investigation, it is not possible to determine the relevance or necessity of specific information.

(ii) Relevance and necessity are questions of judgment and timing. What appears relevant and necessary when collected may subsequently be determined to be irrelevant or unnecessary. It is only after the information is evaluated that the relevance and necessity of such information can be established with certainty.

(iii) When information is received by the Internal Revenue Service relating to violations of law within the jurisdiction of other agencies, the Service processes this information through Service systems in order to forward the material to the appropriate agencies.

(5) 5 U.S.C. 552a(e)(2). This provision of the Privacy Act requires an agency to collect information to the greatest extent practicable directly from the subject individual when the information may result in adverse determinations about an individual's rights, benefits, and privileges under Federal programs. The reasons for exempting systems of records from the foregoing provisions are as follows:

(i) In certain instances the subject of a criminal investigation cannot be required to supply information to investigators. In those instances, information relating to a subject's criminal activities must be obtained from other sources;

(ii) In a criminal investigation it is necessary to obtain evidence from a variety of sources other than the subject of the investigation in order to accumulate and verify the evidence necessary for the successful prosecution of persons suspected of violating the criminal laws.

(6) 5 U.S.C. 552a(e)(3). This provision of the Privacy Act requires that an agency must inform the subject of an investigation who is asked to supply information of (A) the authority under which the information is sought and whether disclosure of the information is mandatory or voluntary, (B) the purposes for which the information is intended to be used, (C) the routine uses which may be made of the information, and (D) the effects on the subject, if any, of not providing the requested information. The reasons for exempting systems of records from the foregoing provision are as follows:

(i) The disclosure to the subject of an investigation of the purposes for which the requested information is intended to be used would provide the subject with significant information concerning the nature of the investigation and could result in impeding or compromising the investigation.

(ii) Informing the subject of an investigation of the matters required by this provision could seriously undermine the actions of undercover officers, requiring them to disclose their identity and impairing their safety, as well as impairing the successful conclusion of the investigation.

(iii) Individuals may be contacted during preliminary information gathering, surveys, or compliance projects concerning the administration of the internal revenue laws before any individual is identified as the subject of an investigation. Informing the individual of the matters required by this provision would impede or compromise subsequent investigations.

(7) 5 U.S.C. 552a(e)(5). This provision of the Privacy Act requires an agency to maintain all records which are used in making any determination about an individual with such accuracy, relevance, timeliness, and completeness as is reasonably necessary to assure fairness to the individual in the determination. The reasons for exempting systems of records from the foregoing provision are as follows: Since the law defines "maintain" to include the collection of information, compliance with the foregoing provision would prohibit the initial collection of any data not shown to be accurate, relevant, timely, and complete at the moment of its collection. In gathering information during the course of a criminal investigation, it is not feasible or possible to determine completeness, accuracy, timeliness, or relevancy prior to collection of the information. Facts are first gathered and then placed into a cohesive order which objectively proves or disproves criminal behavior on the part of a suspect. Seemingly nonrelevant, untimely, or incomplete information when gathered may acquire new significance as an investigation progresses. The restrictions of the foregoing provision could impede investigators in the preparation of a complete investigative report.

(8) 5 U.S.C. 552a(e)(8). This provision of the Privacy Act requires an agency to make reasonable efforts to serve notice on an individual when any record on such individual is made available to any person under compulsory legal process when such process becomes a matter of public record. The reasons for exempting systems of records from the foregoing provision are as follows: The notice requirement of the foregoing provision could prematurely reveal the existence of criminal investigations to individuals who are the subject of such investigations.

(d) *Exemption under 5 U.S.C. 552a (k)(4).* (1) This paragraph applies to the following system of records maintained by the Internal Revenue Service, for which exemption is claimed under 5 U.S.C. 552a(k)(4): Statistics of Income—Individual Tax Returns 70.001.

(2) Under 5 U.S.C. 552a(k)(4), the head of any agency may promulgate rules to exempt any system of records within the agency from certain provisions of the Privacy Act of 1974 if the system is required by statute to be maintained and used solely as statistical records.

(3) The above-named system is maintained under section 6108 of the Internal Revenue Code, which provides that "the Secretary or his delegate shall prepare and publish annually statistics reasonably available with respect to the operation of the income tax laws, including classifications of taxpayers and of income, the amounts allowed as deductions, exemptions, and credits, and any other facts deemed pertinent and valuable".

(4) The reason for exempting the above-named system of records is that disclosure of statistical records (including release of accounting for disclosures) would in most instances be

of no benefit to a particular individual since the records do not have a direct effect on a given individual.

(5) The provisions of the Privacy Act of 1974 from which exemption is claimed under 5 U.S.C. 552a(k)(4) are as follows:

5 U.S.C. 552a(c)(3)
5 U.S.C. 552a(d) (1), (2), (3), and (4)
5 U.S.C. 552a(e)(1)
5 U.S.C. 552a(e)(4) (G), (H), and (I)
5 U.S.C. 552a(f)

(e) *Exemptions under 5 U.S.C. 552a (k)(5).* (1) This paragraph applies to the following systems of records maintained by the Internal Revenue Service, for which exemptions are claimed under 5 U.S.C. 552a(k)(5):

Name of system	No.
Recruiting, Examining and Placement Records	36.008
Security, Background, and Character Investigations Files	60.008
Chief Counsel General Administrative Systems	90.003
Employee Recruiting Files Maintained by the Operations Division	90.011
Management Files Maintained by Operations Division and the Deputy Chief Counsel other than the Office of Personnel Management's Official Personnel Files	90.014

(2) Under 5 U.S.C. 552a(k)(5), the head of any agency may promulgate rules to exempt any system of records within the agency from certain provisions of the Privacy Act of 1974 if the system is investigatory material compiled solely for the purpose of determining suitability, eligibility, and qualifications for Federal civilian employment or access to classified information, but only to the extent that the disclosure of such material would reveal the identity of a source who furnished information to the Government under an express promise that the identity of the source would be held in confidence, or, prior to September 27, 1975, under an implied promise that the identity of the source would be held in confidence. Thus, to the extent that records in the above-named systems can be disclosed without revealing the identity of a confidential source, they are not within the scope of this exemption and are subject to all the requirements of the Privacy Act.

(3) The provisions of the Act from which exemptions are claimed for the above-named systems of records are in general those providing for individual access to records. When such access would cause the identity of a confidential source to be revealed, it would impair the future ability of the Service to compile investigatory material for the purpose of determining suitability, eligibility, or qualifications for Federal civilian employment, Federal contracts, or access to classified information. In addition, the systems are to be exempt from 5 U.S.C. 552a(e)(1), which requires that the agency maintain in its records only such information about an individual as is relevant and necessary to accomplish a statutory or executively ordered purpose. The Service finds that to fulfill the requirements of 5 U.S.C. 552a(e)(1) would unduly restrict the agency in its information gathering inasmuch as it is often not until well after the investigation that it is possible to determine the relevance and necessity of particular information.

(4) If any investigatory material contained in the above-named systems becomes involved in criminal or civil matters, exemptions of such material under 5 U.S.C. 552a (j)(2) or (k)(2) is hereby claimed.

(5) The provisions of the Privacy Act of 1974 from which exemptions are claimed under 5 U.S.C. 552a(k)(5) are as follows:

5 U.S.C. 552a(c)(3)
5 U.S.C. 552a (d) (1), (2), (3), and (4)
5 U.S.C. 552a(e)(1)
5 U.S.C. 552a(e)(4) (G), (H), and (I)
5 U.S.C. 552a (f)

(f) *Exemption under 5 U.S.C. 552a(k)(6).* (1) This paragraph applies to the following system of records maintained by the Internal Revenue Service, for which exemption is claimed under 5 U.S.C. 552a(k)(6): Recruiting, Examining and Placement Records 36.008

(2) Under 5 U.S.C. 552a(k)(6), the head of any agency may promulgate rules to exempt any system of records that is testing or examination material used solely to determine individual qualifications for appointment or promotion in the Federal service the disclosure of which would compromise the objectivity or fairness of the testing or examination process.

(3) The reason for exempting the above-named system is that disclosure of the material in the system would compromise the objectivity or fairness of the examination process.

(4) The provisions of the Privacy Act of 1974 from which exemptions are claimed under 5 U.S.C. 552a(k)(6) are as follows:

5 U.S.C. 552a(c)(3)
5 U.S.C. 552a(d)(1), (2), (3), and (4)
5 U.S.C. 552a(e)(1)
5 U.S.C. 552a(e)(4) (G), (H), and (I)
5 U.S.C. 552a (f)

(g) *Exempt information included in another system.* Any information from a system of records for which an exemption is claimed under 5 U.S.C. 552a (j) or (k) which also is included in another system of records retains the same exempt status such information has in the system for which such exemption is claimed.

United States Customs Service

notice of exempt systems

In accordance with 5 U.S.C. 552a (j) and (k), general notice is hereby given of rulemaking pursuant to the Privacy Act of 1974 by the Commissioner, United States Customs Service, under authority delegated to him by the Secretary of the Treasury. The Commissioner, United States Customs Service, exempts the systems of records identified in the paragraphs below from certain provisions of the Privacy Act of 1974 as set forth in such paragraphs.

a. *General exemptions under 5 U.S.C. 552a(j)(2).* Pursuant to the provisions of 5 U.S.C. 552a(j)(2), the Commissioner, United States Customs Service, hereby exempts certain systems of records, maintained by the United States Customs Service, from the provisions of 5 U.S.C. 552a(c) (3) and (4), (d) (1), (2), (3) and (4), (e)(1), (2), (3), (4)(G), (H) and (I), (5) and (8), (f) and (g).

1. *Exempt systems.* The following systems of records, which contain information of the type described in 5 U.S.C. 552a(j)(2), shall be exempt from the provisions of 5 U.S.C. 552a listed in paragraph a. above except as otherwise indicated below and in the general notice of the existence and character of systems of records which appears elsewhere in the **Federal Register**:

00.285—Automated Index to Central Enforcement Files
00.270—Background—Record File of Non-Customs Employees
00.037—Cargo Security Record System
00.053—Confidential Source Identification File
00.067—Bank Secrecy Act Reports File
00.287—Customs Automated Licensing Information System (CALIS) [Proposed]
00.127—Internal Security Records System
00.129—Investigations Record System
00.244—Treasury Enforcement Communications System (TECS)

2. *Reasons for exemptions.* (a). 5 U.S.C. 552a (e)(4)(G) and (f)(1) enable individuals to be notified whether a system of records contains records pertaining to them. The Customs Service believes that application of these provisions to the above-listed systems of records would give individuals an opportunity to learn whether they are of record either as suspects or as subjects of a criminal investigation; this would compromise the ability of the Customs Service to complete investigations and

detect and apprehend violators of the Customs and related laws in that individuals would thus be able (1) to take steps to avoid detection, (2) to inform co-conspirators of the fact that an investigation is being conducted, (3) to learn the nature of the investigation to which they are being subjected, (4) to learn the type of surveillance being utilized, (5) to learn whether they are only suspects or identified law violators, (6) to continue or resume their illegal conduct without fear of detection upon learning that they are not in a particular system of records, and (7) to destroy evidence needed to prove the violation.

(b). 5 U.S.C. 552a (d)(1), (e)(4)(H) and (f)(2), (3) and (5) enable individuals to gain access to records pertaining to them. The Customs Service believes that application of these provisions to the above-listed systems of records would compromise its ability to complete or continue criminal investigations and to detect and apprehend violators of the Customs and related criminal laws. Permitting access to records contained in the above-listed systems of records would provide individuals with significant information concerning the nature of the investigation, and this could enable them to avoid detection or apprehension in the following ways: (1) By discovering the collection of facts which would form the basis for their arrest, (2) by enabling them to destroy contraband or other evidence of criminal conduct which would form the basis for their arrest and, (3) by learning that the criminal investigators had reason to believe that a crime was about to be committed, they could delay the commission of the crime or change the scene of the crime to a location which might not be under surveillance. Granting access to on-going or closed investigative files would also reveal investigative techniques and procedures, the knowledge of which could enable individuals planning criminal activity to structure their future operations in such a way as to avoid detection or apprehension, thereby neutralizing law enforcement officer's established investigative tools and procedures. Further, granting access to investigative files and records could disclose the identity of confidential sources and other informers and the nature of the information which they supplied, thereby endangering the life or physical safety of those sources of information by exposing them to possible reprisals for having provided information relating to the criminal activities of those individuals who are the subjects of the investigative files and records; confidential sources and other informers might refuse to provide criminal investigators with valuable information if they could not be secure in the knowledge that their identities would not be revealed through disclosure of either their names or the nature of the information they supplied, and this would seriously impair the ability of the Customs Service to carry out its mandate to enforce the Customs criminal and related laws. Additionally, providing access to records contained in the above-listed systems of records could reveal the identities of undercover law enforcement officers who compiled information regarding individual's criminal activities, thereby endangering the life or physical safety of those undercover officers or their families by exposing them to possible reprisals.

(c). 5 U.S.C. 552a(d) (2), (3) and (4), (e) (4) (H) and (f) (4), which are dependent upon access having been granted to records pursuant to the provisions cited in paragraph (b) above, enable individuals to contest (seek amendment to) the content of records contained in a system of records and require an agency to note an amended record and to provide a copy of an individual's statement (of disagreement with the agency's refusal to amend a record) to persons or other agencies to whom the record has been disclosed. The Customs Service believes that the reasons set forth in paragraph (b) above are equally applicable to this subparagraph and, accordingly, those reasons are hereby incorporated herein by reference.

(d). 5 U.S.C. 552a(c)(3) requires that an agency make accountings of disclosures of records available to individuals named in the records at their request; such accountings must state the date, nature and purpose of each disclosure of a record and the name and address of the recipient. The Customs Service believes that application of this provision to the above-listed systems of records would impair the ability of other law enforcement agencies to make effective use of information provided by the Customs Service in connection with the investigation, detection and apprehension of violators of the criminal laws enforced by those other law enforcement agencies. Making accountings of disclosure available to violators would alert those individuals to the fact that another agency is conducting an investigation into their criminal activities, and this could reveal the geographic location of the other agency's investigation, the nature and purpose of that investigation, and the dates on which that investigation was active. Violators possessing such knowledge would thereby be able to take appropriate measures to avoid detection or apprehension by altering their operations, by transferring their criminal activities to other geographical areas or by destroying or concealing evidence which would form the basis for their arrest. In addition, providing violators with accountings of disclosure would alert those individuals to the fact that the Customs Service has information regarding their criminal activities and could inform those individuals of the general nature of that information; this, in turn, would afford those individuals a better opportunity to take appropriate steps to avoid detection or apprehension for violations of the Customs and related criminal laws.

(e). 5 U.S.C. 552a(c) (4) requires that an agency inform any person or other agency about any correction or notation of dispute made by the agency in accordance with 5 U.S.C. 552a(d) of any record that has been disclosed to the person or agency if an accounting of the disclosure was made. Since this provision is dependent on an individual's having been provided an opportunity to contest (seek amendment to) records pertaining to him, and since the above-listed systems of records are proposed to be exempted from those provisions of 5 U.S.C. 552a relating to amendments of records as indicated in paragraph (c) above, the Customs Service believes that this provision should not be applicable to the above-listed systems of records.

(f). 5 U.S.C. 552a(e)(4)(I) requires that an agency publish a public notice listing the categories of sources for information contained in a system of records. The Customs Service believes that application of this provision to the above-listed systems of records could compromise its ability to conduct investigations and to identify, detect and apprehend violators of the Customs and related criminal laws for the reasons that revealing sources for information could (1) disclose investigative techniques and procedures, (2) result in threatened or actual reprisal directed to informers by the subject under investigation, and (3) result in the refusal of informers to give information or to be candid with criminal investigators because of the knowledge that their identities as sources might be disclosed.

(g). 5 U.S.C. 552a(e)(1) requires that an agency maintain in its records only such information about an individual as is relevant and necessary to accomplish a purpose of the agency required to be accomplished by statute or executive order. The term "maintain" as defined in

5 U.S.C. 552a(a)(3) includes "collect" and "disseminate." At the time that information is collected by the Customs Service, there is often insufficient time to determine whether the information is relevant and necessary to accomplish a purpose of the Customs Service; in many cases information collected may not be immediately susceptible to a determination of whether the information is relevant and necessary, particularly in the early stages of investigation, and in many cases information which initially appears to be irrelevant and unnecessary may, upon further evaluation or upon continuation of the investigation, prove to have particular relevance to an enforcement program of the Customs Service. Further, not all violations of law discovered during a Customs Service criminal investigation fall within the investigative jurisdiction of the Customs Service; in order to promote effective law enforcement, it often becomes necessary and desirable to disseminate information pertaining to such violations to other law enforcement agencies which have jurisdiction over the offense to which the information relates. The Customs Service should not be placed in a position of having to ignore information relating to violations of law not within its jurisdiction where that information comes to the attention of the Customs Service through the conduct of a lawful Customs Service investigation. The Customs Service therefore believes that it is appropriate to exempt the above-listed systems of records from the provisions of 5 U.S.C. 552a(e)(1).

(h). 5 U.S.C. 552a(e)(2) requires that an agency collect information to the greatest extent practicable directly from the subject individual when the information may result in adverse determinations about an individual's rights, benefits, and privileges under Federal programs. The Customs Service believes that application of this provision to the above-listed systems of records would impair the ability of the Customs Service to conduct investigations and to identify, detect and apprehend violators of the Customs and related criminal laws for the following reasons: (1) Most information collected about an individual under criminal investigation is obtained from third parties such as witnesses and informers, and it is usually not feasible to rely upon the subject of the investigation as a source for information regarding his criminal activities, (2) an attempt to obtain information from the subject of a criminal investigation will often alert that individual to the existence of an investigation, thereby affording the individual an opportunity to attempt to conceal his criminal activities so as to avoid apprehension, (3) in certain instances the subject of a criminal investigation is not required to supply information to criminal investigators as a matter of legal duty, and (4) during criminal investigations it is often a matter of sound investigative procedure to obtain information from a variety of sources in order to verify information already obtained.

(i). 5 U.S.C. 552a(e)(3) requires that an agency inform each individual whom it asks to supply information, on the form which it uses to collect the information or on a separate form that can be retained by the individual: The authority which authorizes the solicitation of the information and whether disclosure of such information is mandatory or voluntary; the principal purposes for which the information is intended to be used; the routine uses which may be made of the information; and the effects on the individual of not providing all or part of the requested information. The Customs Service believes that the above-listed systems of records should be exempted from this provision in order to avoid adverse effects on its ability to identify, detect and apprehend violators of the Customs and related criminal laws. In many cases information is obtained by confidential sources or other informers or by undercover law enforcement officers under circumstances where it is necessary that the true purpose of their actions be kept secret so as to not let it be known by the subject of the investigation or his associates that a criminal investigation is in progress. Further, if it became known that the undercover officer was assisting in a criminal investigation, that officer's life or physical safety could be endangered through reprisal, and, further, under such circumstances it may not be possible to continue to utilize that officer in the investigation. In many cases individuals for personal reasons would feel inhibited in talking to a person representing a criminal law enforcement agency but would be willing to talk to a confidential source or undercover officer who they believed was not involved in law enforcement activities. In addition, providing a source of information with written evidence that he was a source, as required by this provision, could increase the likelihood that the source of information would be the subject of retaliatory action by the subject of the investigation. Further, application of this provision could result in an unwarranted invasion of the personal privacy of the subject of the criminal investigation, particularly where further investigation would result in a finding that the subject was not involved in any criminal activity.

(j). 5 U.S.C. 552a(e)(5) requires that an agency maintain all records used by the agency in making any determination about any individual with such accuracy, relevance, timeliness and completeness as is reasonably necessary to assure fairness to the individual in the determination. Since 5 U.S.C. 552a(a)(3) defines "maintain" to include "collect" and "disseminate," application of this provision to the above-listed systems of records would hinder the initial collection of any information which could not, at the moment of collection, be determined to be accurate, relevant, timely and complete. Similarly, application of this provision would seriously restrict the necessary flow of information from the Customs Service to other law enforcement agencies where a Customs Service investigation revealed information pertaining to a violation of law which was under the investigative jurisdiction of another agency. In collecting information during the course of a criminal investigation, it is not possible or feasible to determine accuracy, relevance, timeliness or completeness prior to collection of the information; in disseminating information to other law enforcement agencies it is often not possible to determine accuracy, relevance, timeliness or completeness prior to dissemination because the disseminating agency may not have the expertise with which to make such determinations. Further, information which may initially appear to be inaccurate, irrelevant, untimely or incomplete may, when gathered, grouped, and evaluated with other available information, become more pertinent as an investigation progresses. In addition, application of this provision could seriously impede criminal investigators and intelligence analysts in the exercise of their judgment in reporting on results obtained during criminal investigations. The Customs Service therefore believes that it is appropriate to exempt the above-listed systems of records from the provisions of 5 U.S.C. 552a(e)(5).

(k). 5 U.S.C. 552a(e)(8) requires that an agency make reasonable efforts to serve notice on an individual when any record on the individual is made available to any person under compulsory legal process when such process becomes a matter of public record. The Customs Service believes that the above-listed systems of records should be exempt from this provision in order to avoid revealing investigative techniques and procedures outlined in those records and in order to prevent revelation of the existence of an on-going investigation where there is a need to keep the existence of the investigation secret.

(l). 5 U.S.C. 552a(g) provides civil remedies to an individual for an agency refusal to amend a record or to make a review of a request for amendment, for an agency refusal to grant access to a record, for an agency failure to maintain accurate, relevant, timely and complete records which are used to make a determination which is adverse to the individual, and for an agency failure to comply with any other provision of 5 U.S.C. 552a in such a way as to have an adverse effect on an individual. The Customs Service believes that the above-listed systems of records should be exempted from this provision to the extent that the civil remedies provided therein may relate to provisions of 5 U.S.C. 552a from which the above-listed systems of records are proposed to be exempt. Since the provisions of 5 U.S.C. 552a enumerated in paragraphs (a) through (k) above are proposed to be inapplicable to the above-listed systems of records for the reasons stated therein, there should be no corresponding civil remedies for failure to comply with the requirements of those provisions to which the exemption is proposed to apply. Further, the Customs Service believes that application of this provision to the above-listed systems of records would adversely affect its ability to conduct criminal investigations by exposing to civil court action every stage of the criminal investigative process in which information is compiled or used in order to identify, detect, apprehend and otherwise investigate persons suspected or known to be engaged in criminal conduct in violation of the Customs and related laws.

b. *Specific exemptions under 5 U.S.C. 552a(k) (2).* Pursuant to the provisions of 5 U.S.C. 552a(k) (2), the Commissioner, United States Customs Service, hereby exempts certain systems of records, maintained by the United States Customs Service, from the provisions of 5 U.S.C. 552a(c) (3), (d) (1), (2), (3) and (4), (e) (1) and (4) (G), (H) and (I) and (f).

1. *Exempt systems.* The following systems of records, which contain information of the type described in 5 U.S.C. 552a (k) (2), shall be exempt from the provisions of 5 U.S.C. 552a listed in paragraph b. above except as otherwise indicated below and in the general notice of the existence and character of systems of records which appears elsewhere in the **Federal Register**:

00.014—Advice Requests (Legal) (Pacific Region)
00.021—Arrest/Seizure/Search Report and Notice of Penalty File
00.022—Attorney Case File
00.285—Automated Index to Central Enforcement Files
00.270—Background—Record File of Non-Customs Employees
00.037—Cargo Security File
00.271—Cargo Security Record System
00.041—Cartmen or Lightermen
00.043—Case Files (Regional Counsel—South Central Region)
00.046—Claims Case File
00.053—Confidential Source Identification File
00.057—Container Station Operator Files
00.058—Cooperating Individual Files
00.061—Court Case File
00.067—Bank Secrecy Act Reports File
00.069—Customhouse Brokers File (Chief Counsel)
00.287—Customs Automated Licensing Information System (CALIS)
00.077—Disciplinary Action and Resulting Grievances or Appeal Case Files
00.078—Disclosure of Information File
00.098—Fines, Penalties, and Forfeitures Records
00.099—Fines, Penalties, and Forfeiture Files (Supplemental Petitions)
00.100—Fines, Penalties, and Forfeiture Records (Headquarters)
00.122—Information Received File
00.125—Intelligence Log
00.127—Internal Security Records System
00.129—Investigations Record System
00.133—Justice Department Case File
00.138—Litigation Issue Files
00.140—Lookout Notice
00.155—Narcotics Suspect File
00.159—Notification of Personnel Management Division when an employee is placed under investigation by the Office of Internal Affairs.
00.182—Penalty Case File
00.186—Personal Search
00.190—Personal Case File
00.197—Private Aircraft/Vessel Inspection Reporting System
00.206—Regulatory Audits of Customhouse Brokers
00.212—Search/Arrest/Seizure Report
00.214—Seizure File
00.224—Suspect Persons Index
00.232—Tort Claims Act File
00.244—Treasury Enforcement Communications System (TECS)
00.258—Violator's Case Files
00.260—Warehouse Proprietor Files

2. *Reasons for exemptions.* (a). 5 U.S.C. 552a (e)(4)(G) and (f)(1) enable individuals to be notified whether a system of records contains records pertaining to them. The Customs Service believes that application of these provisions (to those of the above-listed systems of records for which no notification procedures have been provided in the general notice of the existence and character of systems of records which appears elsewhere in the **Federal Register**) would impair the ability of the Customs Service to successfully complete investigations and inquires of suspected violators of civil and criminal laws and regulations under its jurisdiction. In many cases investigations and inquiries into violations of civil and criminal laws and regulations involve complex and continuing patterns of behavior. Individuals, if informed that they have been identified as suspected violators of civil or criminal laws and regulations, would have an opportunity to take measures to prevent detection of illegal action so as to avoid prosecution or the imposition of civil sanctions. They would also be able to learn the nature and location of the investigation or inquiry and the type of surveillance being utilized, and they would be able to transmit this knowledge to co-conspirators. Finally, violators might be given the opportunity to destroy evidence needed to prove the violation under investigation or inquiry.

(b). 5 U.S.C. 552a (d)(1), (e)(4)(H) and (f) (2), (3) and (5) enable individuals to gain access to records pertaining to them. The Customs Service believes that application of these provisions to the above-listed systems of records would impair its ability to complete or continue civil or criminal investigations and inquiries and to detect and apprehend violators of the Customs and related laws. Permitting access to records contained in the above-listed systems of records would provide violators with significant information concerning the nature of the civil or criminal investigation or inquiry. Knowledge of the facts developed during an investigation or inquiry would enable violators of criminal and civil laws and regulations to learn the extent to which the investigation or inquiry has progressed, and this could provide them with an opportunity to destroy evidence that would form the basis for prosecution or the imposition of civil sanctions. In addition, knowledge gained through access to investigatory material could alert a violator to the need to temporarily postpone commission of the violation or to change the intended point where the violation is to be committed so as to avoid detection or apprehension. Further, access to investigatory material would disclose investigative techniques and procedures which, if known, could enable violators to structure their future operations in such a way as to avoid detection or apprehension, thereby neutralizing investigators' established and effective investigative tools and procedures. In addition, investigatory material may contain the identity of a confidential source of information or other informer who would not want his identity to be disclosed for reasons of personal privacy or for fear of reprisal at the hands of the individual about whom he supplied information. In some cases mere disclosure of the information provided by an informer would reveal the identity of the informer either through the process of elimination or by virtue of the nature of the information supplied. If informers cannot be assured that their identities (as sources for information) will remain confidential, they would be very reluctant in the future to provide information pertaining to violations of criminal and civil laws and regulations, and this would seriously compromise the ability of the Customs Service to carry out its mission. Further, application of 5 U.S.C. 552a (d)(1), (e)(4)(H) and (f) (2), (3) and (5) to the above-listed systems of records would make available attorney's work product and other documents which contain evaluations, recommendations, and discussions of ongoing civil and criminal legal proceedings; the availability of such documents could have a chilling effect on the free flow of information and ideas within the Customs Service which is vital to the agency's predecisional deliberative process, could seriously prejudice the agency's or the Government's position in a civil or criminal litigation, and could result in the disclosure of investigatory material which should not be disclosed for the reasons stated above. It is the belief of the Customs Service that, in both civil actions and criminal prosecutions, due process will assure that individuals have a reasonable opportunity to learn of the existence of, and to challenge, investigatory records and related materials which are to be used in legal proceedings.

(c). 5 U.S.C. 552a(d) (2), (3) and (4), (e)(4)(H) and (f)(4), which are dependent upon access having been granted to records pursuant to the provisions cited in subparagraph (b) above, enable individuals to contest (seek amendment to) the content of records contained in a system of records and require an agency to note an amended record and to provide a copy of an individual's statement (of disagreement with the agency's refusal to amend a record) to persons or other agencies to whom the record has been disclosed. The Customs Service believes that the reasons set forth in subparagraph (b) above are equally applicable to this subparagraph, and, accordingly, those reasons are hereby incorporated herein by reference.

(d). 5 U.S.C. 552a(c)(3) requires that an agency make accountings of disclosures of records available to individuals named in the records at their request; such accountings must state the date, nature and purpose of each disclosure of a record and the name and address of the recipient. The Customs Service believes that application of this provision to the above-listed systems of records would impair the ability of the Customs Service and other law enforcement agencies to conduct investigations and inquiries into civil and criminal violations under their respective jurisdictions. Making accountings available to violators would alert those individuals to the fact that the Customs Service or another law enforcement authority is conducting an investigation or inquiry into their activities, and such accountings could reveal the geographic location of the investigation or inquiry, the nature and purpose of the investigation or inquiry and the nature of the information disclosed, and the dates on which that investigation or inquiry was active. Violators possessing such knowledge would thereby be able to take appropriate measures to avoid detection or apprehension by altering their operations, transferring their activities to other locations or destroying or concealing evidence which would form the basis for prosecution or the imposition of civil sanctions.

(e). 5 U.S.C. 552a(e)(1) requires that an agency maintain in its records only such information about an individual as is relevant and necessary to accomplish a purpose of the agency required to be accomplished by statute or executive order. The term "maintain" as defined in 5 U.S.C. 552a(a)(3) includes "collect" and "disseminate." At the time that information is collected by the Customs Service there is often insufficient time to determine whether the information is relevant and necessary to accomplish a purpose of the Customs Service; in many cases information collected may not be immediately susceptible to a determination of whether the information is relevant and necessary, particularly in the early stages of investigation or inquiry, and in many cases information which initially appears to be irrelevant and unnecessary may, upon further evaluation or upon continuation of the investigation or inquiry, prove to have particular relevance to an enforcement program of the Customs Service. Further, not all violations of law uncovered during a Customs Service investigation or inquiry fall within the civil or criminal jurisdiction of the Customs Service; in order to promote effective law enforcement it often becomes necessary and desirable to disseminate information pertaining to such violations to other law enforcement agencies which have jurisdiction over the offense to which the information relates. The Customs Service should not be placed in a position of having to ignore information relating to violations of law not within its jurisdiction where that information comes to the attention of the Customs Service through the conduct of a lawful Customs Service civil or criminal investigation or inquiry. The Customs Service therefore believes that it is appropriate to exempt the above-listed systems of records from the provisions of 5 U.S.C. 552a(e)(1).

c. *Specific exemptions under 5 U.S.C. 552a(k)(5).* Pursuant to the provisions of 5 U.S.C. 552a(k)(5), the Commissioner, United States Customs Service, hereby exempts the *Internal Security Records System* from the provisions of 5 U.S.C. 552a (c)(3), (d) (1), (2), (3) and (4), (e) (1) and (4) (G), (H) and (I) and (f). The records maintained in the exempt system of records are of the type described in 5 U.S.C. 552a(k)(5): "investigatory material compiled solely for the purpose of determining suitability, eligibility, or qualifications for Federal civilian employment, military service, Federal contracts, or access to classified information, but only to the extent that disclosure of such material would reveal the identity of a source who furnished information to the Government under an express promise that the identity of the source would be held in confidence, or, prior to the effective date of this section, under an implied promise that the identity of the source would be held in confidence."

Thus to the extent that the records in this system can be disclosed without revealing the identity of a confidential source, they are not within the scope of this exemption and are subject to all the requirements of 5 U.S.C. 552a, except where those records contain other information which is exempt under the provisions of 5 U.S.C. 552a(k)(2) for the reasons stated under paragraph b. above.

The sections of 5 U.S.C. 552a from which this system of records is exempt include in general those providing for individuals' access to or amendment of records. When such access or amendment would cause the identity of a confidential source to be revealed, it would impair the future ability of the Customs Service to compile investigatory material for the purpose of determining suitability, eligibility, or qualifications for Federal civilian employment, Federal contracts, or access to classified information.

In addition, the systems shall be exempt from 5 U.S.C. 552a(e)(1) which requires that an agency maintain in its records only such information about an individual as is relevant and necessary to accomplish a purpose of the agency required to be accomplished by statute or executive order. The Customs Service believes that to fulfill the requirements of 5 U.S.C. 552a(e)(1) would unduly restrict the agency in its information gathering inasmuch as it is often not until well after the investigation that it is possible to determine the relevance and necessity of particular information.

If any investigations within the scope of 5 U.S.C. 552a(k)(5) become involved with civil or criminal matters, exemptions from 5 U.S.C. 552a could also be asserted under 5 U.S.C. 552a (k)(2) or (j)(2).

United States Secret Service

Notice of rules exempting certain systems from requirements of the Privacy Act

(a) *In general.* The Director of the U.S. Secret Service hereby issues rules exempting the Criminal Investigation Information System of records, the Non-Criminal Investigation Information System of records, and the Protection Information System of records from the provisions of certain subsections of 5 U.S.C. 552a, the Privacy Act of 1974. The purpose of the exemptions is to maintain the confidentiality of information compiled for the purpose of criminal, non-criminal, and protective investigations.

(b) *Authority.* These rules are promulgated pursuant to the authority vested in the Secretary of the Treasury by 5 U.S.C. 552a (j) and (k) and pursuant to the authority vested in the Director, U.S. Secret Service by paragraph 123(c) of Subpart C of Part 1 of Subtitle A of Title 31 of the Code of Federal Regulations.

(c) *Exempted Systems.* I. U.S. Secret Service Criminal Investigation Information System. The Criminal Investigation Information System is further described in "Notices of Records Systems" published by the General Services Administration.

(1) *Provisions from which exempted.* The Criminal Investigation Information System maintained by the Secret Service contains records described in 5 U.S.C. 552a(j) and (k), the Privacy Act of 1974. Exemptions are claimed for such described records only where appropriate from the following provisions of the Privacy Act of 1974 subsections (c) (3) and (4); (d) (1), (2), (3) and (4); (e) (1), (2), and (3); (e) (4) (G), (H) and (I); (e) (5) and (8); (f) and (g) of 5 U.S.C. 552a.

(2) *Reasons for claimed exemptions.* a. 5 U.S.C. 552a(c)(3): This provision of the Privacy Act provides for the release of the disclosure accounting required by 5 U.S.C. 552a(c) (1) and (2) to the individual named in the record at his request. The reasons why the Criminal Investigation Information System is exempted from the foregoing provision are as follows:

(i) The release of accounting disclosures would put the subject of a criminal investigation on notice of the existence of an investigation and that he is the subject of that investigation;

(ii) It would provide the subject of a criminal investigation with an accurate accounting of the date, nature, and purpose of each disclosure and the name and address of the person or agency to whom the disclosure is made. Obviously, the release of such information to the subject of a criminal investigation would provide him with significant information concerning the nature of the investigation and could result in impeding or compromising the efforts of law enforcement personnel to detect and arrest persons suspected of criminal activity;

(iii) Disclosure to the individual of the disclosure accounting after the investigation is closed would alert the individual as to which agencies were investigating him and would put him on notice concerning the scope of his suspected criminal activities and could aid him in avoiding detection and apprehension.

b. 5 U.S.C. 552a (c)(4); (d); (e)(4) (G) and (H); (f) and (g): The foregoing provisions of the Privacy Act relate to an individual's right to notification of the existence of records pertaining to him and access to such records; the agency procedures relating to notification, access and contest of the information contained in such records; and the civil remedies available to the individual in the event of adverse determinations by an agency concerning access to or amendment of information contained in record systems. The reasons why the Criminal Investigation Information System of records is exempted from the foregoing provisions are as follows:

(i) To notify an individual at his request of the existence of records pertaining to him in the Criminal Investigation Information System would inform the individual of the existence of an investigation and that he is the subject of that investigation. This would enable the individual to avoid detection and would further enable him to inform co-conspirators of the fact that an investigation is being conducted;

(ii) To permit access to the records contained in the Criminal Investigation Information System would not only inform an individual that he is or was the subject of a criminal investigation, but would also provide him with significant information concerning the nature of the investigation which might enable him to avoid detection or apprehension;

(iii) To grant access to an on-going or closed criminal investigative file could interfere with Secret Service investigative and enforcement proceedings, deprive co-defendants of a right to a fair trial or an impartial adjudication, constitute an unwarranted invasion of the personal privacy of others, disclose the identity of confidential sources and reveal confidential information supplied by such sources, and disclose investigative techniques and procedures, or endanger the life or physical safety of law enforcement personnel, informants, witnesses, and other persons supplying information to investigators.

c. 5 U.S.C. a(e)(4)(I). This provision of the Privacy Act requires the publication of the categories of sources of records, in each system of records. The reasons why the Criminal Investigation Information System of records is exempted from the foregoing provision are as follows:

(i) Revealing sources of information could disclose investigative techniques and procedures;

(ii) Revealing sources of information could result in retaliation and threat of reprisal by the subject under investigation against such sources;

(iii) Revealing sources of information could cause witnesses, informants and others who supply information to criminal investigators to refrain from giving such information because of fear of reprisal, or fear of breach of promises of anonymity and confidentiality;

(iv) Revealing sources of information could result in the refusal of some sources to give full and complete information or to be candid with investigators because of the knowledge that the identity of such sources may be disclosed.

d. 5 U.S.C. 552a(e)(1): This provision of the Privacy Act requires each agency to maintain in its records only such information about an individual as is relevant and necessary to accomplish a purpose of the agency. The reasons why the Criminal Investigation Information

System of records is exempted from the foregoing provisions are as follows:

(i) In a criminal investigation it is difficult to accurately determine the relevancy and necessity of information during the process of information gathering. Only after the information is evaluated can the relevancy and necessity of such information be ascertained;

(ii) In a criminal investigation, the Secret Service often obtains information concerning the violations of laws other than those within the scope of its criminal investigative jurisdiction. In the interest of effective law enforcement, the Secret Service should retain this information as it may aid in establishing patterns of criminal activity, and provide valuable leads for those law enforcement agencies charged with enforcing other segments of the criminal law;

(iii) In interviewing persons, or obtaining other forms of evidence during a criminal investigation, information will be supplied to the investigator which relates to matters which are ancillary to the main purpose of the investigation but which may relate to matters under the investigative jurisdiction of another agency. Such information is not readily susceptible to segregation.

e. 5 U.S.C. 552a(e)(2): This provision of the Privacy Act requires an agency to collect information to the greatest extent practicable directly from the subject individual when the information may result in adverse determinations about an individual's right, benefits and privileges under Federal programs. The reasons why the Criminal Investigation Information System is exempted from the foregoing provision are as follows:

(i) In certain instances, the subject of a criminal investigation is not required to supply information to investigators as a matter of legal right. In those instances, information relating to a subject's criminal activities must be obtained from other sources;

(ii) A requirement that information be collected from an individual who is the subject of a criminal investigation would put the individual on notice of the existence of the investigation and could enable him to avoid detection or apprehension;

(iii) In a criminal investigation it is necessary to obtain evidence from a variety of sources other than the subject of the investigation in order to accumulate and verify the evidence necessary for the successful prosecution of persons suspected of violating the criminal laws.

f. 5 U.S.C. a(e)(3): This provision of the Privacy Act requires an agency to inform each individual whom it asks to supply information of the authority which authorizes the solicitation of the information and whether disclosure of such information is mandatory or voluntary; the principle purposes for which the information is intended to be used; the routine uses which may be made of the information; and the effect on the individual of not providing the requested information. The reasons why the Criminal Investigation Information System is exempted from the foregoing provision are as follows:

(i) Informing each individual who is asked to supply information in a criminal investigation of the information required under the foregoing provision could inform the individual of the existence of a confidential investigation; reveal the identity of confidential sources of information; and endanger the life or physical safety of confidential informants;

(ii) Informing each individual who is asked to supply information in a criminal investigation of the information required under the foregoing provision could result in an unwarranted invasion of the privacy of individuals who may be the subject of a criminal investigation or who are suspected of engaging in criminal activity;

(iii) Informing each individual who is asked to supply information in a criminal investigation of the information required under the foregoing provision would inhibit such individuals from supplying the requested information and thereby present a serious impediment to the successful investigation and prosecution of violations of the criminal law.

g. 5 U.S.C. 552a(e)(5): This provision of the Privacy Act requires an agency to maintain all records which are used in making any determination about an individual with such accuracy, relevance, timeliness, and completeness as is reasonably necessary to assure fairness to the individual in the determination. The reasons why the Criminal Investigation Information System is exempted from the foregoing provisions are as follows:

(i) In gathering information during the course of a criminal investigation it is usually not possible to determine in advance what information is accurate, relevant, timely, and complete. Seemingly nonrelevant or untimely information may acquire new significance as an investigation progresses;

(ii) The restrictions on the maintenance of the records contained in the foregoing provision could impede investigators and intelligence analysts in the exercise of their judgment and discretion in reporting on criminal investigations;

(iii) Compliance with the records maintenance criteria listed in the foregoing provision could require the periodic up-dating of Secret Service criminal investigations to insure that the records maintained in the system remain timely and complete.

h. 5 U.S.C. 552a(e)(8): This provision of the Privacy Act requires an agency to make reasonable efforts to serve notice to an individual when any record on such individual is made available to any person under compulsory legal process becomes a matter of public record. The reasons why the Criminal Investigation Information System is exempted from the foregoing provision are as follows:

(i) The notice requirement of the foregoing provision could impede law enforcement by revealing investigative techniques and procedures;

(ii) The notice requirement of the foregoing provision could reveal the existence of confidential investigations to individuals who are the subjects of such investigations.

i. The foregoing exemptions are claimed for materials maintained in the Criminal Investigation Information System to the extent that such materials contain information and reports described in 5 U.S.C. 552a(j) (2). Further, records maintained in the Criminal Investigation Information System described in 5 U.S.C. 552a(k) are exempted from subsections (c) (3), (d) (1), (2), (3) & (4); (e) (1), (e) (4) (G), (H) and (I) and (f) of 5 U.S.C. 552a for the reasons previously stated.

II. U.S. Secret Service Non-Criminal Investigation Information System. The Non-Criminal Investigation Information System is further described in "Notices of Records Systems" published by the General Services Administration.

(1) Provisions from which exempted: The Non-Criminal Investigation Information System maintained by the Secret Service contains records similar to those described in 5 U.S.C. 552a(k), the Privacy Act of 1974. Exemptions are claimed for such described records where appropriate from the following provisions of the Privacy Act of 1974: subsections (c) (3), (d) (1), (2), (3) & (4); (e) (1); (e) (4) (G), (H), and (I) and (f) of 5 U.S.C. 552(a).

(2) *Reasons for claimed exemptions.* a. 5 U.S.C. 552a(c) (3): This provision of the Privacy Act provides for the release of the disclosure accounting required by 5 U.S.C. 552a(c) (1) and (2) to the individual named in the record at his request. The reasons why the Non-Criminal Investigation Information

ystem is exempted from the foregoing rovision are as follows:

(i) The release of accounting isclosures would put the subject of an ivestigation on notice of the existence f an investigation and that he is the ibject of that investigation;

(ii) It would provide the subject of an ivestigation with an accurate ccounting of the date, nature, and urpose of each disclosure and the name nd address of the person or agency to hom the disclosure is made. bviously, the release of such formation to the subject of an vestigation would provide him with gnificant information concerning the ature of the investigation and could sult in impeding or compromising the forts of law enforcement personnel to otain information essential to the ccessful conclusion of the vestigation;

(iii) Disclosure to the individual of the sclosure accounting after the vestigation is closed would alert the dividual as to which agencies were vestigating him; put him on notice ncerning the scope of his suspected tivities and reveal investigatory chniques and the identity of nfidential informants. It could result an invasion of privacy of private izens who provide information in nnection with a particular vestigation.

(3) 5 U.S.C. 552a; (d), (e) (4) (G), (H) d (f): The foregoing provisions of the ivacy Act relate to an individual's ht to notification of the existence of cords pertaining to him and access to ch records and the agency procedures ating to notification, access and ntest of the information contained in ch records. The reasons why the Non-iminal Investigation Information stem of records is exempted from the regoing provisions are as follows:

(i) To notify an individual at his quest of the existence of records rtaining to him in the Non-Criminal vestigation Information System would orm the individual of the existence of investigation and that he is the bject of that investigation. This could able the individual to secrete or stroy evidence essential to the ccessful completion of the vestigation;

(ii) To permit access to the records ntained in the Non-Criminal vestigation System would not only orm an individual that he is or was subject of an investigation, but uld also provide him with significant ormation concerning the nature of the estigation which might enable him to oid detection or apprehension;

(iii) To grant access to an on-going or closed non-criminal investigative file would interfere with Secret Service investigative and enforcement proceedings; deprive other parties involved in the investigations of a right to a fair trial or an impartial adjudication; constitute an unwarranted invasion of the personal privacy of others; disclose the identity of confidential sources and reveal confidential information supplied by such sources; and disclose investigative techniques and procedures.

(3) 5 U.S.C. 552a 3 (e) (4) (I). This provision of the Privacy Act requires the publication of the categories of sources of records in each system of records. The reasons why the Non-Criminal Investigation Information System of records is exempted from the foregoing provision are as follows:

(i) Revealing sources of information would disclose investigative techniques and procedures;

(ii) Revealing sources of information would result in retaliation and threat of reprisal by the subject under investigation against such sources;

(iii) Revealing sources of information could cause witnesses, informants and others who supply information to investigators to refrain from giving such information because of fear of reprisal, or fear of breach of promises of anonymity and confidentiality;

(iv) Revealing sources of information could result in the refusal of some sources to give full and complete information or to be candid with investigators because of the knowledge that the identity of such sources may be disclosed.

(4) 5 U.S.C. 552a(e) (1): This provision of the Privacy Act requires each agency to maintain in its records only such information about an individual as is relevant and necessary to accomplish a purpose of the agency. The reasons why the Criminal Investigation Information System of records is exempted from the foregoing provision are as follows:

(i) In a non-criminal investigation it is difficult to determine accurately the relevancy and necessity of information during the process of information gathering. It is only after the information is evaluated that the relevancy and necessity of such information can be ascertained:

(ii) In a non-criminal investigative case, the Secret Service often obtains information concerning the violation of laws other than those within the scope of its jurisdiction. In the interest of effective law enforcement, it is desirable that the Secret Service retain this information since it can aid in establishing patterns of unlawful activity and provide valuable leads for those law enforcement agencies that are charged with enforcing other segments of the criminal, regulatory and civil laws;

(iii) In interviewing persons, or obtaining other forms of evidence during an investigation, information will be supplied to the investigator which relates to matters which are ancillary to the main purpose of the investigation but which may relate to matters under the investigative jurisdiction of another agency. Such information is not readily susceptible to segregation.

(5) The foregoing exemptions are claimed for records maintained in the Non-Criminal Investigation Information System only to the extent that such records contain materials described in subsection (k) of 5 U.S.C. 552a, the Privacy Act of 1974.

III. U.S. Secret Service Protection Information System. The Protection Information System is further described in "Notices of Records Systems" published by the General Services Administration.

(1) *Provisions from which exempted.* The Protection Information System maintained by the Secret Service contains records similar to those described in 5 U.S.C. 552a (j) and (k), the Privacy Act of 1974. The Protection Information System contains material relating to criminal investigations concerned with the enforcement of criminal statutes involving the security of persons and property. Further, this system contains records described in 5 U.S.C. 552a(k) including, but not limited to classified materials and investigatory material compiled for law enforcement purposes. There are maintained in the Protection Information System, in addition to the categories of records described above, records which are considered necessary to assuring the safety of individuals protected by the Secret Service Pursuant to the provisions of 18 U.S.C. 3056 and Pub. L. 90–331 (5 U.S.C. 552a(k)(3)). Exemptions are claimed for the above described records only where appropriate from the following provisions of the Privacy Act of 1974: subsections (c)(3) and (d) (1), (2), (3) and (4); (e) (1), (2) and (3); (e)(4) (G), (H) and (I); (e) (5) and (8); (f) and (g) of 5 U.S.C. 552a.

(2) *Reasons for claimed exemptions.* a. 5 U.S.C. 552a(c)(3): This provision of the Privacy Act provides for the release of the disclosure accounting required by 5 U.S.C. 552a(c) (1) and (2) to the individual named in the record at his request. The reasons why the Protection Information System is exempted from the foregoing provision are as follows:

(i) The release of accounting disclosures would put the subject of a protective intelligence file on notice of the existence of an investigation and that he is the subject of that investigation;

(ii) It would provide the subject of a protective intelligence file with an accurate accounting of the date, nature, and purpose of each disclosure and the name and address of the person or agency to whom the disclosure is made. Obviously, the release of such information to the subject of a protective intelligence file would provide him with significant information concerning the nature of the investigation, and could result in impeding or compromising the efforts of Secret Service personnel to detect persons suspected of criminal activities or to collect information necessary for the proper evaluation of persons considered to be of protective interest;

(iii) Disclosures of the disclosure accounting after the protective intelligence file is closed would alert the individual as to which agencies were investigating him and would put him on notice concerning the scope of the protective intelligence investigation and could aid him in avoiding detection.

b. 5 U.S.C. 552a (c)(4); (d); (e)(4) (G) and (H); (f) and (g): The foregoing provisions of the Privacy Act relate to an individual's right to notification of the existence of records pertaining to him and access to such records; the agency procedures relating to notification; access and contest of the information contained in such records; and the civil remedies available to the individual in the event of adverse determinations by an agency concerning access to or amendment of information contained in record systems. The reasons why the Protection Information System of records is exempted from the foregoing provisions are as follows:

(i) To notify an individual at his request of the existence of records pertaining to him in the Protection Information System would be injurious to the protective intelligence activities of the Secret Service if the existence of files on the subject were even acknowledged. Granting access to the criminal and the unstable person would necessarily lead to knowledge of the sources of Secret Service information and could endanger other enforcement and intelligence operations and confidential sources including co-workers, friends and relatives of the subjects of such records;

(ii) Limitation on access to the materials contained in the Protection Information System is considered necessary to the preservation of the utility of intelligence files and in safeguarding those persons the Secret Service is authorized to protect. Without such denial of access the Protection Information System could adversely effect in the poor quality of information available; in compromised confidential sources; in the inability to keep track of persons of protective interest; and from interference with Secret Service protective intelligence activities by individuals gaining access to protective intelligence files. Many of the persons on whom records are maintained in the Protection Information System suffer from mental aberrations. Knowledge of their condition and progress comes from authorities, family members and witnesses. Many times this information comes to the Secret Service as a result of two party conversations where it would be impossible to hide the identity of informants. Sources of information must be developed, questions asked and answers recorded. Trust must be extended and guarantees of confidentiality and anonymity must be maintained. Allowing access of information of this kind to individuals who are the subjects of protective interest may well lead to violence directed against an informant by a mentally disturbed individual;

(iii) Permitting access to protective intelligence files would reveal techniques and procedures, not only of Secret Service protective investigations but could reveal the criteria by which protective intelligence subjects are evaluated;

(iv) To notify an individual at his request of the existence of records pertaining to him in the Protection Information System would inform the individual of the existence of an investigation and that he is the subject of protective interest. This would enable the individual to avoid detection and would further enable him to inform co-conspirators of the fact that an investigation is being conducted;

(v) To permit access to the records contained in the Protection Information System would not only inform an individual that he is or was the subject of protective interest, but would also provide him with significant information concerning the nature of any investigation concerning his activities;

(vi) To grant access to current or closed protective intelligence files would interfere with Secret Service investigative and enforcement proceedings; deprive co-defendants of a right to a fair trial or an impartial adjudication; constitute an unwarranted invasion of the personal privacy of others; disclose the identity of confidential sources; reveal confidential information supplied by such sources; and disclose investigative techniques and procedures, and endanger the life or physical safety of law enforcement personnel, informants, witnesses, and other persons suppling information to investigators.

c. 5 U.S.C. 552a(e)(4)(I). This provision of the Privacy Act requires the publication of the categories of sources of records in each system of records. The reasons why the Protection Information System of records is exempted from the foregoing provision are as follows:

(i) Revealing sources of information would disclose investigative techniques and procedures;

(ii) Revealing sources of information would result in retaliation and threat of reprisal by the subject of a protective intelligence file;

(iii) Revealing sources of information would cause witnesses, informants and others who supply information to Secret Service investigators to refrain from giving such information because of fear of reprisal, or fear of breach of promises of anonymity and confidentiality;

(iv) Revealing sources of information would result in the refusal of some sources to give full and complete information or to be candid with investigators because of the knowledge that the identity of such sources may be disclosed.

d. 5 U.S.C. 552a(e)(1): This provision of the Privacy Act requires each agency to maintain in its records only such information about an individual as is relevant and necessary to accomplish a purpose of the agency. The reasons why the Protection Information System of records is exempted from the foregoing provisions are as follows:

(i) In gathering protective intelligence information it is difficult to determine accurately the relevancy and necessity of information during the process of information gathering. It is only after the information is evaluated that the relevancy and necessity of such information can be ascertained;

(ii) In carrying out protective intelligence responsibilities the Secret Service often obtains information concerning the violation of laws other than those within the scope of its protective intelligence jurisdiction. In the interest of effective law enforcement, it is desirable that the Secret Service retain this information since it can aid in establishing patterns of criminal activity and provide valuable leads for those law enforcement agencies that are charged with enforcing other segments of the criminal law;

(iii) During protective intelligence nvestigations, information will be upplied to the investigator which elates to matters which are ancillary to he main purpose of the investigation ut which may relate to matters under he investigative jurisdiction of another gency. Such information is not readily usceptible to segregation.

e. 5 U.S.C. 552a(c)(2): This provision of he Privacy Act requires an agency to ollect information to the greatest extent racticable directly from the subject ndividual when the information may esult in adverse determinations about n individual's rights, benefits and rivileges under Federal programs. The easons why the Protection Information ystem is exempted from the foregoing rovision are as follows:

(i) In certain instances, where the rotective intelligence subject is uspected of criminal activity, he is not equired to supply information to vestigators as a matter of legal right. those instances, information relating a subject's criminal activities must be btained from other sources;

(ii) A requirement that information be ollected from an individual who is of rotective interest would put the dividual on notice of the existence of e intelligence investigation and such nowledge would enable him to avoid etection in the event that the individual tempted to physically harm persons otected by the Secret Service;

(iii) In a protective intelligence vestigation where the subject of the vestigation is suspected of engaging in iminal activities it is necessary to tain evidence from a variety of urces other than the subject of the vestigation in order to accumulate and rify the evidence necessary for the ccessful prosecution of persons spected of violating the criminal laws.

f. 5 U.S.C. 552a(e)(3): This provision of e Privacy Act requires an agency to form each individual whom it asks to pply information of the authority hich authorizes the solicitation of the formation and whether disclosure of ch information is mandatory or luntary, the principle purposes for hich the information is intended to be ed; the routine uses which may be ade of the information; and the effect the individual of not providing the quested information. The reasons why e Protection Information System is empted from the foregoing provision e as follows:

(i) Informing each individual who is ked to supply information in a otective intelligence investigation of e information required under the regoing provision would inform the dividual of the existence of a confidential investigation; reveal the identity of confidential sources of information; and endanger the life or physical safety of confidential informants;

(ii) Informing each individual who is asked to supply information in a protective intelligence investigation of the information required under the foregoing provision would result in an unwarranted invasion of the privacy of individuals who may be the subject of a criminal investigation or who are suspected of engaging in criminal activity;

(iii) Informing each individual who is asked to supply information in a protective intelligence investigation of the information required under the foregoing provision would inhibit such individuals from supplying the requested information and thereby present a serious impediment to the success of the Secret Service in carrying out its protective intelligence activities.

g. 5 U.S.C. 552a(e)(5): This provision of the Privacy Act requires an agency to maintain all records which are used in making any determination about an individual with such accuracy, relevance, timeliness, and completeness as is reasonably necessary to assure fairness to the individual in the determination. The reasons why the Protection Information System is exempted from the foregoing provisions are as follows:

(i) In gathering information during the course of a protective intelligence investigation it is usually not possible to determine in advance what information is accurate, relevant, timely, and complete. Seemingly nonrelevant or untimely information may acquire new significance as an investigation progresses;

(ii) The restrictions on the maintenance of the records contained in the foregoing provision would impede investigators and intelligence analysts in the exercise of their judgment and discretion in reporting on protective intelligence subjects;

(iii) Compliance with the records maintenance criteria listed in the foregoing provision would require the periodic up-dating of Secret Service protective intelligence files to insure that the records maintained in the system remain timely and complete.

h. 5 U.S.C. 552a(e)(8): This provision of the Privacy Act requires an agency to make reasonable efforts to serve notice to an individual when any record on such individual is made available to any person under compulsory legal process becomes a matter of public record. The reasons why the Protection Information System is exempted from the foregoing provision are as follows:

(i) The notice requirement of the foregoing provision could impede Secret Service protective efforts by revealing techniques and procedures;

(ii) The notice requirements of the foregoing provision could reveal the existence of confidential investigations to individuals who are the subjects of such investigations.

i. The foregoing exemptions are claimed for materials maintained in the Protection Information System to the extent that such materials contain information and reports described in 5 U.S.C. 552a(j)(2). Further, records maintained in the Protection Information System described in 5 U.S.C. 552a(k) are to be exempted from subsections (c)(3), (d) (1), (2), (3) and (4); (e)(1), (e)(4) (G), (H) and (I) and (f) of 5 U.S.C. 552a for the reasons previously stated.

Bureau of Alcohol, Tobacco and Firearms

notice of systems exempt from certain provisions of the privacy act of 1974

In accordance with 5 U.S.C. 552a (j) and (k), general notice is hereby given of rulemaking under the Privacy Act of 1974 by the Director, Bureau of Alcohol, Tobacco and Firearms. The Director, Bureau of Alcohol, Tobacco and Firearms, exempts the systems of records identified in paragraphs (a), (b) and (c) of this section from certain provisions of the Privacy Act of 1974 as set forth in such paragraphs.

exemptions

(a) *General exemptions.* Under the provisions of 5 U.S.C. 552a(j), the Director, Bureau of Alcohol, Tobacco and Firearms, hereby determines that certain provisions of the Privacy Act of 1974 shall not apply to the *Treasury—ATF Criminal Investigation Report System.*

(1) The Privacy Act of 1974 creates several methods by which individuals who are of record in this system of records may discover information collected about their criminal activities. These methods are as follows: subsections (e)(4)(G) and (f)(1) allow individuals to ascertain whether their criminal activities have been recorded; subsections (d)(1), (e)(4)(H), and (f) (2), (3) and (5) establish the ability of individuals to gain access into the investigatory files maintained on their criminal activities; subsections (d) (2), (3) and (4), (e)(4)(H), and (f)(4) presuppose access and further enable individuals to contest the contents of their criminal files; subsection (c)(3)

allows individuals to discover if other law enforcement agencies are investigating their criminal activities and subsection (e)(4)(I) discloses the categories of sources of records in the system. Since these subsections are variations upon the criminal subjects' ability to ascertain whether a Federal law enforcement agency has uncovered their criminal misdeeds, these subsections have been grouped together for purposes of this notice.

(A) With respect to subsections (e)(4)(G) and (f)(1), the Bureau of Alcohol, Tobacco and Firearms believes that imposition of these requirements would identify to individuals the fact that they are of record, and in so doing, compromise the ability of ATF to successfully complete an investigation into violations of law. Where individuals have the ability to discover the location and specific character of their investigative records in this system, they will be able to determine the nature of the investigation, the type of surveillance utilized and the precise stage of the investigation into their criminal activities. When individuals can determine that the investigation into their criminal activities has been closed, they are placed on notice that they may safely resume their illegal conduct. For these reasons, ATF seeks exemption of this system from subsections (e)(4)(G) and (f)(1).

(B) With respect to subsections (d)(1), (e)(4)(H) and (f) (2), (3) and (5), the Bureau of Alcohol, Tobacco and Firearms believes that access into criminal investigative files poses present and future dangers on the ability of this agency to effectively enforce the criminal laws committed to its administration. Where individuals may break into an ongoing criminal investigative file they discover the collection of facts which will form the basis of their arrests. Knowledge of these facts enables them to destroy valuable contraband or other evidence of their activities prior to lawful seizure and thereby prevent enforcement proceedings. The ongoing investigative file may reveal that reasonable cause exists to believe that a crime is about to be committed. Disclosure of these facts enable individuals with criminal intent to either postpone the commission of their criminal acts or relocate the scene of the crime to an alternatively acceptable location where Federal agents will not be anticipated. After a criminal investigation has been closed, information in the file nevertheless reveals to the investigated subjects the techniques and procedures utilized by a law enforcement agency. Knowledge of these investigative techniques and procedures by individuals and groups devoted to crime enables them to structure their future operations in such a way as to place these activities beyond discovery until after the crime has been committed. Thus, the ability of Federal agents to prevent crime by apprehension of the criminals at the precise moment of commission of the criminal act is seriously jeopardized.

Disclosure of investigative techniques and procedures could further render the commission of the criminal act itself not susceptible to reconstruction and tracing to its originator. Armed with a knowledge of forensic science and the applied technology of criminal investigation contained in their own files, individuals and groups of individuals devoted to crime have the necessary information to develop counter-techniques which may effectively neutralize established investigative tools and procedures. Additionally, a closed criminal file reveals the identities of informers and undercover agents who have possibly risked their lives and the lives of their families by contributing information concerning the criminal activities of individuals and groups. Oftentimes, friends, family, neighbors and business associates of the subject under investigation, secure in the assured anonymity of a Federal criminal investigation, are not afraid to furnish valuable information relating to the criminal activities of the subjects of investigation. Where criminal subjects have access to the confidential information in their criminal files (with or without the identities of the sources) they can determine from the nature of the information and by process of elimination the identity of those individuals against whom to retaliate. This legitimate fear of reprisal exists in the minds of neighbors, relatives, and co-workers, especially with regard to individuals who are violence-prone or emotionally unstable. As a direct result of this fear of discovery through access to the investigative file, sources close to the criminal subject would decline to be interviewed or otherwise refrain from contact with the Bureau. This absence of information would render the Bureau unable to comply effectively with the mandates of the statutes committed to its administration. For these reasons, ATF seeks exemption of this system from subsections (d)(1), (e)(4)(H) and (f) (2), (3) and (5).

(C) With respect to subsections (d) (2), (3) and (4), (e)(4)(H), and (f)(4), which presuppose access and provide for contest of the content of records contained in this system, the Bureau of Alcohol, Tobacco and Firearms believes that the reasons set forth in subparagraph (B) of paragraph (1) of this subsection are equally applicable to this subparagraph, and are hereby incorporated by reference. For these reasons, ATF seeks exemption of this system from subsections (d) (2), (3) and (4), (e)(4)(H) and (f)(4).

(D) With respect to subsection (c)(3) which provides for making the accounting of disclosures available to the requester, the Bureau of Alcohol, Tobacco and Firearms believes that access to this accounting by a subject under investigation would impair the ability of other law enforcement agencies to utilize information developed by ATF for their investigations into violations of criminal laws not enforced by ATF. Where the interstate criminal activities of individuals or groups span the jurisdictions of several law enforcement agencies, information will be shared by these agencies in their attempts to bring these violators to justice. Disclosure of the accounting will alert such individuals to which agencies are conducting investigations, the geographic locations of such investigations, the nature and purpose of the investigations, and the date during which the investigation received information maintained by ATF. Supplied with this information, individuals or groups may ascertain which of their criminal activities have been discovered and the law enforcement agencies which are in current pursuit. For these reasons, ATF seeks exemption of this system from subsection (c)(3).

(E) With respect to subsection (e)(4)(I), which requires publication of the categories of sources for a record system, the Bureau of Alcohol, Tobacco and Firearms believes that imposition of subsection (e)(4)(I) upon this system would reveal investigative techniques and procedures. For this reason, ATF seeks exemption of this system from subsection (e)(4)(I).

(2) The Privacy Act of 1974 provides, at subsection (e)(1), that an agency may maintain only such information about an individual as is relevant and necessary to accomplish a purpose of the agency required to be accomplished by a statute or executive order of the President. The term "maintain" is defined in the Privacy Act to include the initial collection of information. The Bureau of Alcohol, Tobacco and Firearms believes that exemption of this system from subsection (e)(1) is appropriate because not all violations uncovered in an

investigation are capable of enforcement by ATF. Where individuals or groups are engaged in a multiplicity of criminal violations, this evidence should be recorded by ATF and transferred to the appropriate law enforcement agencies. This Bureau should not and cannot legally ignore violations of law uncovered in a lawful ATF investigation merely because ATF has no authority to bring the criminal to justice for these non-ATF violations. Where other agencies uncover evidence of ATF violations, this information must be susceptible to collection and preservation by that agency for subsequent use by ATF. Where an investigation by ATF uncovers only ATF violations, information may initially appear irrelevant and unnecessary when collected. However, a later stage of the investigation may uncover additional facts which when placed ogether with the initially collected irrelevant information, form the basis for easonable cause to believe that dditional suspects are involved or dditional crimes have been or are eing committed. Until all facts have een gathered and evaluated at the onclusion of the investigation it may ot be possible to determine relevancy nd necessity. For these reasons, ATF eeks exemption of this system from ubsection (e)(1).

(3) The Privacy Act of 1974 provides t subsection (e)(2) that an agency must ollect information to the greatest extent racticable directly from the subject ndividual. The Bureau of Alcohol, obacco and Firearms believes that this ystem should be exempted from ubsection (e)(2) because most nformation gathered upon a subject nder investigation is obtained from hird parties and witnesses. There is a inimal degree of practicability in ontacting a criminal subject for urposes of seeking information as to is criminal activities. Such contact lerts the individual that he is under vestigation and affords him pportunity to conceal his criminal ctivities or otherwise avoid detection r apprehension. In certain instances, e subject of a criminal investigation is ot required to supply information to vestigators as a matter of legal right. aw violators seldom give self-criminatory information about their volvement in criminal activities. In hose instances, information relating to e subject's criminal activities must be btained from other sources. For these easons, ATF seeks exemption of this ystem from subsection (e)(2).

(4) The Privacy Act of 1974 provides t subsection (e)(3) that each individual must be informed of the authority, principle purposes, and routine uses and effects on the individual when requested to provide information. The Bureau of Alcohol, Tobacco and Firearms believes that this system should be exempted from subsection (e)(3). When information is obtained by undercover officers, conformity to (e)(3) discloses their identity as agents of a law enforcement authority and thereby impairs their physical safety as well as the successful conclusion of the investigation. When presented with a written statement complying with (e)(3) by special agents acting in undercover capacity, the individual may not thereafter be completely open with such agents. For these reasons, ATF seeks exemption of this system from subsection (e)(3).

(5) The Privacy Act of 1974 provides at subsection (e)(5) that an agency maintain all records which are used in making any determination about an individual with such accuracy, relevance, timeliness, and completeness as is reasonably necessary to assure fairness to the individual in the determination. Since the law defines "maintain" to include collection of information, the Bureau of Alcohol, Tobacco and Firearms believes that this system should be exempt from subsection (e)(5) because it would prohibit the initial collection of any data not shown to be accurate, relevant, timely or complete at the moment of its collection. In gathering information during the course of a criminal investigation it is not feasible or possible to determine completeness, accuracy, timeliness or relevancy prior to collection of the information. Facts are first gathered then placed into a cohesive order which objectively proves or disproves criminal behavior on the part of a suspect. Seemingly irrelevant, untimely and incomplete information when gathered may acquire new significance as an investigation progresses. The restrictions of (e)(5) could impede special agents in the preparation of a complete investigative report. For these reasons, ATF seeks exemption of this system from subsection (e)(5).

(6) The Privacy Act of 1974 provides, at subsection (e)(8), that an agency must make reasonable efforts to serve notice on an individual when his records are made available pursuant to compulsory legal process, when such process becomes a matter of public record. Such a requirement would impose unnecessary and unusual administrative demands on the Bureau of Alcohol, Tobacco and Firearms by requiring a record system to follow up on legal process emanating from court proceedings to which ATF is not a party. The Bureau of Alcohol, Tobacco and Firearms believes the duty of serving notice in such a case properly rests with the moving party who seeks disclosure by utilization of the court's compulsory legal process. Further, in most cases where an individual's criminal records have been disclosed pursuant to compulsory legal process, the individual who is the subject of the records will be a party to the proceedings and will have actual notice of the disclosure. For these reasons, ATF seeks exemption of this system from subsection (e)(8).

(7) The Privacy Act of 1974 provides, at subsection (g), civil remedies for agency failure to grant access, agency failure to amend records, agency failure to maintain accurate, relevant, timely and complete records and agency failure to comply with provisions of the Privacy Act which have an adverse effect on an individual. The Bureau of Alcohol, Tobacco and Firearms believes that this system should be exempted from subsection (g) because the civil remedies provided in this subsection apply to provisions in the Privacy Act which have been exempted from application to this system by virtue of this notice. Since these provisions are not intended to apply to this system, there should be no corresponding civil penalty for failure to comply with the requirements of these sections due to exercise of the exemption authority. ATF believes that application of this subsection to this system of records would impair ATF's ability to conduct investigations into the criminal behavior of suspects because every step in the investigation process in which information is compiled for prosecution purposes would be susceptible to civil action under this subsection. For these reasons, ATF seeks exemption of this system from subsection (g).

(b) *Specific exemptions under § 552a(k)(2).* Under the provisions of 5 U.S.C. 552a(k)(2), the Director, Bureau of Alcohol, Tobacco and Firearms, hereby determines that certain provisions of the Privacy Act of 1974 shall not apply to the *Treasury—ATF—Regulatory Enforcement Record System,* the *Treasury—ATF—Technical and Scientific Services Record System,* and that portion of the *Treasury—ATF—Internal Security Record System* relating to "conduct of employees" and "integrity of employees" records.

(1) The Privacy Act of 1974 creates several methods by which individuals may discover records containing information on such individuals and

consisting of investigatory material compiled for law enforcement purposes. These methods are as follows: Subsection (c)(3) allows individuals to discover if other agencies are investigating such individuals; subsections (d)(1), (e)(4)(H), and (f) (2), (3) and (5) establish the ability of individuals to gain access to investigatory material compiled on such individuals; subsections (d) (2), (3) and (4), (e)(4)(H) and (f)(4) presuppose access and enable individuals to contest the contents of investigatory material compiled on these individuals; and subsections (e)(4)(G) and (f)(1) allow individuals to determine whether or not they are under investigation. Since these subsections are variations upon the individuals' ability to ascertain whether their civil or criminal misdeeds have been discovered, these subsections have been grouped together for purposes of this notice.

(A) The Bureau of Alcohol, Tobacco and Firearms believes that imposition of the requirements of subsection (c) (3), requiring accounting of disclosures be made available to individuals, would impair the ability of ATF and other investigative entities to conduct investigations of alleged or suspected violations of civil or criminal laws. Making the accounting of disclosures available identifies to individuals which investigative entities are investigating the individuals, the nature of the violations of which they are suspected, and the purpose for the exchange of information. Supplied with this information, the individuals concerned would be able to alter their ongoing and future illegal activities, conceal or destroy evidentiary materials and documents, and otherwise seriously impair the successful completion of investigations. Further, where individuals learn the geographic location and identity of the investigative entities which are interested in them, such individuals are able to move the site of their illegal activities or become secure in the knowledge that their illegal activities have not been detected in particular geographic locations. For these reasons, ATF seeks an exemption from the requirements of subsection (c)(3).

(B) With respect to subsections (d) (1), (e)(4)(H), and (f) (2), (3) and (5), the Bureau of Alcohol, Tobacco and Firearms believes that access into investigatory material would prevent the successful completion of ongoing investigations. Individuals who gain access to investigatory material compiled on them discover the nature and extent of the violations of civil or criminal laws which they are suspected or alleged to have committed. By gaining access, such individuals also learn the facts developed during an investigation. Knowledge of the facts and the nature and extent of the suspected or alleged violations enables these individuals to destroy materials or documents which would have been used as evidence against them. In addition, knowledge of the facts and the suspected violations gives individuals, who are committing ongoing violations or who are about to commit violations of civil or criminal laws, the opportunity to temporarily postpone the commission of the violations or to effectively disguise the commission of these violations. Access to material compiled on investigated individuals reveals investigative techniques and the procedures followed in conducting investigations. Disclosure of these techniques and procedures enables individuals who intend to violate civil or criminal laws to structure their future illegal activities in such a way that they escape detection. Investigative material may contain the identity of confidential sources of information. Individuals who gain access to investigatory material compiled on them learn the identity of these confidential sources. Even where the name of the source is not revealed, investigated individuals may learn the identity of confidential sources by the process of elimination or by the very nature of the information contained in the files. Where the identity of confidential sources has been revealed, they may be subject to various forms of reprisal. If confidential sources of information are subjected to reprisals or the fear of reprisals, they would become reluctant to provide information necessary to identify or prove the guilt of individuals who violate civil or criminal laws. Without the information that is often supplied by confidential sources, the ability of investigative entities would be seriously impaired. For the reasons stated in this paragraph, ATF seeks exemption from the requirements of subsections (d)(1), (e)(4)(H), and (f) (2), (3) and (5).

(C) With respect to subsections (d) (2), (3) and (4), (e) (4) (H), and (f) (4), the Bureau of Alcohol, Tobacco and Firearms believes that the imposition of these requirements, which presuppose access and provide for amending records, would impair ATF's ability to conduct investigations for the same reasons stated in the preceding paragraph (b)(1)(B), and are incorporated by reference herein. Therefore, ATF seeks exemption from the requirements of subsections (d) (2), (3) and (4), (e)(4)(H), and (f)(4).

(D) With respect to subsections (e) (4)(G) and (f)(1), the Bureau of Alcohol, Tobacco and Firearms believes that informing individuals that they are of record would impair the ability of ATF to successfully complete the investigations of suspected or alleged violators of civil or criminal laws. Individuals, who are informed that they have been identified as suspected violators of civil or criminal laws, are given the opportunity to destroy evidence or other material needed to prove the alleged violations. Such individuals would also be able to impair investigations by temporarily suspending ongoing illegal activities or by restructuring intended illegal activities. Informing individuals that they are of record in a particular system of records enables such individuals to learn the nature of the investigation, the character of the investigatory material and the specific civil or criminal laws they are suspected of violating. For these reasons, ATF seeks exemption from the requirements of subsections (e)(4)(G) and (f)(1).

(2) Subsection (e) (1) of the Privacy Act of 1974 requires that ATF maintain in its records only information that is relevant and necessary to accomplish a purpose of ATF required to be accomplished by statute or by executive order of the President. The Bureau of Alcohol, Tobacco and Firearms believes that imposition of such requirement would seriously impair the ability of ATF and other investigative entities to effectively investigate suspected or alleged violations of civil or criminal laws. Where individuals are engaged in a broad variety of violations, if ATF were only to collect information necessary and relevant to laws under ATF's jurisdiction, ATF would be unable to perform one of its functions, i.e., working with other governmental agencies which have similar jurisdictional concerns. Additionally, it is often impossible to determine whether or not information is relevant and necessary until the investigation is completed. When initially collected, information may appear irrelevant or immaterial. However, when this information is placed together with additional data gathered at a later stage of the investigation, the initially collected irrelevant information may form the basis for reasonable cause to believe additional violations of law are present or additional suspects are involved. Until all facts have been gathered and evaluated it may not be possible to determine relevancy and

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materiality. For these reasons, ATF seeks an exemption from the requirement of subsection (e) (1).

(c) *Specific exemptions under § 552a (k)(5).* The Director, Bureau of Alcohol, Tobacco and Firearms exempts under § (k) of the Privacy Act of 1974, 5 U.S.C. 552a, that portion of the *Treasury—ATF—Internal Security Record System* relating to "security clearances for employees" records, and the *Treasury—ATF—Personnel Record System* from sections (c)(3), (d) (1) through (4), (e)(1), (e)(4)(G) through (e)(4)(I), and (f) of the Act. The records maintained in the exempt systems of records are of the type described in section (k)(5) of the Act: Investigatory material compiled solely for the purpose of determining suitability, eligibility, or qualifications for Federal civilian employment, military service, Federal contracts, or access to classified information, but only to the extent that the disclosure of such material would reveal the identity of a source who furnished information to the Government under an express promise that the identity of the source would be held in confidence, or, prior to the effective date of this section under an implied promise that the identity of the source would be held in confidence.

Thus to the extent that the records in this system can be disclosed without revealing the identity of a confidential source, they are not within the scope of this proposed exemption and are subject to all the requirements of the Privacy Act.

The sections of the Act from which this system of records are exempt are in general those providing for individual access to records. When such access would cause the identity of a confidential source to be revealed, it would impair the future ability of the Treasury Department to compile investigatory material for the purpose of determining suitability, eligibility, or qualifications for Federal civilian employment, Federal contracts, or access to classified information.

In addition, the systems are exempt from section (e)(1) which requires that the agency maintain in its records only such information about an individual as is relevant and necessary to accomplish a statutory or executively ordered purpose. The Director finds that to fulfill the requirements of section (e) (1) would unduly restrict the agency in its information gathering inasmuch as it is often not until well after the investigation that it is possible to determine the relevance and necessity of particular information.

If any investigations within the scope of section (k)(5) become involved with civil or criminal matters, exemptions from the Act could also be asserted under sections (k)(2) or (j)(2).

(d) *Application of exemptions to records exempt in whole or in part.* (1) When an individual requests records about himself which have been exempted from individual access pursuant to 5 U.S.C. 552a(j) or which have been compiled in reasonable anticipation of a civil action or proceeding in either a court or before an administrative tribunal, the Bureau of Alcohol, Tobacco and Firearms will neither confirm nor deny the existence of the record but shall advise the individual only that no record available to him pursuant to the Privacy Act of 1974 has been identified.

(2) When there is a request for information which has been classified by ATF pursuant to Executive Order 11652 and Treasury Order 160, ATF will review the information to determine whether it continues to warrant classification under the criteria of sections 1 and 5 (B), (C), (D), and (E) of the Executive Order. Information which no longer warrants classification under these criteria shall be declassified. After declassification, the information shall be made available to the individual, unless an exemption is claimed. If the information continues to warrant classification, the provisions of EO 11652 shall apply.

(3) Requests for information which have been exempted from disclosure pursuant to 5 U.S.C. 552a(k)(2) shall be responded to in the manner provided in paragraph (d)(1) of this section unless a review of the information indicates that the information has been used to deny the individual any right, privilege, or benefit for which he is eligible or to which he would otherwise be entitled under federal law. In that event, the individual shall be advised of the existence of the information and shall be provided the information except to the extent it would reveal the identity of a source who furnished information to the Government under an express promise that the identity of the source would be held in confidence, or, prior to September 27, 1975, under an implied promise that the identity of the source would be held in confidence.

(4) Information compiled as part of an employee background investigation which has been exempted pursuant to 5 U.S.C. 552a(k)(5) shall be made available to an individual upon request except to the extent it would reveal the identity of a source who furnished information to the Government under an express promise that the identity of the source would be held in confidence, or, prior to September 27, 1975, under an implied promise that the identity of the source would be held in confidence.

(5) Even though the exemptions described in paragraphs (a), (b) and (c) of this section may be fully applicable, the Bureau may, if not precluded by law, elect under the circumstances of a particular case not to apply the exemption; or to exempt only a part. The fact that the exemption is not applied by the Bureau in a particular case has no precedential significance as to the application of the exemption to such matter in other cases. It is merely an indication that in the particular case involved, the Bureau finds no compelling necessity for applying the exemption to such matter. Where the Bureau has elected not to apply an exemption, in whole or in part, Appendix E of 31 CFR Part 1, Subpart C, relating to ATF's notice, access and amendment procedures shall apply to the records requested only to the extent that the exemption was not asserted.

Bureau of Engraving and Printing, Department of the Treasury

Notice of rules exempting certain systems from requirements of the Privacy Act

(a) *In general.* The Director of the Bureau of Engraving and Printing exempts the Office of Security Investigative Files from the provisions of certain subsections of 5 U.S.C. 552a, the Privacy Act of 1974. The purpose of the exemptions is to maintain the confidentiality of information compiled for the purpose of criminal, non-criminal, employee suitability and security investigations.

(b) *Authority.* These rules are promulgated pursuant to the authority vested in the Secretary of the Treasury by 5 U.S.C. 552a(k) and pursuant to the authority vested in the Director, Bureau of Engraving and Printing.

(c) *Exempted System.* Bureau of Engraving and Printing, Office of Security, Investigative Files.

(1) *Provisions from which exempted.* The Investigative Files maintained by the Office of Security contain records described in 5 U.S.C. 552a(k)(2), the Privacy Act of 1974. Exemptions will be claimed for such described records only where appropriate from the following provisions of the Privacy Act of 1974: Subsections (c)(3); (d) (1), (2), (3), (4); (e)(1); (e)(4) (G), (H), and (I); and (f) of 5 U.S.C. 552a.

(2) *Reasons for claimed exemptions.* a. 5 U.S.C. 552a(c)(3): This provision of the Privacy Act provides for the release of the disclosure accounting required by 5 U.S.C. 552a(c) (1) and (2) to the

individual named in the Investigative Files. The reasons why these files are exempted from the foregoing provision are as follows:

(i) The release of accounting disclosures would put the subject of a security investigation on notice of the existence of an investigation and that he is the subject of that investigation;

(ii) It would provide the subject of an investigation with an accurate accounting of the date, nature, and purpose of each disclosure and the name and address of the person or agency to whom the disclosure is made. Obviously, the release of such information to the subject of a security investigation would provide him with significant information concerning the nature of the investigation and could result in impeding or compromising the efforts of Bureau Security personnel to detect and report persons suspected of illegal, unlawful, or unauthorized activity;

(iii) Disclosure to the individual of the disclosure accounting after the investigation is closed would alert the individual as to which agencies were investigating him and would put him on notice concerning the scope of his suspected improper activities and could aid him in avoiding detection and apprehension.

b. 5 U.S.C. 552a(d) (1), (2), (3), (4); (e)(4) (G) and (H); and (f): The foregoing provisions of the Privacy Act relate to an individual's right to notification of the existence of records pertaining to him and access to such records; the agency procedures relating to notification, access and contest of the information continued in such records. The reasons why the Investigative Files are exempted from the foregoing provisions are as follows:

(i) To notify an individual at his request of the existence of records pertaining to him in the Investigative Files would inform the individual of the existence of an investigation and that he is the subject of that investigation. This would enable the individual to avoid detection and would further enable him to inform co-conspirators of the fact that an investigation is being conducted;

(ii) To permit access to the records contained in the Investigative Files would not only inform an individual that he is or was the subject of a security investigation, but would also provide him with significant information concerning the nature of the investigation which might enable him to avoid detection or apprehension;

(iii) To grant access to an on-going or closed investigative file could interfere with Office of Security investigative proceedings, disclose the identity of confidential sources and reveal confidential information supplied by such sources, and disclose investigative techniques and procedures, or endanger the life or physical safety of Office of Security personnel, informants, witnesses, and other persons supplying information to investigators.

c. 5 U.S.C. 552a(e)(4)(I). This provision of the Privacy Act requires the publication of the categories of sources of records in each system of records. The reasons why the Investigative Files are exempted from the foregoing provision are as follows:

(i) Revealing sources of information could disclose investigative techniques and procedures;

(ii) Revealing sources of information could result in retaliation and threat of reprisal by the subject under investigation against such sources;

(iii) Revealing sources of information could cause witnesses, informants and others who supply information to Office of Security investigators to refrain from giving such information because of fear of reprisal, or fear of breach of promises of anonymity and confidentiality;

(iv) Revealing sources of information could result in the refusal of some sources to give full and complete information or to be candid with investigators because of the knowledge that the identity of such sources may be disclosed.

d. 5 U.S.C. 552a(e)(1): This provision of the Privacy Act requires each agency to maintain in its records only such information about an individual as is relevant and necessary to accomplish a purpose of the agency. The reasons why the Investigative Files are exempted from the foregoing provision are as follows:

(i) In a security investigation it is difficult to determine accurately the relevancy and necessity of information during the process of information gathering. It is only after the information is evaluated that the relevancy and necessity of such information can be ascertained;

(ii) In a security investigation, the Office of Security often obtains information concerning the violation of laws other than those within the scope of its responsibilities. In the interest of effective law enforcement, it is desirable that the Office of Security retain this information since it can aid in establishing patterns of criminal activity and provide valuable leads for those law enforcement agencies that are charged with enforcing other segments of the criminal law;

(iii) In interviewing persons, or obtaining other forms of evidence during a criminal investigation, information will be supplied to the investigator which relates to matters which are ancillary to the main purpose of the investigation but which may relate to matters under the investigative jurisdiction of another agency. Such information is not readily susceptible to segregation.

e. The foregoing exemptions are claimed for materials maintained in the Investigative Files to the extent that such materials contain information and reports described in 5 U.S.C. 552a(k)(2).

The Bureau of Engraving and Printing exempts under section (k) of the Privacy Act of 1974, 5 U.S.C. 552a, the Bureau's Personnel Security Files and Personnel Security Files and Indices from sections (c)(3), (d), (e)(1), (e)(4)(G) through (e)(4)(I), and (f) of the Act. The records maintained in the exempt systems of records are of the type described in section (k)(5) of the Act:

> Investigatory material compiled solely for the purpose of determining suitability, eligibility, or qualifications for Federal civilian employment, military service, Federal contracts, or access to classified information, but only to the extent that the disclosure of such material would reveal the identity of a source who furnished the information to the Government under an express promise that the identity of the source would be held in confidence, or, prior to the effective date of this section, under an implied promise that the identity of the source would be held in confidence.

Thus to the extent that the records in this system can be disclosed without revealing the identity of a confidential source, they are not within the scope of this exemption and are subject to all the requirements of the Privacy Act.

The sections of the Act from which this system of records are exempt are in general those providing for individual access to records. When such access would cause the identity of a confidential source to be revealed, it would impair the future ability of the Treasury Department to compile investigatory material for the purpose of determining suitability, eligibility, or qualifications for Federal civilian employment, Federal contracts, or access to classified information.

In addition, the systems are exempt from section (e)(1) which requires that the agency maintain in its records only such information about an individual as is relevant and necessary to accomplish a statutory or executively ordered purpose. The Director finds that to fulfill the requirements of section (e)(1) would unduly restrict the agency in its information gathering inasmuch as it is often not until well after the investigation that it is possible to determine the relevance and necessity of particular information.

If any investigations within the scope of section (k)(5) become involved with civil and criminal matters, exemptions from the Act should also be asserted under sections (k) (2) or (j) (2).

Bureau of the Mint

Notice of rules exempting certain systems from requirements of the Privacy Act

(a) *In general.* The Director of the Mint exempts investigatory files on theft of Mint property and examination reports of coins forwarded to the Mint by the U.S. Secret Service from certain subsections of 5 U.S.C. 552a, the Privacy Act of 1974. The purpose of the exemption is to maintain the confidentiality of investigatory material compiled for law enforcement purposes.

(b) *Authority.* These rules are promulgated pursuant to the authority vested in the Secretary of the Treasury by 5 U.S.C. 552(a)(k)(2), and pursuant to the authority vested in the Director of the Mint by paragraph 1.23(c) of Subpart C of Part 1 of Subtitle A of Title 31 of the Code of Federal Regulations.

(c) *Name of systems.* Examination Reports of Coins Forwarded to Mint from U.S. Secret Service and Investigatory Files on Theft of Mint Property.

(d) *Provisions from which exempted.* These two systems consist in large part of records generated by the U.S. Secret Service in connection with its responsibilities to enforce various criminal laws. Those records are described in 5 U.S.C. 552a(j) and are exempted from various provisions of the Privacy Act of 1974 by the Director of the U.S. Secret Service. To a lesser extent, these two systems also contain records generated and compiled by the Bureau of the Mint in assisting the U.S. Secret Service in its law enforcement efforts. Those records are described in 5 U.S.C. 552a(k)(2), the Privacy Act of 1974. Exemptions will be claimed for such records only where appropriate from the following provisions, subsections (c)(3), (d), (e)(1), (e)(4) (G), (H), and (I) and (f) of 5 U.S.C. 552a.

(e) *Reasons for claimed exemptions.* Those provisions of the Privacy Act would otherwise require the Bureau of the Mint to notify an individual of investigatory material maintained in a record pertaining to him, permit access to such record, permit request for its correction (section 552a(d), (e)(4) (G), (H) and (f)); make available to him any required accounting of disclosures made of the record (section 552a(c)(3)), publish the sources of records in the system (section 552a(e)(4) (I)); and screen records to insure that there is maintained only such information about an individual as is relevant to accomplish a required purpose of the Bureau (section 552a(e)(1)). Disclosure to an individual of investigatory material pertaining to him would hamper law enforcement by prematurely disclosing the knowledge of illegal activities and the evidentiary bases for possible enforcement actions. Furthermore, the disclosure of certain investigatory material compiled for law enforcement purposes may disclose investigative techniques and procedures, so that future law enforcement efforts would be hindered. Access to an accounting of disclosures of such records would have a similar detrimental effect on law enforcement. Accordingly, the Director of the Mint finds that the public interest and public policy in protecting the coinage and property of the United States require exemption from the stated sections of the Act to the extent that they are applicable to appropriate materials in these two systems.

Comptroller of the Currency

Notice of Rules Exempting Certain Systems of Records From the Requirements of the Privacy Act

(a) *In General.* The Office of the Comptroller of the Currency exempts the following systems of records from certain provisions of the Privacy Act: (1) Enforcement and Compliance Information; (2) Federal Bureau of Investigation Report Card index; (3) Chief Counsel's Management Information System. The purpose of the exemption is to maintain confidentiality of data obtained from various sources that may ultimately accomplish a statutory or executively-ordered purpose.

(b) *Authority.* The authority to issue exemptions is vested in the Office of the Comptroller of the Currency, as a constituent unit of the Treasury Department, by 31 CFR 1.20 and 1.23(c).

(c) *Exemptions under 5 U.S.C. 552a(j)(2).* (1) Under 5 U.S.C. 552a(j)(2), the head of any agency may issue rules to exempt any system of records within the agency from certain provisions of the Privacy Act of 1974, if the agency or component that maintains the system performs as its principal function any activities pertaining to the enforcement of criminal laws. Components of the Office of the Comptroller of the Currency are involved in the investigation of fraudulent or other illegal activities as well as other sensitive matters, in order to carry out their bank supervisory function. Exemptions will be claimed for such records only where appropriate.

(2) To the extent that the exemption under 5 U.S.C. 552a(j)(2) does not apply to the above named systems of records, then the exemption under 5 U.S.C. 552a(k)(2) relating to investigatory material compiled for law enforcement purposes is claimed for certain records in the systems. Exemptions will be claimed for such records only where appropriate.

(3) The provisions of the Privacy Act of 1974 from which exemptions are claimed under 5 U.S.C. 552a(j)(2) are as follows:

5 U.S.C. 552a(c)(3) and (4)
5 U.S.C. 552a(d)(1), (2), (3), (4)
5 U.S.C. 552a(e)(1), (2), and (3)
5 U.S.C. 552a(e)(4)(G), (H), and (I)
5 U.S.C. 552a(e)(5) and (8)
5 U.S.C. 552a(f)
5 U.S.C. 552a(g)

(d) *Exemptions under 5 U.S.C. 552a(k)(2).* (1) Under 5 U.S.C. 552a(k)(2), the head of any agency may issue rules to exempt any system of records within the agency from certain provisions of the Privacy Act of 1974 if the system is investigatory material compiled or law enforcement purposes.

(2) To the extent that information contained in the above-named systems has as its principal purpose the enforcement of criminal laws, the exemption for such information under 5 U.S.C. 552a(j)(2) is claimed.

(3) Provisions of the Privacy Act of 1974 from which exemptions are claimed under 5 U.S.C. 552a(k)(2) are as follows:

5 U.S.C. 552a(c)(3)
5 U.S.C. 552a(d)(1), (2), (3), and (4)
5 U.S.C. 552a(e)(1)
5 U.S.C. 552a(e)(4)(G), (H), and (I)
5 U.S.C. 552a(f)

(e) *Reasons for exemptions under 5 U.S.C. 552a(j)(2) and (k)(2).* (1) 5 U.S.C. 552a(c)(3) requires that an agency make accountings of disclosures of records available to individuals named in the records at their request. These accountings must state the date, nature and purpose of each disclosure of the record and the name and address of the recipient. The application of this provision would alert subjects of an investigation to the existence of the investigation and that such persons are the subjects of that investigation. Since release of such information to subjects of an investigation would provide the subjects with significant information concerning the nature of the investigation, it could result in the altering or destruction of documentary evidence, improper influencing of witnesses, and other activities that could impede or compromise the investigation.

(2) 5 U.S.C. 552a(c)(4), (d)(1), (2), (3), and (4), (e)(4)(G) and (H), (f), and (g) relate to an individual's right to be notified of the existence of records pertaining to such individual; requirements for identifying an individual who requests access to records; the agency procedures relating to access to records and the content of information contained in such records; and the civil remedies available to the individual in the event of adverse determinations by an agency concerning access to or amendment of information contained in record systems. These systems are exempt from the foregoing provisions for the following reasons: To notify an individual at the individual's request of the existence of records in an investigative file pertaining to such individual or to grant access to an investigative file could: Interfere with investigative and enforcement proceedings; interfere with co-defendants' rights to a fair trial; constitute an unwarranted invasion of the personal privacy of others; disclose the identity of confidential sources and reveal confidential information supplied by these sources; or disclose investigative techniques and procedures.

(3) 5 U.S.C. 552a(e)(4)(I) requires the publication of the categories of sources of records in each system of records. The application of this provision could disclose investigative techniques and procedures and cause sources to refrain from giving such information because of fear of reprisal, or fear of breach of promises of anonymity and confidentiality. This would compromise the ability to conduct investigations, and to identify, detect, and apprehend violators.

(4) 5 U.S.C. 552a(e)(1) requires each agency to maintain in its records only such information about an individual that is relevant and necessary to accomplish a purpose of the agency required by statute or Executive Order. An exemption from the foregoing is needed:

(i) Because it is not possible to detect relevance or necessity of specific information in the early stages of a criminal or other investigation.

(ii) Relevance and necessity are questions of judgment and timing. What appears relevant and necessary when collected may ultimately be determined to be unnecessary. It is only after the information is evaluated that the relevance can be established.

(iii) In any investigation the Comptroller of the Currency may obtain information concerning violations of laws other than those within the scope of its jurisdiction. In the interest of effective law enforcement, the Comptroller of the Currency should retain this information as it may aid in establishing patterns of criminal activity, and provide leads for those law enforcement agencies charged with enforcing other segments of criminal or civil law.

(iv) In interviewing persons, or obtaining other forms of evidence during an investigation, information may be supplied to the investigator which relates to matters incidental to the main purpose of the investigation but which may relate to matters under the investigative jurisdiction of another agency. Such information cannot readily be segregated.

(5) 5 U.S.C. 552a(e)(2) requires an agency to collect information to the greatest extent practicable directly from the subject individual when the information may result in adverse determinations about an individual's rights, benefits, and privileges under Federal programs. The application of the provision would impair investigations for the following reasons:

(i) In certain instances the subject of an investigation cannot be required to supply information to investigators. In those instances, information relating to a subject's illegal acts, violations of rules of conduct, or any other misconduct, etc., must be obtained from other sources.

(ii) Most information collected about an individual under investigation is obtained from third parties such as witnesses and informers. It is not feasible to rely upon the subject of the investigation as a source for information regarding his activities.

(iii) The subject of an investigation will be alerted to the existence of an investigation if an attempt is made to obtain information from the subject. This would afford the individual the opportunity to conceal any criminal activities in order to avoid apprehension.

(iv) In any investigation it is necessary to obtain evidence from a variety of sources other than the subject of the investigation in order to verify the evidence necessary for successful litigation.

(6)(i) 5 U.S.C. 552a(e)(3) requires that an agency must inform the subject of an investigation who is asked to supply information of:

(A) The authority under which the information is sought and whether disclosure of the information is mandatory or voluntary,

(B) The purposes for which the information is intended to be used,

(C) The routine uses which may be made of the information, and

(D) The effects on the subject, if any, of not providing the requested information.

(ii) The reasons for exempting these systems of records from the foregoing provision are as follows:

(A) The disclosure to the subject of the investigation as stated in paragraph (e)(6)(i)(B) would provide the subject with substantial information relating to the nature of the investigation and could impede or compromise the investigation.

(B) If the subject were informed as required by this provision, it could seriously interfere with information-gathering activities by requiring disclosure of sources of information and, therefore, impairing the successful conclusion of the investigation.

(C) Individuals may be contacted during preliminary information-gathering in investigations before any individual is identified as the subject of an investigation. Informing the individual of the matters required by this provision would hinder or adversely affect any present or subsequent investigations.

(7) 5 U.S.C. 552a(e)(5) requires that records be maintained with such accuracy, relevance, timeliness, and completeness as is reasonably necessary to assure fairness to the individual in making any determination about an individual. Since the law defines "maintain" to include the collection of information, complying with this provision would prevent the collection of any data not shown to be accurate, relevant, timely, and complete at the moment of its collection. In gathering information during the course of an investigation it is not possible to determine this prior to collection of the information. Facts are first gathered and then placed in a logical order which objectively proves or disproves suspected behavior on the part of the suspect. Material which may seem unrelated, irrelevant, incomplete, untimely, etc., may take on added meaning as an investigation progresses. The restrictions in this provision could interfere with the preparation of a complete investigative report.

(8) 5 U.S.C. 552a(e)(8) requires an agency to make reasonable efforts to serve notice on an individual when any record on such individual is made available to any person under compulsory legal process when such process becomes a matter of public record. The notice requirement of this provision could prematurely reveal an ongoing investigation to the subject of the investigation.

(f) *Documents exempted.* Exemption will be claimed for certain records only where appropriate under the above provisions.

[48 FR 48460, Oct. 19, 1983, as amended at 52 FR 11989, Apr. 14, 1987]

Appendix A—Departmental Offices

1. *In general.* This appendix applies to the Departmental Offices as defined in 31 CFR Part 1, Subpart C, § 1.20. It sets forth specific notification and access procedures with respect to particular systems of records, identifies the officers designated to make the initial determinations with respect to notification and access to records, the officers designated to make the initial and appellate determinations with respect to requests for amendment of records, the officers designated to grant extensions of time on appeal, the officers with whom "Statement of Disagreement" may be filed, the officer designated to receive service of process and the addresses for delivery of requests, appeals, and service of process. In addition, it references the notice of systems of records and notices of the routine uses of the information in the system required by 5 U.S.C. 552a(e)(4) and (11) and published annually by the Office of the Federal Register in "Privacy Act Issuances".

2. *Requests for notification and access to records and accountings of disclosures.* Initial determinations under 31 CFR 1.26, whether to grant requests for notification and access to records and accountings of disclosures for the Departmental Offices, will be made by the head of the organizational unit having immediate custody of the records requested, or the delegate of such official. This information is contained in the appropriate system notice in the "Privacy Act Issuances", published annually by the Office of the Federal Register. Requests for information and specific guidance on where to send requests for records should be addressed to:

Privacy Act Request, DO, Department of the Treasury, 1500 Pennsylvania Avenue, NW., Washington, DC 20220.

Requests may be delivered personally to the Main Treasury Building, Room 5030, 1500 Pennsylvania Avenue NW., Washington, D.C.

3. *Requests for amendments of records.* Initial determinations under 31 CFR 1.27(a) through (d) with respect to requests to amend records for records maintained by the Departmental Offices will be made by the head of the organization or unit having immediate custody of the records or the delegate of such official. Requests for amendment of records should be addressed as indicated in the appropriate system notice in "Privacy Act Issuances" published by the Office of the Federal Register. Requests for information and specific guidance on where to send these requests should be addressed to: Privacy Act Amendment Request, DO, Department of the Treasury, 1500 Pennsylvania Avenue, NW., Washington, DC 20220.

4. *Administrative appeal of initial determination refusing to amend record.* Appellate determinations under 31 CFR 1.27(e) with respect to records of the Departmental Offices, including extensions of time on appeal, will be made by the Secretary, Deputy Secretary, Under Secretary, General Counsel, or Assistant Secretary having jurisdiction over the organizational unit which has immediate custody of the records, or the delegate of such official, as limited by 5 U.S.C. 552a(d) (2) and (3). Appeals made by mail should be addressed as indicated in the letter of initial decision or to:

Privacy Act Amendment Request, DO Department of the Treasury, 1500 Pennsylvania Avenue, NW., Washington, DC 20220. Appeals may be delivered personally to the Library, Room 5030, Main Treasury Building, 1500 Pennsylvania Avenue, NW., Washington, DC.

5. *Statements of Disagreement.* "Statements of Disagreement" as described in 31 CFR 1.27(e)(4) shall be filed with the official signing the notification of refusal to amend at the address indicated in the letter of notification within 35 days of the date of notification and should be limited to one page.

6. *Service of process.* Service of process will be received by the General Counsel of the Department of the Treasury or the delegate of such official and shall be delivered to the following location:

General Counsel, Department of the Treasury, Room 3000, Main Treasury Building, 1500 Pennsylvania Avenue, NW., Washington, DC 20220.

7. *Annual notice of systems of records.* The annual notice of systems of records required to be published by the Office of the Federal Register in the publication entitled "Privacy Act Issuances", as specified in 5 U.S.C. 552a (f). Any specific requirements for access, including identification requirements, in addition to the requirements set forth in 31 CFR 1.26 and 1.27 and (8) below, and locations for access are indicated in the notice for the pertinent system.

8. *Verification of identity.* An individual seeking notification or access to records, or seeking to amend a record, must satisfy one of the following identification requirements before action will be taken by the Departmental Offices on any such request:

(i) An individual seeking notification or access to records in person, or seeking to amend a record in person, may establish identity by the presentation of a single official document bearing a photograph (such as a passport or identification badge) or by the presentation of two items of identification which do not bear a photograph but do bear both a name and signature (such as a driver's license or credit card).

(ii) An individual seeking notification or access to records by mail, or seeking to amend a record by mail, may establish identity by a signature, address, and one other identifier such as a photocopy of a driver's license or other official document bearing the individual's signature.

(iii) Notwithstanding subdivisions (i) and (ii) of this subparagraph, an individual seeking notification or access to records by mail or in person, or seeking to amend a record by mail or in person, who so desires, may establish identity by providing a notarized statement, swearing or affirming to such individual's identity and to the fact that the individual understands the penalties provided in 5 U.S.C. 552a(i)(3) for requesting or obtaining access to records under false pretenses. Notwithstanding subdivision (i), (ii), or (iii) of this subparagraph, a designated official may require additional proof of an individual's identity before action will be taken on any request, if such official determines that it is necessary to protect against unauthorized disclosure of information in a particular case. In addition, a parent of any minor or a legal guardian of any individual will be required to provide adequate proof of legal relationship before such person may act on behalf of such minor or such individual.

Appendix B—Internal Revenue Service

1. *Purpose.* The purpose of this section is to set forth the procedures that have been established by the Internal Revenue Service for individuals to exercise their rights under the Privacy Act of 1974 (88 Stat. 1896) with respect to systems of records maintained by the Internal Revenue Service, including the Office of the Chief Counsel. The procedures contained in this section are to be promulgated under the authority of 5 U.S.C. 552a(f). The procedures contained in this section relate to the following:

(a) The procedures whereby an individual can be notified in response to a request if a system of records named by the individual contains a record pertaining to such individual (5 U.S.C. 552a(f)(1)).

(b) The procedures governing reasonable times, places, and requirements for identifying an individual who requests a record of information pertaining to such individual before the Internal Revenue Service will make the record or information available to the individual (5 U.S.C. 552a (f)(2)).

(c) The procedures for the disclosure to an individual upon a request of a record of information pertaining to such individual, including special procedures for the disclosure to an individual of medical records, including psychological records. (5 U.S.C. 552a (f)(3)).

(d) The procedures for reviewing a request from an individual concerning the amendment of any record or information pertaining to the individual, for making a determination on the request, for an appeal within the Internal Revenue Service of an initial adverse agency determination, and for whatever additional means may be necessary for individuals to be able to exercise fully their right under 5 U.S.C. 552a (5 U.S.C. 552a (f)(4)).

Any individual seeking to determine whether a system of records maintained by any office of the Internal Revenue Service contains a record or information pertaining to such individual, or seeking access to, or amendment of, such a record, must comply fully with the applicable procedure contained in paragraph (3) or (4) of this section before the Internal Revenue Service will act on the request. Neither the notification and access (or accounting of disclosures) procedures under paragraph (3) of this section nor the amendment procedures under paragraph (4) of this section are applicable to (i) systems of records exempted pursuant to 5 U.S.C. 552a (j) and (k), (ii) information compiled in reasonable anticipation of a civil action or proceeding (see 5 U.S.C. 552a (d)(5)), or (iii) information pertaining to an individual which is contained in, and inseparable from, another individual's record.

2. *Access to and amendment of tax records.* The provisions of the Privacy Act of 1974 may not be used by an individual to amend or correct any tax record. The determination of liability for taxes imposed by the Internal Revenue Service Code, the collection of such taxes, and the payment (including credits or refunds of overpayments) of such taxes are governed by the provisions of the Internal Revenue Service Code and by the procedural rules of the Internal Revenue Service. These provisions set forth the established procedures governing the determination of liability for tax, the collection of such taxes, and the payment (including credits or refunds of overpayments) of such taxes. In addition, these provisions set forth the procedures (including procedures for judicial review) for resolving disputes between taxpayers and the Internal Revenue Service involving the amount of tax owed, or the payment or collection of such tax. These procedures are the exclusive means available to an individual to contest the amount of any liability for tax or the payment or collection thereof. See, for example, 26 CFR 601.103 for summary of general tax procedures. Individuals are advised that Internal Revenue Service procedures permit the examination of tax records during the course of an investigation, audit, or collection activity. Accordingly, individuals should contact the Internal Revenue Service employee conducting an audit or effecting the collection of tax liabilities to gain access to such records, rather than seeking access under the provisions of the Privacy Act. Where, on the other hand, an individual desires information or records not in connection with an investigation, audit, or collection activity, the individual may follow these procedures.

3. *Procedures for access to records*—(a) *In general.* This paragraph sets forth the procedure whereby an individual can be notified in response to a request if a system of records named by the individual which is maintained by the Internal Revenue Service contains a record pertaining to such individual. In addition, this paragraph sets forth the procedure for the disclosure to an individual upon a request of a record or information pertaining to such individual, including the procedures for verifying the identity of the individual before the Internal Revenue Service will make a record available, and the procedure for requesting an accounting of disclosures of such records. An individual seeking to determine whether a particular system of records contains a record or records pertaining to such individual and seeking access to such records (or seeking an accounting of disclosures of such records) shall make a request for notification and access (or a request for an accounting of disclosures) in accordance with the rules provided in paragraph 3(b) of this section.

(b) *Form of request for notification and access or request for an accounting of disclosures.* (i) A request for notification and access (or request for an accounting of disclosures) shall be made in writing and shall be signed by the person making the request.

(ii) Such request shall be clearly marked, "Request for notification and access," or "Request for accounting of disclosures."

(iii) Such a request shall contain a statement that it is being made under the provisions of the Privacy Act of 1974.

(iv) Such request shall contain the name and address of the individual making the request. In addition, if a particular system employs an individual's social security number as an essential means of accessing the system, the request must include the individual's social security number. In the case of a record maintained in the name of two or more individuals (e.g., husband and wife), the request shall contain the names, addresses, and social security numbers (if necessary) of both individuals.

(v) Such request shall specify the name and location of the particular system of records (as set forth in the Notice of Systems) for which the individual is seeking notification and access (or an accounting of disclosures), and the title and business address of the official designated in the access section for the particular system (as set forth in the Notice of Systems). In the case of two or more systems of records which are under the control of the same designated official at the same systems location, a single request may be made for such systems. In the case of two or more systems of records which are not in the control of the same designated official at the same systems location, a separate request must be made for each such system.

(vi) If an individual wishes to limit a request for notification and access to a particular record or records, the request should identify the particular record. In the absence of a statement to the contrary, a request for notification and access for a particular system of records shall be considered to be limited to records which are currently maintained by the designated official at the systems location specified in the request.

(vii) If such request is seeking notification and access to material maintained in a system of records which is exempt from disclosure and access under 5 U.S.C. 552a (k)(2), the individual making the request must establish that such individual has been denied a right, privilege, or benefit that such individual would otherwise be entitled to under Federal law as a result of the maintenance of such material.

(viii) Such request shall state whether the individual wishes to inspect the record in person, or desires to have a copy made and furnished without first inspecting it. If the individual desires to have a copy made, the request must include an agreement to pay the fee for duplication ultimately determined to be due. If the individual does not wish to inspect a record, but merely wishes to be notified whether a particular system or records contains a record pertaining to such individual, the request should so state.

(c) *Time and place for making a request.* A request for notification and access to records under the Privacy Act (or a request for accounting of disclosures) shall be addressed to or delivered in person to the office of the official designated in the access section for the particular system of records for which the individual is seeking notification and access (or an accounting of disclosures). The title and office address of such official is set forth for each system of records in the Notice of Systems of Records. A request delivered to an office in person must be delivered during the regular office hours of that office.

(d) Sample request for notification and access to records. The following are sample requests for notification and access to records which will satisfy the requirements of this paragraph:

Request for Notification and Access to Records by Mail

I, John Doe, of 100 Main Street, Boston, MA 02108 (soc. sec. num. 000–00–0000) request under the Privacy Act of 1974 that the following system of records be examined and that I be furnished with a copy of any record (or a specified record) contained therein pertaining to me. I agree that I will pay the fees ultimately determined to be due for duplication of such record. I have enclosed the necessary information.

System Name:
System Location:
Designated Official:

John Doe

Request for Notification and access to records in person

I, John Doe, of 100 Main Street, Boston, MA 02108 (soc. sec. num. 000–00–0000) request under the provisions of the Privacy Act of 1974, that the following system of records be examined and that I be granted access in person to inspect any record (or a specified record) contained therein pertaining to me. I have enclosed the necessary identification.

System Name:
System Location:
Designated Official:

John Doe

(e) *Processing a request for notification and access to records or a request for an accounting of disclosures.* (i) If a request for notification and access (or request for an accounting of disclosures) omits any information which is essential to processing the request, the request will not be acted upon and the individual making the request will be promptly advised of the additional information which must be submitted before the request can be processed.

(ii) Within 30 days (not including Saturdays, Sundays, and legal public holidays) after the receipt of a request for notification and access (or a request for an accounting of disclosures), to a particular system of records by the designated official for such system, a determination will be made as to whether the particular system of records is exempt from the notification and access provisions of the Privacy Act, and if such system is not exempt, whether it does or does not contain a record pertaining to the individual making the request. If a determination cannot be made within 30 days, the individual will be notified of the delay, the reasons therefor, and the approximate time required to make a determination. If it is determined by the designated official that the particular system of records is exempt from the notification and access provisions of the Privacy Act, the individual making the request will be notified of the provisions of the Privacy Act under which the exemption is claimed. On the other hand, if it is determined by the designated official that the particular system of records is not exempted from the notification and access provisions of the Privacy Act and that such system contains a record pertaining to the individual making the request, the individual will be notified of the time and place where inspection may be made. If an individual has not requested that access be granted to inspect the record in person, but merely requests that a copy of the record be furnished, or if it is determined by the designated official that the granting of access to inspect a record in person is not feasible in a particular case, then the designated official will furnish a copy of the record with the notification, or if a copy cannot be furnished at such time, a statement indicating the approximate time such copy will be furnished. If the request is for an accounting of disclosures from a system of records which is not exempt from the accounting of disclosure provisions of the Privacy Act, the individual will be furnished with an accounting of such disclosures.

(f) *Granting of access.* Normally, an individual will be granted access to inspect a record in person within 30 days (excluding Saturdays, Sundays, and legal public holidays) after the receipt for a request for notification and access by the designated official. If access cannot be granted within 30 days, the notification will state the reasons for the delay and the approximate time such access will be granted. An individual wishing to inspect a record may be accompanied by another person of his choosing. Both the individual seeking access and the individual accompanying him may be required to sign a form supplied by the IRS indicating that the Service is authorized to disclose or discuss the contents of the record in the presence of both individuals. See CFR 601.502 for requirements to be met by taxpayer's representatives in order to discuss the contents of any tax records.

(g) *Medical records.* When access is requested to medical records (including psychological records), the designated official may determine that release of such records will be made only to a physician designated by the individual to have access to such records.

(h) *Verification of identity.* An individual seeking notification or access to records, or seeking to amend a record, must satisfy one of the following identification requirements before action will be taken by the IRS on any such request:

(i) An individual seeking notification or access to records in person, or seeking to amend a record in person, may establish identity by the presentation of a single document bearing a photograph (such as a passport or identification badge) or by the presentation of two items of identification which do not bear a photograph but do bear both a name and signature (such as a driver's license or credit card).

(ii) An individual seeking notification or access to records by mail, or seeking to amend a record by mail, may establish identity by a signature, address, and one other identifier such as a photocopy of a driver's license or other document bearing the individual's signature.

(iii) Notwithstanding subdivisions (i) and (ii) of this subparagraph, an individual seeking notification or access to records by mail or in person, or seeking to amend a record by mail or in person, who so desires, may establish identity by providing a notarized statement, swearing or affirming to such individual's identity and to the fact that the individual understands the penalties provided in 5 U.S.C. 552a(i)(3) for requesting or obtaining access to records under false pretenses.

(iv) Notwithstanding subdivisions (i), (ii), or (iii) of this subparagraph, a designated official may require additional proof of an individual's identity before action will be taken on any request if such official determines that it is necessary to protect unauthorized disclosure of information in a particular case. In addition, a parent of any minor or a legal guardian of any individual will be required to provide adequate proof of legal relationship before such person may act on behalf of such minor or such individual.

(i) *Fees.* The fee for costs required of the IRS in copying records pursuant to this paragraph is $0.15 per page. However, no fee will be charged if the aggregate costs required of the IRS in copying records is less than $3.00. If an individual who has requested access to inspect a record in person is denied such access by the designated official because it would not be feasible in a particular case, copies of such record will be furnished to the individual without payment of the fees otherwise required under this subparagraph. If the IRS estimates that the total fees for costs incurred in complying with a request for copies of records will amount to $50 or more, the individual making the request may be required to enter into a contract for the payment of the actual fees with respect to the request before the Service will furnish the copies requested. Payment of fees for copies of records should be made by check or money order payable to the Internal Revenue Service.

4. *Procedures for amendment of records.* (a) In general. This paragraph sets forth the procedures for reviewing a request from an individual concerning the amendment of any record or information pertaining to such individual, for making a determination on the request, for making an appeal within the IRS of an initial adverse determination, and for judicial review of a final determination.

(b) *Amendment of record.* Under 5 U.S.C. 552a(d)(2), an individual who has been granted access to a record pertaining to such individual may, after inspecting the record, request that the record be amended to make any correction of any portion thereof which the individual believes is not accurate, relevant, timely, or complete. An individual may seek to amend a record in accordance with the rules provided in paragraph (d)(3) of this section. See paragraph (b) of this section for prohibition against amendment of tax records.

(c) *Form of request for amendment of record.* (i) A request for amendment of a record shall be in writing and shall be signed by the individual making the request.

(ii) Such request shall be clearly marked "Request for amendment of record."

(iii) Such request shall contain a statement that it is being made under the provisions of the Privacy Act of 1974.

(iv) Such request shall contain the name and address of the individual making the request. In addition, if a particular system employs an individual's social security number as an essential means of accessing the system, the request must include the individual's social security number. In the case of a record maintained in the name of two or more individuals (e.g., husband and wife), the request shall contain the names, addresses, and social security numbers (if necessary) of both individuals.

(v) Such request shall specify the name and location of the system of records (as set forth in the Notice of Systems) in which such record is maintained, and the title and business address of the official designated in the access section for such system (as set forth in the Notice of Systems).

(vi) Such request shall specify the particular record in the system which the individual is seeking to amend.

(vii) Such request shall clearly state the specific changes which the individual wishes to make in the record and a concise explanation of the reasons for the changes. If the individual wishes to correct or add any information, the request shall contain specific language making the desired correction or addition.

(d) *Time and place for making request.* A request to amend a record under the Privacy Act shall be addressed to or delivered in person to the office of the official designated in the access section for the particular system of records. The title and office address of such official is set forth for each system of records in the Notice of Systems of Records. A request delivered to an office in person must be delivered during the regular office hours of that office.

(e) *Processing a request for amendment of a record.* (i) Within 10 days (not including Saturdays, Sundays, and legal public holidays) after the receipt of a request to amend a record by the designated official, the individual will be sent a written acknowledgement that will state that the request has been received, that action is being taken thereon, and that the individual will be notified within 30 days (not including Saturdays, Sundays, and legal public holidays) after the receipt of the request whether the requested amendments will or will not be made. If a request for amendment of a record omits any information which is essential to processing the request, the request will not be acted upon and the individual making the request will be promptly advised on the additional information which must be submitted before the request can be processed.

(ii) Within 30 days (not including Saturdays, Sundays, and legal public holidays) after the receipt of a request to amend a record by the designated official, a determination will be made as to whether to grant the request in whole or part. The individual will then be notified in writing of the determination. If a determination cannot be made within 30 days, the individual will be notified in writing within such time of the reasons for the delay and the approximate time required to make a determination. If it is determined by the designated official that the request will be granted, the requested changes will be made in the record and the individual will be notified of the changes. In addition, to the extent an accounting was maintained, all prior recipients of such record will be notified of the changes. Upon request, an individual will be furnished with a copy of the record, as amended, subject to the payment of the appropriate fees. On the other hand, if it is determined by the designated official that the request, or any portion thereof, will not be granted, the individual will be notified in writing of the adverse determination. The notification of an adverse determination will set forth the reasons for refusal to amend the record. In addition, the notification will contain a statement informing the individual of such individual's right to request an independent review of the adverse determination by a reviewing officer in the national office of the IRS and the procedures for requesting such a review.

(f) *Administrative review of adverse determination.* Under 5 U.S.C. 552a (d)(3), an individual who disagrees with the refusal of the agency to amend a record may, within 35 days of being notified of the adverse determination, request an independent review of such refusal by a reviewing officer in the national office of the IRS. The reviewing officer for the IRS is the Commission of Internal Revenue, the Deputy

Commissioner, or an Assistant Commissioner. In the case of an adverse determination relating to a system of records maintained by the Office of General Counsel for the IRS, the reviewing officer is the Chief Counsel or his delegate. An individual seeking a review of an adverse determination shall make a request for review in accordance with the rules provided in paragraph (d)(7) of this section.

(g) *Form of request for review.* (i) A request for review of an adverse determination shall be in writing and shall be signed by the individual making the request.

(ii) Such request shall be clearly marked "Request for review of adverse determination".

(iii) Such request shall contain a statement that it is being made under the provisions of the Privacy Act of 1974.

(iv) Such request shall contain the name and address of the individual making the request. In addition, if a particular system employs an individual's social security number as an essential means of accessing the system, the request must include the individual's social security number. In the case of a record maintained in the name of two or more individuals (e.g. husband and wife), the request shall contain the names, addresses, and social security numbers (if necessary) of both individuals.

(v) Such request shall specify the particular record which the individual is seeking to amend, the name and location of the system of records (as set forth in the Notice of Systems) in which such record is maintained, and the title and business address of the designated official for such system (as set forth in the Notice of Systems).

(vi) Such request shall include the date of the initial request for amendment of the record, and the date of the letter notifying the individual of the initial adverse determination with respect to such request.

(vii) such request shall clearly state the specific changes which the individual wishes to make in the record and a concise explanation of the reasons for the changes. If the individual wishes to correct or add any information, the request shall contain specific language making the desired correction or addition.

(h) *Time and place for making the request.* A request for review of an adverse determination under the Privacy Act shall be addressed to or delivered in person to the Director, Office of Disclosure, Attention: OP:EX:D Internal Revenue Service, 1111 Constitution Avenue, NW, Washington, DC 20224. A request for review of an adverse determination will be promptly referred by the Director, Office of Disclosure to the appropriate reviewing officer for his review and final determination.

(i) *Processing a request for review of adverse determination.* Within 30 days (not including Saturdays, Sundays, and legal public holidays) after the receipt of a request for review of an adverse determination by the appropriate reviewing officer, the reviewing officer will review the initial adverse determination, make a final determination whether to grant the request to amend the record in whole or in part, and notify the individual in writing of the final determination. If a final determination cannot be made within 30 days, the Commissioner of Internal Revenue may extend such 30-day period. The individual will be notified in writing within the 30 day period of the cause for the delay and the approximate time required to make a final determination. If it is determined by the reviewing officer that the request to amend the record will be granted, the reviewing officer will cause the requested changes to be made and the individual will be so notified. Upon request, an individual will be furnished with a copy of the record as amended subject to the payment of appropiate fees. On the other hand, if it is determined by the reviewing officer that the request to amend the record, or any portion thereof, will not be granted, the individual will be notified in writing of the final adverse determination. The notification of a final adverse determination will set forth the reasons for the refusal of the reviewing officer to amend the record. The notification shall include a statement informing the individual of the right to submit a concise statement for insertion in the record setting forth the reasons for the disagreement with the refusal of the reviewing officer to amend the record. In addition, the notification will contain a statement informing the individual of the right to seek judicial review by a United States district court of a final adverse determination.

(j) *Statement of disagreement.* Under 5 U.S.C. 552a (d)(3), an individual who disagrees with a final adverse determination not to amend a record subject to amendment under the Privacy Act may submit a concise statement for insertion in the record setting forth the reasons for disagreement with the refusal of the reviewing officer to amend the record. A statement of disagreement should be addressed to or delivered in person to the Director, Office of Disclosure, Attention: OP:EX:D, Internal Revenue Service, 1111 Constitution Avenue, NW, Washington, DC 20224. The Director, Office of Disclosure will foward the statement of disagreement to the appropriate designated official who will cause the statement to be inserted in the individual's record. Any such statement will be available to anyone to whom the record is subsequently disclosed and the prior recipients of the record will be provided with a copy of the statement of disagreement, to the extent an accounting of disclosures was maintained.

(k) *Judicial review.* If, after a review and final determination on a request to amend a record by the appropriate reviewing officer, the individual is notified that the request will not be granted, or if, after the expiration of 30 days (not including Sundays, Saturdays, and legal public holidays) from the receipt of such request by the Director, Disclosure Operations Division, action is not taken thereon in accordance with the requirements of paragraph (d)(9) of this section, an individual may commence an action within the time prescribed by law in a U.S. District Court pursuant to 5 U.S.C. 552a (g)(1). The statute authorizes an action only against the agency. With respect to records maintained by the IRS, the agency is the Internal Revenue Service, not an officer or employee thereof. Service of process in such an action shall be in accordance with the Federal Rules of Civil Procedure (28 U.S.C. App.) applicable to actions against an agency of the United States. Where provided in such Rules, delivery of process upon the IRS must be directed to the Commissioner of Internal Revenue, Attention: CC:GLS, 1111 Constitution Avenue, NW, Washington, DC 20224. The district court will determine the matter de novo.

5. *Records transferred to Federal Records Centers.* Records transferred to the Administrator of General Services for storage in a Federal Records Center are not used by the Internal Revenue Service in making any determination about any individual while stored at such location and therefore are not subject to the provisions of 5 U.S.C. 552a (e)(5) during such time.

Appendix C—United States Customs Service

1. *In general.* This appendix applies to the United States Customs Service. It sets forth specific notification and access procedures with respect to particular systems of records, identifies the officer designated to make the initial determinations with respect to notification and access to records and accountings of disclosures of records.

This appendix also sets forth the specific procedures for requesting amendment of records and identifies the officers designated to make the initial and appellate determinations with respect to requests for amendment of records. It identifies the officers designated to grant extensions of time on appeal, the officers with whom "Statements of Disagreement may be filed, the officer designated to receive service of process and the addresses for delivery of requests, appeals, and service of process. In addition, it references the notice of systems of records and notices of the routine uses of the information in the system required by 5 U.S.C. 552a(e)(4) and (11) and published annually by the Office of the Federal Register in "Privacy Act Issuances".

2. *Requests for notification and access to records and accounting of disclosures.* (a) For records which are maintained at the United States Customs Service Headquarters, initial requests for notification and access to records and accountings of disclosures under 31 CFR 1.26, should be mailed or personally delivered to the Director, Office of Regulations & Rulings, U.S. Customs Service, 1301 Constitution Avenue NW., Washington, DC 20229. The official who has authority over the maintenance of the file will have the authority to grant or deny the request.

(b) For records maintained at Regional Offices, initial requests for notification and access to records and accountings of disclosures under 31 CFR 1.26, should be mailed or personally delivered to the Regional Commissioner of Customs in whose region the records are located. This official shall have the authority to grant the request or deny the request. The appropriate location of the regional offices is specified in Customs Appendix A in "Privacy Act Issuances" published annually by the Office of the Federal Register.

(c) Each request shall comply with the identification and other requirements set forth in 31 CFR 1.26, and in the appropriate system notice in the "Privacy Act Issuances" published annually by the Office of the Federal Register. Each request should be conspicuously labeled on the face of the envelope "Privacy Act Request".

3. *Request for amendment of records.* (a) For records which are maintained at Customs Service Headquarters, initial requests for amendment of records under 31 CFR 1.27 (a) through (d) should be mailed or personally delivered to the Director, Office of Regulations & Rulings, U.S. Customs Service, 1301 Constitution Avenue NW., Washington, DC 20229. The official who has authority over the maintenance of the file will have the authority to grant or deny the request.

(b) For records not maintained at Customs Service Headquarters, initial requests for amendment of records under 31 CFR 1.27 (a) through (d) should be mailed or personally delivered to the Regional Commissioner of Customs in whose region the records are located. This official shall have the authority to grant or deny the request. A request directed to a Regional Commissioner should be mailed to or personally delivered at the appropriate location specified in Customs Appendix A in "Privacy Act Issuances" published annually by the Office of the Federal Register.

(c) Each request shall comply with the identification and other requirements set forth in 31 CFR 1.27, and in the appropriate system notice in "Privacy Act Issuance published by the Office of the Federal Register. Each request should be conspicuously labeled on the face of the envelope "Privacy Act Amendment Request".

4. *Administrative appeal of initial determination refusing to amend records.* Appellate determinations (including extensions of time on appeal under 31 CFR 1.27 (e) with respect to all Customs Service records will be made by the Director, Office of Regulations & Rulings or the delegate of such official. All such appeals should be mailed or personally delivered to the United States Customs Service, Office of Regulations & Rulings, 1301 Constitution Avenue NW., Washington, DC 20229. Each appeal should be conspicuously labeled on the face of the envelope "Privacy Act Amendment Appeal".

5. *Statements of Disagreement.* "Statements of Disagreement" pursuant to 31 CFR 1.27 (e)(4)(i) shall be filed with the official signing the notification of refusal to amend at the address indicated in the letter of notification within 35 days of the date of such notification and should be limited to one page.

6. *Service of process.* Service of process will be received by the Chief Counsel, United States Customs Service, 1301 Constitution Avenue NW., Washington, DC 20229.

7. *Annual notice of systems of records.* The annual notice of the United States Customs Service systems of records required to be published by the Office of the Federal Register, as specified in 5 U.S.C. 552a(f), is included in the publication entitled "Privacy Act Issuances".

8. *Verification of Identity.* Each request shall comply with the identification and other requirements set forth in 31 CFR 1.26 and in the appropriate system notice published by the Office of the Federal Register. Each request should be conspicuously labeled on the face of the envelope "Privacy Act Request".

Appendix D—United States Secret Service

1. *In general.* This appendix applies to the United States Secret Service. It sets forth specific notification and access procedures with respect to particular systems of records including identification requirements, and time and places where records may be reviewed; identifies the officers designated to make the initial determinations with respect to notification and access to records and accountings of disclosures of records. This appendix also sets forth the specific procedures for requesting amendment of records and identifies the officers designated to make the initial and appellate determinations with respect to requests for amendment of records. It identifies the officers designated to grant extensions of time on appeal, the officers with whom "Statements of Disagreement may be filed, the officer designated to receive service of process and the addresses for delivery of requests, appeals, and service of process. In addition, it references the notice of systems of records and notices of the routine uses of the information in the system required by 5 U.S.C. 552a (e)(4) and (11) and published annually by the Office of the Federal Register in "Privacy Act Issuances".

2. *Requests for notification and access to records and accountings of disclosures.* Initial determinations under 31 CFR 1.26, whether to grant requests for notification and access to records and accountings of disclosures for the United States Secret Service, will be made by the Freedom of Information and Privacy Act Officer, United States Secret Service. Requests for notification should be made by mail or delivered personally between the hours of 9:00 a.m. and 5:30 of any day excluding Saturdays, Sundays, and legal holidays to: Privacy Act Request, Freedom of Information and Privacy Act Officer, United States Secret Service, Room 720, 1800 G Street NW., Washington, DC 20223.

a. *Identification Requirements.* In addition to the requirements specified in 31 CFR 1.26, each request for notification, access or amendment of records made by mail shall contain the requesting individual's date and place of birth and a duly notarized statement signed by the requester asserting his or her identity and stipulating that the requesting individual understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine of up to $5,000.

b. *Individuals making requests in person.* Individuals making requests in person will be required to exhibit acceptable identifying documents such as employee identification numbers, drivers licenses, medical cards or other documents sufficient to verify the identity of the requester.

c. *Physical Inspection of records.* Upon determining that a request for the physical inspection of records is to be granted, the requester shall be notified in writing of the determination, and when and where the requested records may be inspected. The inspection of records will be conducted at the Secret Service field office or other facility located nearest to the residence of the individual making the request. Such inspection shall be conducted during the regular business hours of the Secret Service Field Office or other facility where the disclosure is made. A person of his or her own choosing may accompany the individual making the request provided the individual furnishes a written statement authorizing the disclosure of that individual's record in the accompanying person's presence. Any disclosure of a record will be made in the presence of a representative of the United States Secret Service.

3. *Requests for amendment of records.* Initial determination under 31 CFR Part 1, whether to grant requests to amend records will be made by the Freedom of Information and Privacy Act Officer. Requests should be mailed or delivered personally between the hours of 9:00 a.m. and 5:30 p.m. to: Privacy Act Amendment Request, Freedom of Information and Privacy Acts Officer, United States Secret Service, Room 720, 1800 G Street NW., Washington, DC 20223.

4. *Administrative appeal of initial determinations refusing amendment of records.* Appellate determinations refusing amendment of records under 31 CFR 1.27 including extensions of time on appeal, with respect to records of the United States Secret Service will be made by the Assistant Secretary of the Treasury for Enforcement. Appeals made by mail should be addressed to, or delivered personally to: Privacy Act Amendment Appeal, Assistant Secretary of the Treasury for Enforcement, Department of the Treasury, 1500 Pennsylvania Avenue NW., Washington, DC 20220.

5. *Statements of Disagreement.* "Statements of Disagreements" under 31 CFR 1.27 (e)(4)(i) shall be filed with the official signing of the notification of refusal to amend at the address indicated in the letter of notification within 35 days of the date of such notification and should be limited to one page.

6. *Service of Process.* Service of process will be received by the United States Secret Service General Counsel and shall be delivered to the following location: General Counsel, United States Secret Service, Room 843, 1800 G Street NW., Washington, DC 20223.

7. *Annual notice of systems of records.* The annual notice of systems of records is published by the Office of the Federal Register, as specified in 5 U.S.C. 552a(f). The publication is entitled "Privacy Act Issuances". Any specific requirements for access, including identification requirements, in addition to the requirements set forth in 31 CFR 1.26 and 1.27 are indicated in the notice for the pertinent system.

Appendix E—Bureau of Alcohol, Tobacco and Firearms

1. *In general.* This appendix applies to the Bureau of Alcohol, Tobacco and Firearms. It sets forth specific notification and access procedures with respect to particular systems of records, identifies the officers designated to make the initial determinations with respect to notification and access to records and accountings of disclosures of records. This appendix also sets forth the specific procedures for requesting amendment of records and identifies the officers designated to make the initial and appellate determinations with respect to requests for amendment of records. It identifies the officers designated to grant extensions of time on appeal, the officers with whom "Statements of Disagreement" may be filed, the officer designated to receive service of process and the addresses for delivery of requests, appeals, and service of process. In addition, it references the notice of systems of records and notices of the routine uses of the information in the system required by 5 U.S.C. 552a(e)(4) and (11) and published annually by the Office of the Federal Register in "Privacy Act Issuances".

2. *Requests for notification and access to records and accountings of disclosures.* Initial determination under 31 CFR 1.26, whether to grant requests for notification and access to records and accountings of disclosures for the Bureau of Alcohol, Tobacco, and Firearms, will be made by the Chief, Disclosure Branch, Office of the Assistant to the Director or the delegate of such officer. Requests may be mailed or delivered in person to: Privacy Act Request, Chief, Disclosure Branch, Room 4406, Bureau of Alcohol, Tobacco and Firearms, 1200 Pennsylvania Avenue, NW., Washington, D.C. 20226.

3. *Requests for amendment of record.* Initial determinations under 31 CFR 1.27 (a) through (d) with respect to requests to amend records maintained by the Bureau of Alcohol, Tobacco and Firearms will be made by the Chief, Disclosure Branch, Office of the Assistant to the Director. Requests for amendment of records may be mailed or delivered in person to: Privacy Act Request, Chief, Disclosure Branch, Room 4406, Bureau of Alcohol, Tobacco and Firearms, 1200 Pennsylvania Avenue, NW., Washington, D.C. 20226.

4. *Verification of Identity.* (a) In addition to the requirements specified in 31 CFR 1.26(d) of this appendix, each request for notification, access or amendment of records made by mail shall contain the requesting individual's date and place of birth and a statement signed by the requester asserting his or her identity and stipulating that the requester understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is a misdemeanor and punishable by a fine of up to $5,000 provided, that the Bureau of Alcohol, Tobacco and Firearms may require a signed notarized statement verifying the identity of the requester.

(b) Individuals making requests in person will be required to exhibit at least two acceptable identifying documents such as employee identification cards, driver's license, medical cards, or other documents sufficient to verify the identity of the requester.

(c) The parent or guardian of a minor or a person judicially determined to be incompetent, shall in addition to establishing the identity of the minor or other person he represents as required in (a) and (b), establish his own parentage or guardianship by furnishing a copy of a birth certificate showing parentage (or other satisfactory documentation) or a court order establishing the guardianship.

5. *Request for physical inspection of records.* Upon determining that a request for the physical inspection of records is to be granted, the requester shall be notified in writing of the determination, and when and where the records may be inspected. The inspection of records will be made at the Bureau of Alcohol, Tobacco and Firearms Field Office or other facility

located nearest to the residence of the individual making the request. Such inspection shall be conducted during the regular business hours of the field office or other facility where the disclosure is made. A person of the requester's own choosing may accompany the requester provided the requester furnishes a written statement authorizing the disclosure of the requester's record in the accompanying person's presence. The record inspection will be made in the presence of a representative of the Bureau. Following the inspection of the record, the individual will acknowledge in writing the fact that he or she had an opportunity to inspect the requested record.

6. *Requests for copies of records without prior physical inspection.* Upon determining that an individual's request for copies of his or her records without prior physical inspection is to be granted, the requester shall be notified in writing of the determination, and the location and time for his or her receipt of the requested copies. The copies will be made available at the Bureau of Alcohol, Tobacco and Firearms field office or other facility located nearest to the residence of the individual making the request. Copies shall be received by the requester during the regular business hours of the field office or other facility where the disclosure is made. Transfer of the copies to the individual shall be conditioned upon payment of copying costs and his presentation of at least two acceptable identifying documents such as employee identification cards, driver's license, medical cards, or other documents sufficient to verify the identity of the requester. Following the receipt of the copies, the individual will acknowledge receipt in writing.

7. *Administrative appeal of initial determination refusing to amend record.* Appellate determinations under 31 CFR 1.27(e) with respect to records of the Bureau of Alcohol, Tobacco and Firearms, including extensions of time on appeal, will be made by the Director or the delegate of such officer. Appeals should be addressed to, or delivered in person to: Privacy Act Amendment Appeal, Director, Bureau of Alcohol, Tobacco and Firearms, Room 4406, 1200 Pennsylvania Avenue, NW., Washington, D.C. 20226.

8. *Statements of disagreement.* "Statements of Disagreement" as described in 31 CFR 1.27(e) (4) shall be filed with the official signing the notification within 35 days of the date of such notification and should be limited to one page.

9. *Service of process.* Service of process will be received by the Director of the Bureau of Alcohol, Tobacco and Firearms or the delegate of such official and shall be delivered to the following location: Director, Bureau of Alcohol, Tobacco and Firearms, 1200 Pennsylvania Avenue, NW., Washington, D.C. 20226, Attention: Chief Counsel.

10. *Annual notice of systems of records.* The annual notice of systems of records is published by the Office of the Federal Register, as specified in 5 U.S.C. 552a(f). The publication is entitled "Privacy Act Issuances". Any specific requirements for access, including identification requirements, in addition to the requirements set forth in 31 CFR 1.26 and 1.27 are indicated in the notice for each pertinent system.

Appendix F—Bureau of Engraving and Printing

1. *In general.* This appendix applies to the Bureau of Engraving and Printing. It sets forth specific notification and access procedures with respect to particular systems of records including identification requirements, identifies the officers designated to make the initial determinations with respect to notification and access to records and accountings of disclosures of records. This appendix also sets forth the specific procedures for requesting amendment of records and identifies the officers designated to make the initial and appellate determinations with respect to requests for amendment of records. It identifies the officers designated to grant extensions of time on appeal, the officers with whom "Statements of Disagreement may be filed, the officer designated to receive service of process and the addresses for delivery of requests, appeals, and service of process. In addition, it references the notice of systems of records and notices of the routine uses of the information in the system required by 5 U.S.C. 552a (e)(4) and (11) and published annually by the Office of the Federal Register in "Privacy Act Issuances."

2. *Requests for notification and access to records and accountings of disclosures.* Initial determinations under 31 CFR 1.26, whether to grant requests for notification and access to records and accountings of disclosures for the Bureau of Engraving and Printing, will be made by the head of the organizational unit having immediate custody of the records requested, or the delegate of such official. Requests for access to records contained within a particular system of records should be submitted to the address indicated for that system in the access section of the notices published by the Office of the Federal Register in "Privacy Act Issuances." Requests for information and specific guidance should be addressed to: Privacy Act Request, Disclosure Officer (Executive Assistant to the Director), Room 104—18M, Bureau of Engraving and Printing, Washington, DC 20228.

3. *Requests for amendment of records.* Initial determination under 31 CFR 1.27 (a) through (d), whether to grant request to amend records will be made by the head of the organizational unit having immediate custody of the records or the delegate of such official. Requests for amendment should be addressed as indicated in the appropriate system notice in "Privacy Act Issuances" published by the Office of the Federal Register. Requests for information and specific guidance on where to send requests for amendment should be addressed to: Privacy Act Amendment Request, Disclosure Officer (Executive Assistant to the Director), Bureau of Engraving and Printing, Room 104–18M, Washington, DC 20228.

4. *Administrative appeal of initial determinations refusing amendment of records.* Appellate determinations refusing amendment of records under 31 CFR 1.27(e) including extensions of time on appeal, with respect to records of the Bureau of Engraving and Printing will be made by the Director of the Bureau or the delegate of such officer. Appeals made by mail should be addressed to, or delivered personally to: Privacy Act Amendment Appeal, Disclosure Officer (Executive Assistant to the Director), Room 104–18M, Bureau of Engraving and Printing, Washington, DC 20228.

5. *Statements of Disagreement.* "Statements of Disagreement" under 31 CFR 1.27(e)(4)(8) shall be filed with the official signing the notification of refusal to amend at the address indicated in the letter of notification within 35 days of the date of such notification and should be limited to one page.

6. *Service of Process.* Service of process will be received by the Chief Counsel of the Bureau of Engraving and Printing and shall be delivered to the following location: Chief Counsel, Bureau of Engraving and Printing, Room 109–M, 14th and C Streets, SW., Washington, DC 20228.

7. *Verification of identity.* An individual seeking notification or access to records, or seeking to amend a record, or seeking an accounting of disclosures, must satisfy one of the following identification requirements before action will be taken by the Bureau of Engraving and Printing on any such request:

(i) An individual appearing in person may establish identity by the presentation of a single document bearing a photograph (such as a passport or identification badge) or by the presentation of two items of identification which do not bear a photograph, but do bear both a name and signature (such as a credit card).

(ii) An individual may establish identity through the mail by a signature, address, and one other identifier such as a photocopy of a driver's license or other document bearing the individual's signature.

(iii) Notwithstanding subdivisions (i) and (ii) of this subparagraph, an individual who so desires, may establish identity by providing a notarized statement, swearing or affirming to such individual's identity and to the fact that the individual understands the penalties provided in 5 U.S.C. 552a(1)(3) for requesting or obtaining access to records under false pretenses.

Notwithstanding subdivision (i), (ii), or (iii) of this subparagraph, the Executive Assistant or other designated official may require additional proof of an individual's identity before action will be taken on any request if such official determines that it is necessary to protect against unauthorized disclosure of information in a particular case. In addition, a parent of any minor or a legal guardian of any individual will be required to provide adequate proof of legal relationship before such person may act on behalf of such minor or such individual.

8. *Annual notice of systems of records.* The annual notice of systems of records is published by the Office of the Federal Register, as specified in 5 U.S.C. 522a(f). The publication is entitled "Privacy Act Issuances". Any specific requirements for access, including identification requirements, in addition to the requirements set forth in 31 CFR 1.26 and 1.27 are indicated in the notice for the pertinent system.

Appendix G—Financial Management Service

1. *In general.* This appendix applies to the Financial Management Service. It sets forth specific notification and access procedures with respect to particular systems of records, identifies the officers designated to make the initial determinations with respect to notification and access to records and accountings of disclosures of records. This appendix also sets forth the specific procedures for requesting amendment of records and identifies the officers designated to make the initial and appellate determinations with respect to requests for amendment of records. It identifies the officers designated to grant extensions of time on appeal, the officers with whom "Statements of Disagreement" may be filed, the officer designated to receive service of process and the addresses for delivery of requests, appeals, and service of process. In addition, it references the notice of systems of records and notices of the routine uses of the information in the system required by 5 U.S.C. 552a(e) (4) and (11) and published annually by the Office of the Federal Register in "Privacy Act Issuances".

2. *Requests for notification and access to records and accountings of disclosures.* Initial determinations under 31 CFR 1.26, whether to grant requests for notification and access to records and accountings of disclosures for the Financial Management Service, will be made by the head of the organizational unit having immediate custody of the records requested or an official designated by this official. This is indicated in the appropriate system notice in "Privacy Act Issuances" published annually by the Office of the Federal Register. Requests for information and specific guidance on where to send requests for records may be mailed or delivered personally to: Privacy Act Request, Disclosure Officer, Financial Management Service, Room 108, Treasury Department Annex No. 1, Pennsylvania Avenue and Madison Place, NW., Washington, DC 20226.

3. *Requests for amendment of records.* Initial determination under 31 CFR 1.27(a) through (d), whether to grant requests to amend records will be made by the head of the organzational unit having immediate custody of the records or the delegate of such official. Requests for amendment should be addressed as indicated in the appropriate system notice in "Privacy Act Issuances" published by the Office of the Federal Register. Requests for information and specific guidance on where to send requests for amendment should be addressed to: Privacy Act Amendment Request, Disclosure Officer, Financial Management Service, Department of the Treasury, Treasury Annex No. 1, Washington, DC 20226.

4. *Administrative appeal of initial determinations refusing amendment of records.* Appellate determinations refusing amendment of records under 31 CFR 1.27(e) incuding extensions of time on appeal, with respect to records of the Financial Management Service will be made by the Commissioner or the delegate of such official. Appeals made by mail should be addressed to, or delivered personally to: Privacy Act Amendment Appeal Commissioner, Financial Management Service (Privacy), Department of the Treasury, Room 618, Treasury Annex No. 1, Pennsylvania Avenue and Madison Place, NW., Washington, DC 20226.

5. *Statements of Disagreement.* "Statements of Disagreement" under 31 CFR 1.27(e)(4)(i) shall be filed with the official signing the notification of refusal to amend at the address indicated in the letter of notification within 35 days of the date of such notification and should be limited to one page.

6. *Service of Process.* Service of process will be received by the Commissioner, Financial Management Service or the delegate of such official and shall be delivered to the following location: Commissioner, Financial Management Service (Privacy), Department of the Treasury, Room 618, Treasury Annex No. 1, Pennsylvania Avenue and Madison Place, NW, Washington, D.C. 20226.

7. *Annual notice of systems of records.* The annual notice of systems of records is published by the Office of the Federal Register, as specified in 5 U.S.C. 552a(f). The publication is entitled "Privacy Act Issuances". Any specific requirements for access, including identification requirements, in addition to the requirements set forth in 31 CFR 1.26 and 1.27 are indicated in the notice for the pertinent system.

Appendix H—United States Mint

1. *In general.* This appendix applies to the United States Mint. It sets forth specific notification and access procedures with respect to particluar systems of records, identifies the officers designated to make the initial determinations with respect to notification and access to records and accountings of disclosures of records. This appendix also sets forth the specific procedures for requesting amendment of records and identifies the officers designated to make the initial and appellate determinations with respect to requests for amendment of records. It identifies the officers designated to grant extensions of time on appeal, the officers with whom "Statements of Disagreement" may be filed, the officer designated to receive service of process and the addresses for delivery of requests, appeals, and service of process. In addition, it references the notice of systems of records and notices of the routine uses of the information in the system required by 5 U.S.C. 552a(e) (4) and (11) and published annually by the Office of the Federal Register in "Privacy Act Issuances".

2. *Requests for notification and access to records and accountings of disclosures.* Initial determinations under

31 CFR 1.26, whether to grant requests for notification and access to records and accountings of disclosures for the United States Mint will be made by the head of the organizational unit having immediate custody of the records requested or an official designated by this official. This is indicated in the appropriate system notice in "Privacy Act Issuances" published annually by the Office of the Federal Register. Requests should be directed to the Superintendent or Officer in charge of the facility in which the records are located or to the Chief, Administrative Programs Division. Requests for information and specific guidance on where to send requests for records may be mailed or delivered personally to: Privacy Act Request, Chief, Administrative Programs Division, United States Mint, Judiciary Square Building, 633 3rd Street, NW, Washington, D.C. 20220.

3. *Requests for amendment of records.* Initial determination under 31 CFR 1.27 (a) through (d), whether to grant requests to amend records will be made by the head of the Mint installation having immediate custody of the records or the delegated official. Requests should be mailed or delivered personally to: Privacy Act Amendment Request, Freedom of Information and Privacy Acts Officer, United States Mint, Judiciary Square Building, 633 3rd Street, NW, Washington, D.C. 20220.

4. *Administrative appeal of initial determinations refusing amendment of records.* Appellate determinations refusing amendment of records under 31 CFR 1.27 including extensions of time on appeal, with respect to records of the United States Mint will be made by the Director of the Mint or the delegate of the Director. Appeals made by mail should be addressed to, or delivered personally to: Privacy Act Amendment Appeal, United States Mint, Judiciary Square Building, 633 3rd Street, NW, Washington, D.C. 20220.

5. *Statements of Disagreement.* "Statements of Disagreement" under 31 CFR 1.27 (e)(4)(i) shall be filed with the official signing the notification of refusal to amend at the address indicated in the letter of notification within 35 days of the date of such notification and should be limited to one page.

6. *Service of Process.* Service of process will be received by the Director of the Mint and shall be delivered to the following location: Director of the Mint, Judiciary Square Building, 633 3rd street, NW., Washington, D.C. 20220.

7. *Annual notice of systems of records.* The annual notice of systems of records is published by the Office of the Federal Register, as specified in 5 U.S.C. 552a(f). The publication is entitled "Privacy Act Issuances". Any specific requirements for access, including identification requirements, in addition to the requirements set forth in 31 CFR 1.26 and 1.27 are indicated in the notice for the pertinent system.

Appendix I—Bureau of the Public Debt

1. *In general.* This appendix applies to the Bureau of the Public Debt. It sets forth specific notification and access procedures with respect to particular systems of records, identifies the officers designated to make the initial determinations with respect to notification and access to records and accountings of disclosures of records. This appendix also sets forth the specific procedures for requesting amendment of records and identifies the officers designated to make the initial and appellate determinations with respect to requests for amendment of records. It identifies the officer designated to grant extension of time on appeal, the officers with whom "Statements of Disagreement" may be filed, the officer designated to receive service of process and the addresses for delivery of requests, appeals, and service of process. In addition, it references the notice of systems of records and notices of the routine uses of the information in the system required by 5 U.S.C. 552a(e) (4) and (11) and published annually by the Office of the Federal Register in "Privacy Act Issuances".

2. *Requests for notification and access to records and accountings of disclosures.* Initial determinations under 31 CFR 1.26, whether to grant requests for notification and access to records and accountings of disclosures for the Bureau of Public Debt, will be made by the head of the organizational unit having immediate custody of the records requested or an official designated by this official. This is indicated in the appropriate system notice in "Privacy Act Issuances" published annually by the Office of the Federal Register. Requests for information and specific guidance on where to send requests for records may be mailed or delivered personnaly to: Privacy Act Request, Information Officer, Bureau of the Public Debt, Department of the Treasury, 999 E Street NW. Room 553, Washington, DC 20239.

3. *Requests for amendment of records.* Initial determination under 31 CFR 1.27(a) through (d), whether to grant requests to amend records will be made by the head of the organizational unit having immediate custody of the records or the delegate of such official. Requests for amendment should be addressed as indicated in the appropriate system notice in "Privacy Act Issuances" published by the Office of the Federal Register. Requests for information and specific guidance on where to send requests for amendment should be addressed to: Privacy Act Amendment Request, Information Officer, Bureau of the Public Debt, Department of the Treasury, 999 E Street NW., Room 553, Washington, DC 20239.

4. *Administrative appeal of initial determinations refusing amendment of records.* Appellate determinations refusing amendment of records under 31 CFR 1.27(e) including extensions of time on appeal, with respect to records of the Bureau of the Public Debt will be made by the Commissioner of the Public Debt or the delegate of such officer. Appeals made by mail should be addressed to, or delivered personally to: Privacy Act Amendment Appeal, Chief Counsel, Bureau of the Public Debt, Department of the Treasury, 999 E Street NW., Room 503, Washington, DC 20239.

5. *Statements of Disagreement.* "Statements of Disagreement" under 31 CFR 1.27 (e)(4)(i) shall be filed with the official signing the notification of refusal to amend at the address indicated in the letter of notification within 35 days of the date of such notification and should be limited to one page.

6. *Service of Process.* Service of process will be received by the Chief Counsel of the Bureau of the Public Debt and shall be delivered to the following location: Chief Counsel, Bureau of the Public Debt, Department of the Treasury, 999 E Street, NW., Room 503, Washington, DC 20239.

7. *Annual notice of systems of records.* The annual notice of systems of records is published by the Office of the Federal Register, as specified in 5 U.S.C. 552a(f). The publication is entitled "Privacy Act Issuances". Any specific requirements for access, including identification requirements, in addition to the requirements set forth in 31 CFR 1.26 and 1.27 are indicated in the notice for the pertinent system.

Appendix J—Office of the Comptroller of the Currency

1. *In general.* This appendix applies to the Office of the Comptroller of the Currency. It sets forth specific notification and access procedures with respect to particular systems of records, identifies the officers designated to make the initial determinations with respect to notification and access to records and accountings of disclosures of records. This appendix also sets forth the specific procedures for requesting amendment of records and identifies the

officers designated to make the intial and appellate determinations with respect to requests for amendment of records. It identifies the officers designated to grant extensions of time on appeal, the officers with whom "Statements of Disagreement" may be filed, the officer designated to receive service of process and the addresses for delivery of requests, appeals, and service of process. In addition, it references the notice of systems of records and notices of the routine uses of the information in the system required by 5 U.S.C. 552a(e) (4) and (11) and published annually by the Office of the Federal Register in "Privacy Act Issuances".

2. *Requests for notification and access to records and accountings of disclosures.* Initial determinations under 31 CFR 1.26, whether to grant requests for notification and access to records and accountings of disclosures for the Office of the Comptroller of the Currency, will be made by the head of the organizational unit having immediate custody of the records requested or an official designated by this official. This is indicated in the appropriate system notice in "Privacy Act Issuances" published annually by the Office of the Federal Register. Requests for information and specific guidance on where to send requests for records may be mailed or delivered personally to: Privacy Act Request, Communications Division, Comptroller of the Currency, 5th Floor, 490 L'Enfant Plaza East, SW., Washington, DC 20219.

3. *Requests for amendment of records.* Initial determination under 31 CFR 1.27(a) through (d), whether to grant requests to amend records will be made by the head of the organizational unit having immediate custory of the records or the delegate of such official. Requests for amendment should be addressed to: Privacy Act Amendment Request, Communications Division, 5th Floor, Comptroller of the Currency, 490 L'Enfant Plaza East, SW., Washington, DC 20219.

4. *Administrative appeal of initial determinations refusing amendment of records.* Appellate determinations refusing amendment of records under 31 CFR 1.27(e) including extensions of time on appeal, with respect to records of the Office of the Comptroller of the Currency will be made by the Comptroller of the Currency or Chief Counsel or the delegate of such officer. Appeals made by mail should be addressed to, or delivered personally to: Privacy Act Amendment Appeal, Communications Division, 5th Floor, Comptroller of the Currency, 490 L'Enfant Plaza East, SW., Washington, D.C. 20219.

5. *Statements of Disagreement.* "Statements of Disagreement" under 31 CFR 1.27(e)(4)(i) shall be filed with the Director, Communications Division at the address indicated in the letter of notification within 35 days of the date of such notification and should be limited to one page.

6. *Service of Process.* Service of process will be received by the Office of the Chief Counsel of the Comptroller of the Currency or the delegate of such official and shall be delivered to the following location: Office of Chief Counsel, Comptroller of the Currency, Fifth Floor, 490 L'Enfant Plaza East, SW., Washington, D.C. 20219.

7. *Annual notice of systems of records.* The annual notice of systems of records is published by the Office of the Federal Register, as specified in 5 U.S.C. 552a(f). The publication is entitled "Privacy Act Issuances". Any specific requirements for access, including identification requirements, in addition to the requirements set forth in 31 CFR 1.26 and 1.27 are indicated in the notice for the pertinent system.

Appendix K—U.S. Savings Bonds Division

1. *In general.* This appendix applies to the U.S. Savings Bonds Division. It sets forth specific notification and access procedures with respect to particular systems of records, identifies the officers designated to make the initial determinations with respect to notification and access to records and accountings of disclosures of records. This appendix also sets forth the specific procedures for requesting amendment of records and identifies the officers designated to make the initial and appellate determinations with respect to requests for amendment of records. It identifies the officers designated to grant extensions of time on appeal, the officers with whom "Statements of Disagreement" may be filed, the officer designated to receive service of process and the addresses for delivery of requests, appeals, and service of process. In addition, it references the notice of systems of records and notices of the routine uses of the information in the system required by 5 U.S.C. 552a(e) (4) and (11) and published annually by the Office of the Federal Register in "Privacy Act Issuances."

2. *Requests for notification and access to records and accountings of disclosures.* Initial determinations under 31 CFR 1.26, whether to grant requests for notification and access to records and accountings of disclosures for the Financial Management Service, will be made by the head of the organizational unit having immediate custody of the records requested or an official designated by this official. This is indicated in the appropriate system notice in "Privacy Act Issuances" published annually by the Office of the Federal Register. Requests for information and specific guidance on where to send requests for records may be mailed or delivered personally to: Privacy Act Request, U.S. Savings Bonds Division, Department of the Treasury, 1111 20th Street, NW., Washington, DC 20226.

3. *Requests for amendment of records.* Initial determination under 31 CFR 1.27 (a) through (d), whether to grant requests to amend records will be made by the head of the organizational unit having immediate custody of the records or the delegate of such official. Requests for amendment should be addressed as indicated in the appropriate system notice in "Privacy Act Issuances" published by the Office of the Federal Register. Requests for information and specific guidance on where to send requests for amendment should be addressed to: Privacy Act Amendment Request, Privacy Act Contact, U.S. Savings Bonds Division, Department of the Treasury, 1111 20th Street, NW., Washington, DC 20226.

4. *Administrative appeal of initial determinations refusing amendment of records.* Appellate determinations refusing amendment of records under 31 CFR 1.27(e) including extensions of time on appeal, with respect to records of the U.S. Savings Bonds Division will be made by the National Director, U.S. Savings Bonds Division or the delegate of such officer. Appeals made by mail should be addressed to, or delivered personally to: Privacy Act Amendment Appeal, National Director, U.S. Savings Bonds Division, Department of the Treasury, 1111 20th Street, NW., Washington, DC 20226.

5. *Statements of Disagreement.* "Statements of Disagreement" under 31 CFR 1.27 (e)(4)(i) shall be filed with the official signing the notification of refusal to amend at the address indicated in the letter of notification within 35 days of the date of such notification and should be limited to one page.

6. *Service of Process.* Service of process will be received by the General Counsel of the Department of the Treasury or the delegate of such official and shall be delivered to the following location: General Counsel, Room 3000–MT, Department of the Treasury, 1500 Pennsylvania Avenue, NW., Washington, D.C. 20220.

7. *Annual notice of systems of records.* The annual notice of systems of records is published by the Office of the Federal Register, as specified in 5 U.S.C. 552a(f). The publication is entitled "Privacy Act Issuances". Any specific requirements for access, including identification requirements, in addition to the requirements set forth in 31 CFR 1.26 and 1.27 are indicated in the notice for the pertinent system.

Appendix L—Federal Law Enforcement Training Center

1. *In general.* This appendix applies to the Federal Law Enforcement Training Center. It sets forth specific notification and access procedures with respect to particular systems of records, identifies the officers designated to make the initial determinations with respect to notification and access to records and accountings of disclosure of records. This appendix also sets forth the specific procedures for requesting amendment of records and identifies the officers designated to make the initial and appellate determinations with respect to requests for amendment of records. It identifies the officers designated to grant extensions of time on appeal, the officers with whom "Statements of Disagreement" may be filed, the officer designated to receive service of process and the addresses for delivery of requests, appeals, and service of process. In addition, it references the notice of systems of records and notices of the routine uses of the information in the system required by 5 U.S.C. 552a(e) (4) and (11) and published annually by the Office of the Federal Register, in "Privacy Act Issuances".

2. *Requests for notification and access to records and accounting of disclosures.* Initial determinations under 31 CFR 1.26, whether to grant requests for notification and acesss to records and accounting of disclosures for the Federal Law Enforcement Training Center, will be made by the head of the organizational unit having immediate custody of the records requested or an official designated by this official. This is indicated in the appropriate system notice in "Privacy Act Issuances" published annually by the Office of the Federal Register. Requests for information and specific guidance on where to send requests for records may be mailed or delivered personally to: Privacy Act Request, Library Building 262, Federal Law Enforcement Training Center, Glynco, Georgia 31524.

3. *Requests for amendment of records.* Initial determinations under 31 CFR 1.27 (a) through (d), whether to grant requests to amend records will be made by the head of the organizational unit having immediate custody of the records or the delegate of such official. Requests for amendment should be addressed as indicated in the appropriate system notice in "Privacy Act Issuances" published by the Office of the Federal Register. Requests for information and specific guidance on where to send requests for amendment should be addressed to: Privacy Act Amendment Request, Federal Law Enforcement Training Center, Glynco, Georgia 31524.

4. *Administrative appeal of initial determinations refusing amendment of records.* Appellate determinations refusing amendment of records under 31 CFR 1.27(e) including extensions of time on appeal, with respect to records of the Federal Law Enforcement Training Center will be made by the Assistant Secretary (Enforcement), Department of the Treasury or the delegate of such officer. Appeals made by mail should be addressed to, or delivered personally to: Privacy Act Amendment Appeal, FLETC, Assistant Secretary (Enforcement), Department of the Treasury, 1500 Pennsylvania Avenue, NW., Room 4312, Washington, DC 20220.

5. *Statements of Disagreement.* "Statements of Disagreement" under 31 CFR 1.27(e)(4)(i) shall be filed with the official signing the notification of refusal to amend at the address indicated in the letter of notification within 35 days of the date of such notification and should be limited to one page.

6. *Service of Process.* Service of process will be received by the General Counsel of the Department of the Treasury or the delegate of such official and shall be delivered to the following location: General Counsel, Department of the Treasury, Room 3000, Main Treasury Building, 1500 Pennsylvania Avenue, NW., Washington, DC 20220.

7. *Annual notice of systems of records.* The annual notice of systems of records is published by the Office of the Federal Register, as specified in 5 U.S.C. 552a(f). The publication is entitled "Privacy Act Issuances". Any specific requirements for access, including identification requirements, in addition to the requirements set forth in 31 CFR 1.26 and 1.27 are indicated in the notice for the pertinent system.

VETERANS AFFAIRS DEPARTMENT

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01VA022

System name:

Current and Former Accredited Representative, Claims Agent, and Representative and Claims Agent Applicant and Rejected Applicant Records—VA.

System location:

Records are maintained in the Office of General Counsel (022), Department of Veterans Affairs Central Office, Washington, D.C. 20420

Categories of individuals covered by the system:

The following categories of individuals will be covered by the system: (1) Members or employees, or former members or employees of recognized service organizations accredited or previously accredited by VA to represent claimants for benefits; (2) claims agents (not attorneys) independent of a service organization and accredited or previously accredited by VA to represent claimants for benefits; and (3) individuals whose names have been submitted to VA by service organizations for accreditation or who have applied to VA to become claims agents.

Categories of records in the system:

Records (or information contained in records) in this system may include: (1) Name and other identifying information; (2) address; (3) service organization affiliations; (4) claims agent examination and grade; (5) correspondence concerning prospective, present, or former claims agents or accredited representatives including claims agent recommendations and evaluations from third parties; (6) VA Form 2-21 (Application for Accreditation as Service Organization Representative); (7) Application for Accreditation as Agent forms; (8) investigative reports and/or correspondence concerning the fitness of prospective, present, or former claims agent or accredited representative; and (9) correspondence relating to or including the denial, suspension, or termination of accreditation of representatives or claims agents.

Authority for maintenance of the system:

Title 38, United States Code 210(c), 3402 and 3404.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

1. The record of an individual who is covered by this system may be disclosed to a member of Congress or staff person acting for the member when the member or staff person requests the record on behalf of and at the request of that individual.

2. Any information in this system, except for the name and address of a veteran, which is relevant to a suspected violation or reasonably imminent violation of law, whether civil criminal or regulatory in nature and whether arising by general or program statute or by regulation, rule or order issued pursuant thereto, may be disclosed to a Federal, State, local or foreign agency charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, rule, regulation or order issued pursuant thereto.

3. The name and address of a veteran which is relevant to a suspected violation or reasonably imminent violation of law, whether civil, criminal or regulatory in nature and whether arising by general or program statute or by regulation, rule or order issued pursuant thereto, may be disclosed to a Federal agency charged with the responsibility of investigating or prosecuting such violation, or charged with enforcing or implementing the statute, regulation or order issued pursuant thereto, in response to its official request.

4. The name and address of a veteran, which is relevant to a suspected violation or reasonably imminent violation of law concerning public health or safety, whether civil, criminal or regulatory in nature whether arising by general or program statute or by regulation, rule or order issued pursuant thereto, may be disclosed to any foreign, State or local governmental agency or instrumentality

charged under applicable law with the protection of the public health or safety if a qualified representative of such organization, agency or instrumentality has made a written request that such name and address be provided for a purpose authorized by law.

5. The name, business address and service organization affiliation(s) of accredited representatives and claims agents may be disclosed to requesting service organizations, claimants for benefits and the general public in order to aid the requestor in verifying the identity and service organization affiliation of the accredited representative.

6. Listings containing the names, business addresses, and status of accreditation of present and former accredited representatives may be provided to recognized service organizations.

7. The name and address of a prospective, present, or former accredited representative, and any information concerning such accredited representative which is relevant to a refusal to grant accreditation, or a potential or past suspension or termination of accreditation of such representative, may be disclosed to the service organization(s) with whom the representative is affiliated.

8. The name and address of a prospective, present, or former accredited representative, and any information which is relevant to a suspected violation or reasonably imminent violation of law, whether civil, criminal, or regulatory in nature and whether arising by general or program statute or by regulation, rule, or order issued pursuant thereto, may be disclosed to a Federal agency charged with the responsibility of investigating or prosecuting such violation, or charged with enforcing or implementing the statute, regulation, or order issued pursuant thereto.

9. Any information in this system may be disclosed to the Department of Justice (DoJ), including U.S. Attorneys, upon its official request, or by VA upon its own initiative, in order for the U. S. Government, VA, or any VA official acting in his/her official capacity to respond to pleadings, interrogatories, orders or inquiries from the DoJ, and to supply the DoJ with information, to enable the DoJ to represent the U.S. Government in any phrase of litigation or in any case or controversy.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Active records are maintained in individual folders stored in file cabinets. File cards with name and business addresses of individuals covered by this system are maintained in file cabinets. Listings of accredited representatives and claim agents are maintained both on magnetic disk andin hard copy in file cabinets.

Retrievability:

Records and file cards are maintained in alphabetical order by last name of the individuals covered by this system.

Safeguards:

1. Access to and use of these records are limited to those persons whose official duties require such access. Personnel screening is employed to prevent unauthorized disclosure.

2. Access to Automated Data Processing files is controlled at two levels: (1) Terminals, central processing units, and peripheral devices are generally placed in secure areas (areas that are locked or have limited access) or are otherwise protected; and (2) the system recognizes authorized users by means of an individually unique password entered in combination with an individually unique user identification code.

3. Access to VA Central Office is controlled during all hours by the Federal Protective Service and other security personnel.

Retention and disposal:

Records are maintained as long as the individual is an active accredited representative or claims agent. Once the representative or agent becomes inactive, the inactive records are maintained by the Veterans Affairs Central Office, Records Management Section for 3 years and then destroyed. Rejected applications, investigative material, and related correspondence are permanently maintained in the Office of General Counsel for 10 years and then destroyed.

System manager(s) and address:

Assistant General Counsel(022),VA Central Office, Washington, D.C. 20420.

Notification procedure:

An individual who wishes to determine whether a record is being maintained by the Assistant General Counsel under his or her name or other personal identifier, or wants to determine the contents of such records should submit a written request or apply in person to the Assistant General Counsel (022).

Record access procedures:

An individual who seeks access to or wishes to contest records maintained under his or her name in this system may write or call or visit the Assistant General Counsel (022).

Contesting record procedures:

(See Records Access Procedures above.)

Record source categories:

Applications for accreditation of individuals, investigative malterial, and recommendations and correspondence from service organizations and third parties.

02VA135

System name: Applicants for Employment under Title 38, USC-VA.

System location: VA health care facilities to which the applicant applied (address locations are listed in VA Appendix at the end of this document), except that, for physician, dentist, pharmacist, licensed physical therapist, and occupational therapist applicants, records may also be retained by the VA Delegated Examining Unit, 1201 Broad Rock Road, Richmond, Virginia 23224-0269. For Canteen Management Training Program applicants, records will be retained only at the Veterans Canteen Service (133A1), Department of Veterans Affairs, 810 Vermont Avenue, NW, Washington, SC 20420. Records resulting from drug testing may be retained by the VA (e.g., by the VA Medical Review Official) and/or bya contractor laboratory.

Categories of individuals covered by the system: Applicants for appointments under authority of 38 U.S.C. Chapter 73 are covered by this system. This includes candidates such as physicians, dentists, podiatrists, optometrists, nurses, nurse anesthetists, physician assistants, expanded-function dental auxiliaries, pharmacists, certified respiratory therapy technicians, registered respiratory therapists, licensed physical therapists, occupational therapists, and licensed practical or vocational nurses. Applicants for appointment under 38 U.S.C. Chapter 75 in the Veterans Canteen Service are also covered.

Categories of records in the system: Records maintained in this system include: (1) Records of persons who have applied for Federal employment relating to their education and training; licensure, registration or certification by State licensing boards and/or national certifying bodies, including any finding of facts, evidence and any other related documents, relating to a disciplinary action; prior and/or current clinical privileges; employment history, appraisals of past performance; medical records; convictions of offenses against the law; appraisals of potential; honors, awards or fellowships; military service; veteran preference; birthplace; birth date; social security number; and home address. (2) Records resulting from the testing of the applicant for use of illegal drugs under Executive Order 12564. Such records may be retained by the VA (e.g., by the VA Medical Review Official) or by a contractor laboratory. This includes records of negative results, confirmed or unconfirmed positive test results, and lists of who have been tested, who failed to report for testing, and related documents.

Authority for maintenance of the system: Executive Order 12564; Urgent Relief for the Homeless Supplemental Appropriations Act of 1987; Pub. L. No. 100-71, Section 503, 101 Stat. 468 (1987); and Title 38, United States Code, Chapter 3, Section 210(c)(1); Chapter 73, Section 4108 and Chapter 75, Section 4202.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Except for Routine Use 8, no other Routine Use for this system of records applies to records included in Item (2) in the Categories of Records in the System section of this notice. Drug test results may not be releasedunder any other routine use.

1. In the event that a system of records maintained by this agency to carry out its function indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency. whether Federal, State, local or foreign, charged with the responsibility of investigation or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto.

2. A record from this system of records may be disclosed as a "routine use. to a Federal, State, or local agency maintaining civil, criminal or other relevant information, such as current licenses, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant or other benefit.

3. A record from this system of records may be disclosed to a Federal, local or State agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter.

4. To provide statistical and other information in response to other legitimate and reasonable requests as approved by appropriate VA authorities, such as the release of information under the Freedom of Information Act.

5. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

6. Disclosure may be made to NARA (National Archives and Records Administration) and General Services Administration (GSA) in records management inspections conducted under authority of 44 U.S.C. 2904 and 2906.

7. Records from this system of records may be disclosed to a Federal Agency or to a State or local government licensing board and/or to a Federation of State Medical Boards or a similar nongovernment entity which maintains records concerning individuals' employment histories or concerning the issuance, retention or revocation of licenses, certifications, or registrations necessary to practice an occupation, profession or specialty, in order for the Agency to obtain information relevant to an Agency decision concerning the hiring, retention or termination of an employee or to inform a Federal Agency or licensing boards or the appropriate nongovernment entities about the health care practices of a terminated, resigned or retired health care employee whose professional health care activity so significantly failed to conform to generally accepted standards of professional medical practice as to raise reasonable concern for the health and safety of patients in the private sector or from another Federal Agency. These records may also be disclosed as part of an ongoing computer matching program to accomplish these purposes.

8. To disclose the results of a drug test of a Title 38 applicant pursuant to an order of a court of competent jurisdiction where required by the United States Government to defend against any challenge against any adverse personnel action.

9. To disclose relevant information to the Department of Justice and United States Attorneys in defense or prosecution of litigation involving the United States, and to Federal agencies upon their request in connection with review of administrative tort claims filed under the Federal Tort Claims Act, 28 U.S.C. 2672.

10. To disclose information to officials of labor organizations recognized under 5 U.S.C. Chapter 71 when relevant and necessary to their duties of exclusive representation concerning personnel policies, practices, and matters affecting working conditions.

11. To disclose information to any source when necessary to obtain information relevant to a conflict-of-interest investigation or determination.

12. To disclose information to the Office of Management and Budget at any stage in the legislative coordination and clearance process in connection with private relief legislation as set forth in OMB Circular No. A-19.

13. To disclose information to another Federal agency, to a court, or a party in litigation before a court or in an administrative proceeding being conducted by a Federal agency, either when the Government is a party to a judicial proceeding or in order to comply with the issuance of a subpoena. Information is also made available pursuant to a court order directing production of personnel records.

14. To disclose information to officials of the Merit Systems Protection Board, including the Office of the Special Counsel, when requested in connection with appeals, special studies of the civil service and other merit systems, review of rules and regulations, investigation of alleged or possible prohibited personnel practices, and such other functions, promulgated in 5 U.S.C. 1205 and 1206, or as may be authorized by law.

15. To disclose information to the Equal Employment Opportunity Commission when requested in connection with investigations of alleged or possible discrimination practices, examination of Federal affirmative employment programs, compliance with the Uniform Guidelines on Employee Selection Procedures, or other functions vested in the Commission by the President's Reorganization Plan No. 1 of 1978.

16. To disclose information to the Federal Labor Relations Authority (including its General Counsel) when requested in connection with investigation and resolution of allegations of unfair labor practices, in connection with the resolution of exceptions to arbitrator awards when a question of material fact is raised and matters before the Federal Service Impasses Panel.

17. To disclose information to a State or local government entity which has the legal authority to make decisions concerning the issuance, retention or revocation of licenses, certifications or registrations required to practice a health care profession, when requested in writing by an investigator or supervisory official of the licensing entity for the purpose of making a decision concerning the issuance, retention or revocation of the license, certification or registration of a named health care professional.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper documents.

Retrievability:

Records are indexed by name or by name within geographic location proference. Drug testing records are retrieved by name or social security number, or name or social security number by geographic location preference.

Safeguards:

Records are stored in locked file cabinets or locked rooms. Strict control measures are enforced to ensure that access to and disclosure from these records are limited to a "need-to-know basis." In VA Central Office and in the Delegated Examining Unit these records are maintained in staffed rooms during working hours. During non-working hours, there is limited access to the building with visitor control by security personnel. Drug testing records will be maintained in accordance with the Urgent Relief for the Homeless Supplemental Appropriations Act of 1987, Pub. L. No. 100-71, Section 503, 101 Stat. 468 (1987), as well as any Governmentwide guidance concerning the protection of these records. Employee drug testing records will be maintained and used with the highest regard for employee privacy. Contractor laboratories are subject to the same restrictions as VA employees.

Retention and disposal:

Records are retained in accordance with records retention standards approved by the Archivist of the United States, the National Archives and Records Administration, and published in VA Records Control Schedules. Records arising in connection with employee drug testing under Executive Order 12564 are generally retained for up to 2 years. Records are destroyed by shredding or burning.

System manager(s) and address:

Director, Office of Personnel and Labor Relations (05), VA Central Office, 810 Vermont Avenue, NW., Washington DC 20420.

Notification procedure:

Individuals wishing to inquire whether this system of records contains records on them should contact the local facility to which they applied or the Physician and Dentist Placement Service. Individuals submitting requests should furnish identifying information as required by VA for their records to be located and identified: (1) Full name, (2) date of birth, (3) social security number, (4) name and location of VA facility or Physician and Dentist Placement Service where application was submitted, (5) date of application, and (6) signature.

Record access procedures:

(See Notification Procedures above.)

Contesting record procedures:

(See Notification Procedures above.)

Record source categories:

Records in this system are obtained from VA officials and from individuals and organizations regarding the individual's qualifications, credentials and suitability for employment, including prior employers, education providers, state licensing boards and/or national certifying bodies, law enforcement entities, and health care providers. Drug testing records may be obtained from the Medical Review Official.

04VA113

System name: Blood Donor File-VA.

System location: Records are maintained at each of the Veterans Administration health care facilities. Addresses are listed in VA Appendix 1 at the end of this document.

Categories of individuals covered by the system: Individuals who have donated blood to a Veterans Administration health care facility, blood bank, Red Cross, government or private hospital to be issued for patient care under routine or emergency conditions.

Categories of records in the system: Blood information and files contain a cumulative account of blood received, type and quantity which is cross referenced by donor. A record of the individual or medical unit to which the blood was used or stored is maintained.

Authority for maintenance of the system: 1. Title 38, United States Code, Chapter 3, Section 210(c)(1). 2. Standards for Blood Banks and Transfusion Services. 3. Technical Methods and Procedures of the American Association of Blood Banks.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

1. To answer questions, regarding the source from which blood was received, from Federal, State and local medical facilities for the purpose of following up on any questions that a qualified medical practitioner may ask if a particular problem might occur.

2. To maintain records of blood availability, location, quantity on hand, and blood type; for use by Red Cross Coordinator of area; to answer and fill requests from health care facilities for need for blood by type, and the presence of particular antibodies.

3. In the event that a system of records mainained by this agency to carry out its functions indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, State, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto.

4. A record from this system of records may be disclosed as a 'routine use' to a federal, state or local agency maintaining civil, criminal or other relevant information, such as current licenses, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant or other health, educational or welfare benefits.

5. A record from this system of records may be disclosed to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter.

6. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

7. Disclosure may be made to NARA (National Archives and Records Administration) GSA (General Services Administration) in records management inspections conducted under authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper documents, magnetic tape, disk.

Retrievability: (a) All VA blood information manual records are indexed by name and social security number of donor, cross indexed by blood type. (b) Automated records are indexed by name, social security number, blood type, antibodies and date of last donation.

Safeguards: Physical Security: Access to VA working space and and medical record storage areas is restricted to VA employees on a "need to know" basis. Generally, VA file areas are locked after normal duty hours and are protected from outside access by the Federal Protective Service. Employee file records and file records of public figures or otherwise sensitive medical record files are stored in separate locked files. Strict control measures are enforced to ensure that disclosure is limited to a "need to know" basis.

Retention and disposal: Blood Information Records: Individual donor records are maintained at a VA health care facility for a minimum of 5 years after last donation and then shredded or burned. Information on blood transferred to another blood bank is maintained for a ten year retention after last entry then destroyed by shredding or burning. When blood is issued to a patient a record is maintained in his medical record and destroyed 15 years after last entry in his medical record.

System manager(s) and address: DIRECTOR PATHOLOGY SERVICE (113), VA Central Office, Washington, D.C. 20420.

Notification procedure: Individuals seeking information concerning the existence and content of a medical record or blood information record pertaining to themselves must submit a written request or apply in person to the VA health care facility where care was rendered or blood donated. All inquiries must reasonably identify the portion of the medical record or blood information involved and the approximate dates that service was provided. Inquiries should include individuals full name, social security number, and known home address at the time of medical service.

Record access procedures: Blood donors, patients of VA medical care facilities or duly authorized representatives seeking information regarding access to and contesting of VA health facility records may write, call or visit the Veterans Administration facility where medical service was provided or volunteered.

Contesting record procedures: (See Record Access Procedures above.)

Record source categories: 1. The blood donor. 2. Private hospitals and local blood banks. 3. Private physicians. 4. Laboratories private, local, State, and Federal.

05VA026

System name:

Individual Correspondence Records-VA.

System location:

Records are maintained at the Office of the General Counsel (026), VA Central Office, Washington, D.C. 20420 and at the Offices of the District Counsels, addresses for which may be obtained from the above-mentioned General Counsel office address.

Categories of individuals covered by the system:

The following categories of individuals are covered by this system: (1) Veterans; (2) nonveterans; (3) attorneys; (4) employees; and (5) members of Congress who have made inquiries or sent correspondence to the VA and regarding whom some action was taken by the Office of General Counsel or an office of one or more District Counsels regarding the inquiries.

Categories of records in the system:

Records (or information contained in records) may contain: (1) Name of individual; (2) inquiries or correspondence sent to the VA by an individual; (3) information pertinent to a legal opinion or response given by the Office of General Counsel or the District Counsel; and (4) the legal opinion or response.

Authority for maintenance of the system:

Title 38, United States Code, 210(c).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

1. The record of an individual who is covered by this system may be disclosed to a member of Congress or staff person acting for the member when the member or staff person requests the record on behalf of and at the request of that individual.

2. Any information in this system, except for the name and address of a veteran, which is relevant to a suspected violation or reasonably imminent violation of law, whether civil, criminal or regulatory in nature and whether arising by general or program statute or by regulation, rule or order issued pursuant thereto, may be disclosed to a Federal, State, local or foreign agency charged with the responsibility of investigating or prosecuting such violation, or charged with enforcing or implementing the statute, rule, regulation or order issued pursuant thereto.

3. The name and address of a veteran, which is relevant to a suspected violation or reasonably imminent violation of law, whether civil, criminal or regulatory in nature and whether arising by general or program statute or by regulation, rule or order issued pursuant thereto, may be disclosed to a Federal agency charged with the responsibility of investigating or prosecuting such violation, or charged with enforcing or implementing the statute, regulation, rule or order issued pursuant thereto, in response to its official request.

4. The name and address of a veteran, which is relevant to a suspected violation or reasonably imminent violation of law concerning public health or safety, whether civil, criminal or regulatory in nature and whether arising by general or program statute or by regulation, rule or order issued pursuant thereto, may be disclosed to any foreign, State or local governmental agency or instrumentality charged under applicable law with the protection of the public health or safety if a qualified representative of such organization, agency or instrumentality has made a written request that such name and address be provided for a purpose authorized by law.

5. Any information in this system from correspondence or inquiries sent to the VA may be disclosed to State or Federal agencies at the request of the correspondent or inquirer in order for those agencies to help the correspondent with his or her problem. The information disclosed may include the name and address of the correspondent or inquirer and detail concerning the nature of the problem specified in the correspondence.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

In the Office of the General Counsel and District Counsel offices, all inquiries and correspondence are placed in individual folders on storage shelves or place in file cabinets.

Retrievability:

Records are maintained in alphabetical order by last name of the individual covered by the system.

Safeguards:

Records are maintained in a manned room during working hours. During nonworking hours, there is a limited access to the building with visitor control by security personnel, and the room where the records are kept is locked. Access to the records is only authorized to VA personnel on a "need to know" basis.

Retention and disposal:

In the Office of the General Counsel, correspondence records prior to 1975, relating to a veteran, which result in a legal opinion have been placed on microfiche, and the paper records are currently stored in the Washington National Records Center. Reference copies on microfiche are available for use in the Law Library. In the future, as these records are microfiched, no paper records will be retained. All other system records concerning veterans are kept for two years in the Office of General Counsel. Thereafter, these records are maintained for 3 years by the VACO Record Management Section and then destroyed. All other records that deal with matter of legal opinions and precedent are maintained permanently. Records in District Counsel Offices are maintained for a period of 2 years and thereafter destroyed.

System manager(s) and address:

ASSISTANT GENERAL COUNSEL (026), Office of General Counsel, VA Central Office, Washington, D.C. 20420.

Notification procedure:

An individual who wishes to determine whether a record is being maintained by the Assistant General Counsel (026) under his or her name or other personal identifier or wants to determine the contents of such records should submit a written request or apply in person to the Assistant General Counsel (026).

Record access procedures:

An individual who seeks access to or wishes to contest records maintained under his or her name or other personal identifier may write or call or visit the Assistant General Counsel (026).

Contesting record procedures:

(See Record Access Procedures above.)

Record source categories:

Individuals (veterans, nonveterans), attorneys, employees, members of Congress, VA officials requesting legal opinions and VA records.

06VA026

System name:

Claimant Private Relief Legislative Files-VA.

System location:

Records are maintained in the Office of General Counsel (026), VA Central Office, Washington, D.C. 20420.

Categories of individuals covered by the system:

The following categories of individuals are covered by this system: (1) Veterans; and (2) their beneficiaries and dependents, on behalf of whom private relief bills are introduced, or proposed for introduction, in Congress.

Categories of records in the system:

Records (or information contained in records) may include information pertinent to private relief bills such as: (1) The bill for relief (which contains name, other identifying information, personal data and the claim for a particular type of legislative relief); (2) other Federal agency reports; (3) VA reports pertaining to the private relief bill; (4) Congressional committee reports and (5) the Congressional Record.

Authority for maintenance of the system:

Title 38, United States Code, 210(c).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

1. The record of an individual who is covered by this system may be disclosed to a member of Congress or staff person acting for the member when the member or staff person requests the record on behalf of and at the request of that individual.

2. Any information in this system, except for the name and address of a veteran, which is relevant to a suspected violation or reasonably imminent violation of law, whether civil, criminal or regulatory in nature and whether arising by general or program statute or by regulation, rule or order issued pursuant thereto, may be disclosed to a Federal, State, local or foreign agency charged with the responsibility of investigating or prosecuting such violation, or charged with enforcing or implementing the statute, rule, regulation or order issued pursuant thereto.

3. The name and address of a veteran, which is relevant to a suspected violation or reasonably imminent violation of law, whether civil, criminal or regulatory in nature and whether arising by general or program statute or by regulation, rule or order issued pursuant thereto, may be disclosed to a Federal agency charged with the responsibility of investigating or prosecuting such violation, or charged with enforcing or implementing the statute, regulation, rule or order issued pursuant thereto, in response to its official request.

4. The name and address of a veteran, which is relevant to a suspected violation or reasonably imminent violation of law concerning public health or safety, whether civil, criminal or regulatory in nature and whether arising by general or program statute or by regulation, rule or order issued pursuant thereto, may be disclosed to any foreign, State of local governmental agency or instrumentality charged under applicable law with the protection of the public health or safety if a qualified representative of such organization, agency or instrumentality has made a written request that such name and address be provided for a purpose authorized by law.

5. Records pertinent to consideration of private relief bills such as VA and other Federal agency reports may be disclosed to Congressional members in their elected represented capacity and to other Federal agencies upon their official request to enable them to aid or to comment on whether the petitioning veteran should obtain the requested relief and to facilitate the preparation and release of reports by other Federal agencies regarding the matter.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Active records are maintained in individual file folders and synopsized on file cards, both of which are kept in metal storage cabinets.

Retrievability:

Records and file cards are indexed by last name and bill number of the individuals covered by this system.

Safeguards:

Records and file cards are maintained in a manned room during working hours. During nonworking hours, the file area is locked, and the building is protected by the Federal Protective Service. Access to the records is only authorized to VA personnel on a "need to know" basis.

Retention and disposal:

Index cards and record files which result in legislation are maintained permanently in the Office of General Counsel. The other record files and cards are maintained for a period of 10 years and then destroyed.

System manager(s) and address:

Assistant General Counsel (026), Professional Staff Group VI, Office of General Counsel, VA Central Office, Washington, D.C. 20420.

Notification procedure:

An individual who wishes to determine whether a record is being maintained by the Assistant General Counsel (026) under his or her name or other personal identifier or wishes to determine the contents of such records should submit a written request or apply in person to the Assistant General Counsel (026).

Record access procedures:

An individual who seeks access to or wishes to contest records maintained under his or her name or other personal identifier may write, call or visit the Assistant General Counsel (026).

Contesting record procedures:

(See Record Access Procedures above.)

Record source categories:

Courts, veterans, litigants and their attorneys, Federal agencies, insurance carriers, witnesses, or other interested participants to the proceedings and VA records.

07VA138

System name: Department of Medicine and Surgery Engineering Employee Management Information Records-VA.

System location: Records are maintained at the Veterans Administration Data Processing Centers Washington, D.C., Hines, Illinois, Austin, Texas, St. Paul, Minnesota, Los Angeles, California, and Philadelphia, Pennsylvania, and at all VA health care facilities. Address locations are listed in VA Appendix I at the end of this document.

Categories of individuals covered by the system: Veterans Administration Engineering employees with the Department of Medicine and Surgery.

Categories of records in the system: Personal identification information; data on cost center, hourly wage rate, and work location.

Authority for maintenance of the system: Title 38, United States Code, Chapter 3, Subchapter II, Section 219.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

1. To provide statistical and other information in response to other legitimate and reasonable requests as approved by appropriate VA authorities, such as the release of information under the Freedom of Information Act.

2. In the event that a system of records maintained by this agency to carry out its functions indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, State, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto.

3. A record from this system of records may be disclosed as a 'routine use' to a Federal, State or local agency maintaining civil, criminal or other relevant information, such as current licenses, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant or other health, educational or welfare benefits.

4. A record from this system of records may be disclosed to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter.

5. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

6. Disclosure may be made to NARA (National Archives and Records Administration) GSA (General Services Administration) in records management inspections conducted under authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Punched cards.

Retrievability: Indexed by employee identification number.

Safeguards: Physical Security: Access to VA working and storage areas is restricted to VA employees on a 'need to know' basis. Generally, VA file areas are locked after normal duty hours and are protected from outside access by the Federal Protective Service. Strict control measures are enforced to ensure that disclosure is limited to a 'need to know' basis.

Retention and disposal: Records are retained until termination of employment. Destruction of records is accomplished by shredding or incineration.

System manager(s) and address: DIRECTOR ENGINEERING SERVICE (138), VA Central Office, Washington, D.C. 20420.

Notification procedure: An individual seeking information concerning the existence and contents of a record pertaining to himself should submit a written request or apply in person to the nearest VA health care facility. All inquiries must reasonably identify the system of records involved. Inquiries should include the individual's full name, employee identification number, approximate date(s) of employment, and location of the health care facility where employed.

Record access procedures: Veterans, beneficiaries, service personnel or duly authorized representatives seeking information regarding access to and contesting of Department of Medicine and Surgery Engineering Employee Management Information Records-VA records may contact the Engineering Officer at the nearest VA health care facility.

Contesting record procedures: (See Record Access Procedures above.)

Record source categories: Employee and supervisory personnel.

08VA05

System name:

Employee Medical File System Records (Title 38)—VA.

System location:

For current employees, records are located in VA medical, personnel, dispensary, health, safety or other designated offices at Central Office and field facilities (see Appendix I); with another agency providing such services for the VA; or with private sector contractors. For former employees, most records will be located in an Employee Medical Folder (EMF) stored in Federal records centers operated by the National Archives and Records Administration (NARA). Paper record abstract information is stored in automated storage media records that are maintained at the health care facilities.

Categories of individuals covered by the system:

The following categories of individuals are covered by this system: current or former VA employees appointed under 38 U.S.C. Chapter 73 to the occupations identified in 38 U.S.C. 4103, 4104(1), and 4104(3); individuals in those occupations who are appointed under 38 U.S.C. 4114; and residents appointed under 38 U.S.C. 4114(b). This includes employees such as non-physician facility Directors, physicians, dentists, podiatrists, optometrists, nurses, nurse anesthetists, physician assistants, expanded-function dental auxiliaries, certified respiratory therapy technicians, registered respiratory therapists, licensed physical therapists, and licensed practical or vocational nurses. Current and former employees appointed under 38 U.S.C. Chapter 75 in the Veterans Canteen Service are also covered.

Categories of records in the system:

Records maintained in this system include: (1) Medical records, forms, and reports completed or obtained when an individual applies for a Federal job and is subsequently employed; (2) Medical records, forms, and reports completed during employment as a condition of employment, either by the VA or by another agency, State or local government entity, or a private sector entity under contract to the VA; (3) Records resulting from the testing of the employee for use of illegal drugs under Executive Order 12564. Such records may be retained by the VA (e.g., by the VA Medical Review Official) or by a contractor laboratory. This includes records of negative results, confirmed or unconfirmed positive test results, and lists of who has been tested, who failed to report for testing, and related documents. Records maintained by a VA dispensary are included in the system only when they are the result of a condition of employment or related to an on-the-job occurrence. (4) Files containing reports of on-the-job injuries and medical records, forms, and reports generated as a result of the filing of a claim for Workers' Compensation, whether the claim is accepted or not. (The official compensation claim file, maintained by the Department of Labor's Office of Workers' Compensation Program (OWCP) is part of that agency's system of records and not covered by this notice.) (5) All other medical records, forms, and reports created on an employee during his or her period of employment, including records retained on a short term/temporary basis (i.e., those designated to be retained only while the employee is with the VA) and records designated for long-term retention (i.e., those retained for the employee's duration of Federal service and for some period of time thereafter).

Authority for maintenance of the system:

Executive Order 12564; Urgent Relief for the Homeless Supplemental Appropriations Act of 1987, Pub. L. No. 100–71, Section 503, 101 Stat. 468 (1987); and Title 38, United States Code, Chapter 3, Section 210(c)(1,); Chapter 73, Section 4108 and Chapter 75, Section 4202.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Except for Routine Use 7, no other Routine Use for this system of records applies to records included in Item (3) in the Categories of Records in the System section of this notice. Drug test results may not be released under any other routine use.

1. In the event that a system of records maintained by this agency to carry out its function indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, State, local or foreign, charged with the responsibility of investigation or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto.

2. To assess physical capability of employees and to provide data for periodic reports of the health services program to the Civil Service Commission.

3. Information may be disclosed from this system of records to a Federal, State, or local agency to the extent necessary to comply with laws governing reporting of communicable diseases.

4. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

5. Disclosure may be made to NARA (National Archives and Records Administration) GSA (General Services Administration) in records management inspections conducted under authority of 44 U.S.C. 2904 and 2906.

5. To disclose information to the Department of Labor, Social Security Administration, or a national, State, or local social security type agency, when necessary to adjudicate a claim (filed by or on behalf of the individual) under a retirement, insurance, or health benefit program.

6. To disclose information to another Federal agency, to a court, or a party in litigation before a court or in an administrative proceeding being conducted by a Federal agency, either when the Government is a party to a judicial proceeding or to comply with the issuance of a subpoena.

7. To disclose the results of a drug test of a Title 38 employee pursuant to an order of a court of competent jurisdiction where required by the United States Government to defend against any challenge against any adverse personnel action.

8. To disclose information to the Department of Justice, or in a proceeding before a court, adjudicative body, or other administrative body before which the VA is authorized to appear, when: (a) The VA, or any component thereof; or (b) any VA employee in his or her official capacity; or (c) any VA employee in his or her individual capacity where the Department of Justice or the VA has agreed to represent the employee; or (d) the United States, where the VA determines that litigation is likely to affect the VA or any of its components, is a party to litigation or has an interest in such litigation, and the use of such records by the Department of Justice or the VA is deemed by the VA to be relevant and necessary to the litigation, provided, however, that in each case it has been determined that the disclosure is compatible with the purpose for which the records were collected.

9. To disclose in response to a request for discovery or for appearance of a witness, information that is relevant to the subject matter involved in a pending judicial or administrative proceeding.

10. To disclose pertinent information to the appropriate Federal, State or local agency responsible for investigating, prosecuting, enforcing, or implementing a statute, rule, regulation, or order when the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation.

11. To disclose information to the Office of Management and Budget (OMB) at any stage in the legislative coordintion and clearance process in connection with private relief legislation as set forth in OMB Circular No. A-19.

12. To disclose information to officials of the Merit Systems Protection Board including the Office of Special Counsel, the Federal Labor Relations Authority and its general counsel, the Equal Employment Opportunity Commission, arbitrators, and hearing examiners to the extent necessary to carry out their authorized duties.

13. To disclose information to survey team members from the Joint Commission on Accreditation of Healthcare Organizations (JCAHO) when requested in connection with an accreditation review, but only to the extent that the information is relevant and necessary to meet JCAHO standards.

14. To disclose to health insurance carriers contracting with the Office of Personnel Management to provide a health benefits plan under the Federal Employee Health Benefits Program, information necessary to verify eligibility for payment of a claim for health benefits or to carry out the coordination of audit of benefit provisions of such contracts.

15. To locate individuals for health research or survey response and in the production of summary descriptive statistics and analytical studies (e.g., epidemiological studies) in support of the function for which the records are collected and maintained. While published statistics and studies do not contain individual identifiers, in some instances the selection of elements of data included in the study might be structured in such a way as to make the data individually identifiable by inference.

16. To disclose information to the Office of Federal Employees Group Life Insurance that is relevant and necessary to verify election, declination, or waiver of regular and/or optional life insurance coverage or eligibility for payment of a claim for life insurance.

17. To disclose information, when an individual to whom a record pertains is mentally incompetent or under other legal disability, to any person who is responsible for the care of the individual, to the extent necessary.

18. To disclose to the agency-appointed representative of an employee all notices, determinations, decisions, or other written communications issued to the employee, in connection with an examination ordered by the agency under: (a) Medical evaluation (formerly Fitness for Duty) examinations procedures, or (b) agency-filed disability retirement procedures.

19. To disclose to a requesting agency, organization, or individual the home address and other information concerning those individuals who it is reasonably believed might have contracted an illness or been exposed to or suffered from a health hazard while employed in the Federal work force.

20. To disclose information to a Federal agency, in response to its request or at the initiation of the VA, in connection with the retention of an employee, the issuance of a security clearance, the conducting of a suitability or security investigation of an individual, the letting of a contract, or the issuance of a license, grant, or other benefit by the other agency, or the lawful statutory, administrative or investigative purpose of the agency to the extent that the information is relevant and necessary to the other agency's decision on the matter.

21. To disclose to any Federal, State, or local government agency, in response to its request or at the initiation of the VA, information relevant and necessary to the lawful, statutory, administrative, or investigatory purpose as it relates to the conduct of job related epidemiological research or the assurance of compliance with Federal, State, or local government laws on health and safety in the work environment.

22. To disclose to officials of labor organizations recognized under 5 U.S.C. Chapter 71, analyses using exposure or medical records and employee exposure records, in accordance with the record access rules of the OSHA, Department of Labor, and subject to the limitations of 29 CFR 1910.20(e)(2)(iii)(B).

23. Records from this system of records may be disclosed to a Federal Agency or to a State or local government licensing board and/or to the Federation of State Medical Boards or a similar nongovernment entity which maintains records concerning individuals' employment histories or concerning the issuance, retention or revocation of licenses, certifications, or registrations necessary to practice an occupation, profession or specialty, in order for the Agency to obtain information relevant to an Agency decision concerning the hiring, retention or termination of an employee or to inform a Federal Agency or licensing boards or the appropriate nongovernment entities about the health care practices of a terminated, resigned or retired health care employee whose professional health care activity so significantly failed to conform to generally accepted standards of professional medical practice as to raise reasonable concern for the health and safety of patients in the private sector or from another Federal Agency. These records may also be disclosed as part of an ongoing computer matching program to accomplish these purposes.

24. Information in this system of records may be disclosed to a State or local government entity which has the legal authority to make decisions concerning the issuance, retention or revocation of licenses, certifications or registrations required to practice a health care profession, when requested in writing by an investigator or supervisory official of the licensing entity for the purpose of making a decision concerning the issuance, retention or revocation of the license, certification or registration of a named health care professional.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are stored in paper folders, microfiche, magnetic discs, magnetic tape, and on file cards, X-rays, or other medical reports and forms. These records are stored in VA medical, personnel, dispensary, health, safety or other designated offices at Central Office and field facilities. Information in the Decentralized Hospital Computer Program (DHCP) system is stored at health care facilities.

Retrievability:

Records are retrieved by the employee's name, date of birth, social security number, or any combination of those identifiers.

Safeguards:

Records are stored in locked file cabinets or locked rooms. Generally, file areas are locked after normal duty hours. Automated records are protected by restricted access procedures and audit trails. Access to Employee Medical File System records is strictly lilmited to VA or contractor officials with a bona fide need for access to the records. Strict control measures are enforced to ensure that access to and disclosure from these records are limited to a "need-to-know basis." In VA Central Office these records are maintained in staffed rooms during working hours. During nonworking hours, there is limited access to the building with visitor control by security personnel. Access to the DHCP computer rooms within the health care facilities is generally limited by appropriate locking devices and restricted to authorized VA employees and vendor personnel. Automated data processing peripheral devices are generally placed in secure areas (areas that are locked or have limited access) or are otherwise protected. Information in the DHCP system may be accessed by authorized VA employees. Access to file information is controlled at two levels; the system recognizes authorized employees by a series of individually unique passwords/codes as a part of each data message, and the employees are limited to only that information in the file which is needed in the performance of their official duties. Drug testing records will be maintained in accordance with the Urgent Relief for the Homeless Supplemental Appropriations Act of 1987, Pub. L. No. 100–71, Section 503, 101 Stat. 468 (1987). Contractor laboratories are subject to the same restrictions as VA employees.

Retention and disposal:

Records are retained in accordance with records retention standards approved by the Archivist of the United States, the National Archives and Records Administration, and published in Agency Records Control Schedules. Records arising in connection with employee drug testing under Executive Order 12564 are generally retained for up to 2 years. Records are destroyed by shredding, burning, or by erasing the magnetic media. Automated storage media is retained and disposed of in accordance with disposition authorization approved by the Archivist of the United States.

System manager(s) and address:

Director, Office of Personnel and Labor Relations (05), VA Central Office, 810 Vermont Avenue NW., Washington, DC 20420.

Notification procedure:

Individuals wishing to inquire whether this sytem of records contains records on them should follow the appropriate procedure listed below.

a. Current employees. Current employees should contact the local facility at which they are employed. Individuals must furnish such identifying information as required by VA for their records to be located and identified.

b. Former employees. Former employees should contact the local facility at which they were employed. Individuals submitting requests must submit the following information for their records to be located and identified: (1) Full name, (2) date of birth, (3) social security number, (4) name and location of VA facility where last employed and dates of employment, and (5) signature.

Record access procedures:

Individuals requesting access to and contesting the contents of records must submit the following information for their records to be located and identified: (1) Full name, (2) date of birth, (3) social security number, (4) name and location of VA facility where last employed and dates of employment, and (5) signature.

Contesting record procedures:

(See Record Access Procedures above).

Record source categories:

Records in this system are obtained from: The individual to whom the records pertain, VA employee health unit staff, Federal and private sector medical practitioners and treatment facilities, supervisors/managers and other VA officials, testimony of witness, and other VA records.

09VA05

System name: Employee Unfair Labor Practice Charges and Complaints, Negotiated Agreement Grievances and Arbitrations-VA.

System location: VA station personnel offices, whose address locations are listed in VA Appendix 1 at the end of this document.

Categories of individuals covered by the system: VA employees or labor union representatives who have filed, in the name of VA employees, unfair labor practice charges or complaints and negotiated agreement grievances.

Categories of records in the system: Various material, considered pertinent by parties to proceedings, needed for processing charges, complaints, grievances and arbitrations.

Authority for maintenance of the system: Executive Order 11491 as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

1. In the event that a system of records maintained by this agency to carry out its function indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, State, local or foreign, charged with the responsibility of investigation or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto.

2. Files may be released to arbitrators for processing arbitrations and to authorized Department of Labor officers for processing unfair labor practice complaints.

3. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

4. Disclosure may be made to NARA (National Archives and Records Administration) GSA (General Services Administration) in records management inspections conducted under authority of 44 U.S.C. 2904 and 2906.

5. Records from this system of records may be disclosed to a Federal Agency or to a State or local government licensing board and/or to the Federation of State Medical Boards or a similar nongovernment entity which maintains records concerning individuals' employment histories or concerning the issuance, retention or revocation of licenses, certifications, or registration necessary to practice an occupation, profession or specialty , in order for the Agency to obtain information relevant to an Agency decision concerning the hiring, retention or termination of an employee or to inform a Federal Agency or licensing boards or the appropriate nongovernment entities about the health care practices of a terminated, resigned or retired health care employee whose professional health care activity so significantly failed to conform to generally accepted standards of professional medical practice as to raise reasonable concern for the health and safety of patients in the private sector or from another Federal Agency. These records may also be disclosed as part of an ongoing computer matching program to accomplish these purposes.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper documents in files.

Retrievability: Alphabetically by name at some VA stations. Some stations do not maintain records retrievable by name or other personal identifier.

Safeguards: Access to files is restricted to authorized Va employees in the Personnel Office and to operating officials.

Retention and disposal: Records are retained indefinitely.

System manager(s) and address: Officials maintaining the system-VA Personnel Officers where records are maintained. (See VA Appendix 1 for local addresses.) Official responsible for policies and procedures-ASSISTANT ADMINISTRATOR FOR PERSONNEL (05), VA Central Office, Washington, D.C. 20420.

Notification procedure: VA station Personnel Officer. Individual should provide full name, social security number and date and nature of proceeding involved.

Record access procedures: Individuals or representatives designated in writing may contact their servicing Personnel Office for gaining access to their records and contesting the contents thereof.

Contesting record procedures: (See Record Access Procedures above.)

Record source categories: VA officials, employees, and labor organization officials.

10VA31

System name: Employee Reporting System for Project Administration and Control (Office of Data Management and Telecommunications)VA.

System location: Records are located at VA Central Office and at the VA Data Processing Centers (Address locations are listed in Appendix 1).

Categories of individuals covered by the system: The following categories of individuals will be covered by this system: All Office of Data Management and Telecommunications employees.

Categories of records in the system: Detailed record of Project Assignments and related task assignments; Resource record for reporting time, in hours, individual spends on administrative overhead tasks.

Authority for maintenance of the system: Title 5, United States Code 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

1. All of the information contained in this system of records is used for official purposes of the Veterans Administration; all such uses of

the information are compatible with the purpose for which the information was collected.

2. In the event that a system of records maintained by this agency to carry out its functions indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, State, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto.

3. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

4. Disclosure may be made to NARA (National Archives and Records Administration) GSA (General Services Administration) in records management inspections conducted under authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are stored on paper documents, magnetic disc and tape.

Retrievability: Records are retrievable by a coded employee identifier.

Safeguards: Physical security requires that employees wear identification badges. Special identification badges are required to enter the computer site.

Retention and disposal: Once the information on the source (paper) documents is stored on a magnetic disc or tape, and the information is verified for accuracy, the source documents are destroyed. Generally, source documents are destroyed within one week of verification. Magnetic disc and tape records are updated weekly and retained for various periods from 3 months up to 2 years after which time they are destroyed.

System manager(s) and address: Chief, Project Management Division (313), Office of Data Management and Telecommunications, VA Central Office, Washington, D. C. 20420.

Notification procedures: An individual seeking information concerning the existence and contents of a record pertaining to himself or herself should submit a written request or apply in person to the Director of Data Processing where either previously or currently employed. VA Central Office personnel should submit a written request or apply in person to their Service or Staff Office Director where previously or currently employed. Inquiries should include the individual's full name and TRIMS identification, if known, and approximate dates of employment.

Record access procedures: Individuals or their authorized representatives seeking information regarding access to and contesting of their TRIMS Record may contact the Director of the ODM&T Central Office, Service/Staff Office of VA Data Processing Center where the individual is (was) employed.

Contesting record procedures: (See Record Access Procedures above.)

Record source categories: Project budget and project objective by supervisor/individual, individual workload data by individual.

11VA51

System name:

Investigation Reports of Persons Allegedly Involved in Irregularities Concerning VA Laws, Regulations, Etc.—VA (11VA51).

System location:

Inspector General, Office of Investigations (51), Washington, D.C. 20420.

Categories of individuals covered by the system:

The following categories of individuals will be covered by the system: (1) Employees, (2) veterans and, (3) third parties such as contractors, who conduct official business with the VA.

Categories of records in the system:

Records (or information contained in records) in this system include reports of investigation of the Office of Inspector General. These reports may include (1) a narrative summary or synopsis; (2) exhibits; (3) internal documentation and memoranda, and (4) affidavits. The name of the subject of an investigation, station at which an investigation took place, Inspector General's investigation number, time period investigation took place, and the Inspector General's recommended action are maintained on a file card. A summary of the report of investigation is also maintained.

Authority for maintenance of the system:

Title 38, U.S.C. 210(c)(1); title 5, U.S.C., Appendix 1, section 7(a).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

1. The record of an individual who is covered by this system may be disclosed to a member of Congress or staff person acting for the member when the member or staff person requests the records on behalf of and at the request of that individual.

2. Any information in this system may be disclosed to a Federal agency, upon its official request, to the extent that it is relevant and necessary to that agency's decision regarding: The hiring, retention or transfer of an employee, the issuance of a security clearance, the letting of a contract, or the issuance or continuance of a license, grant or other benefit given by that agency. However, in accordance with an agreement with the U.S. Postal Service, disclosures to the U.S. Postal Service for decisions concerning the employment of veterans will only be made with the veteran's prior written consent.

3. Any information in this system may be disclosed to a State or local agency, upon its official request, to the extent that it is relevant and necessary to that agency's decision on: The hiring, transfer or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance or continuance of a license, grant or other benefit by the agency; provided, that if the information pertains to a veteran, the name and address of the veteran will not be disclosed unless the name and address is provided first by the requesting State or local agency.

4. Any information in this system, except the name and address of a veteran may be disclosed to a Federal, State or local agency maintaining civil or criminal violation records, or other pertinent information such as prior employment history, prior Federal employment background investigations, and/or personal or educational background in order for the VA to obtain information relevant to the hiring, transfer or retention of an employee, the letting of a contract, the granting of a security clearance, or the issuance of a grant or other benefit. The name and address of a veteran may be disclosed to a Federal agency under this routine use if this information has been requested by the Federal agency in order to respond to the VA inquiry.

5. Any information in this system, except the name and address of a veteran, which is relevant to a suspected violation or reasonably imminent violation of law, whether civil, criminal or regulatory in nature and whether arising by general or program statute or by regulation, rule or order issued pursuant thereto, may be disclosed to a Federal, State, local or foreign agency charged with the responsibility of investigating or prosecuting such violation, or charged with enforcing or implementing the statute, regulation, rule or order issued pursuant thereto.

6. The name and address of a veteran, which is relevant to a suspected violation or reasonably imminent violation of law, whether civil, criminal or regulatory in nature and whether arising by general or program statute or by regulation, rule or order issued pursuant thereto, may be disclosed to a Federal agency charged with the responsibility of investigating or prosecuting such violation, or charged with enforcing or implementing the statute, regulation, rule or order issued pursuant thereto, in response to its official request.

7. The name and address of a veteran, which is relevant to a suspected violation or reasonably imminent violation of law concerning public health or safety, whether civil, criminal or regulatory in nature and whether arising by general or program statute or by regulation, rule or order issued pursuant thereto, may be disclosed to any foreign State or local governmental agency or instrumentality charged under applicable law with the protection of the public health or safety if a qualified representative of such organization, agency or instrumentality has made a written request that such name and address be provided for a purpose authorized by law.

8. Any information in this system may be disclosed to a Federal grand jury, a Federal court or a party in litigation, or a Federal agency or party to an administrative proceeding being conducted by a Federal agency, in order for the VA to respond to and comply with the issuance of a Federal subpoena.

9. Any information in this system may be disclosed to a State or municipal grand jury, a State or municipal court or party in litigation, or to a State or municipal administrative agency functioning in a quasi-judicial capacity or a party to a proceeding being conducted by such agency, in order for the VA to respond to and comply with the issuance of a State or municipal subpoena; provided, that any disclosure of claimant information concerning a veteran-claimant made under this routine use must comply with the provisions of 38 CFR 1.511.

10. Any information in this system may be disclosed to the Office of Special Counsel, upon its official request, when required for the

Special Counsel's review of the complainant's allegations of prohibited personnel practices.

11. The name, address, and other identifying data, including title, date and place of birth, Social Security number, and summary information concerning an individual who, for fraudulent or deceitful conduct either as an employee or while conducting or seeking to conduct business with the Agency, has been convicted of violating Federal or State law or has been debarred or suspended from doing business with the VA, may be furnished to other Federal agencies to assist such agencies in preventing and detecting possible fraud or abuse by such individual in their operations and programs. This routine use applies to all information in this System of Records which can be retrieved by name or by some identifier assigned to an individual, regardless of whether the information concerns the individual in a personal or in an entrepreneurial capacity.

12. Records from this system of records may be disclosed to a Federal Agency or to a State or local government licensing board and/or to the Federation of State Medical Boards or a similar non-government entity which maintains records concerning individuals' employment histories or concerning the issuance, retention or revocation of licenses, certifications, or registration necessary to practice an occupation, profession or specialty , in order for the Agency to obtain information relevant to an Agency decision concerning the hiring, retention or termination of an employee or to inform a Federal Agency or licensing boards or the appropriate nongovernment entities about the health care practices of a terminated, resigned or retired health care employee whose professional health care activity so significantly failed to conform to generally accepted standards of professional medical practice as to raise reasonable concern for the health and safety of patients in the private sector or from another Federal Agency. These records may also be disclosed as part of an ongoing computer matching program to accomplish these purposes.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are maintained in individual file folders and on file cards.

Retrievability:

File cards may be indexed by the last name of the subject(s) of an investigation. File folders containing reports of investigation and summaries of the reports are individually retrievable by means of a cross indexing with the file cards.

Safeguards:

Access to the file folders and file cards (which are kept in cabinets) is restricted to authorized personnel on a need-to-know basis. The file room and cabinets are locked after duty hours, and the building is protected from unauthorized access by a protective service.

Retention and disposal:

Investigation reports are maintained by the Office of Inspector General until final action is taken. Once final action has been taken, the report is to the VACO Records Management Section where it is maintained for 5 years. It is then forwarded to the Federal Records Center where it is maintained for 25 years and then destroyed by shredding. File cards and summaries of all investigations are maintained by the Office of Inspector General for 30 years and then destroyed by shredding.

System manager(s) and address:

Assistant Inspector General for Investigations (51), VA Central Office, Washington, D.C. 20420.

Notification procedure:

An individual who wishes to determine whether a record is being maintained by the Assistant Inspector General for Investigations under his or her name in this system or wishes to determine the contents of such records should submit a written request or apply in person to the Assistant Inspector General for Investigations (51). However, a majority of records in this system are exempt from the notification requirement under 5 U.S.C. 552a (j) and (k). To the extent that records in this system of records are not subject to exemption, they are subject to notification. A determination as to whether an exemption applies shall be made at the time a request for notification is received.

Record access procedures:

An individual who seeks access to or wishes to contest records maintained under his or her name in this system may write, call or visit the Assistant Inspector General for Investigations (51). However, a majority of records in this system are exempt from the record access and contesting requirements under 5 U.S.C. 552a (j) and (k). To the extent that records in this system of records are not subject to exemption, they are subject to access and contest. A determination as to whether an exemption applies shall be made at the time a request for access or contest is received.

Contesting record procedures:

(See Record access procedures above.)

Record source categories:

Information is obtained from third-party organizations such as schools and financial institutions, VA employees, veterans and VA records.

Systems exempted from certain provisions of the act:

Under 5 U.S.C. 552a(j)(2), the head of any agency may exempt any system of records within the agency from certain provisions of the Privacy Act, if the agency or component that maintains the system performs as its principal function any activities pertaining to the enforcement of criminal laws. The Inspector General Act of 1978, Pub. L. 95–452, mandates the Inspector General to recommend policies for, and to conduct, supervise and coordinate activities in the Veterans Administration and between the Veterans Administration and other Federal, State and local governmental agencies with respect to all matters relating to the prevention and detection of fraud programs and operations administered or financed by the Veterans Administration and to the identification and prosecution of participants in such fraud. Under the Act, whenever the Inspector General has reasonable grounds to believe there has been a violation of Federal criminal law, the Inspector General must report the matter expeditiously to the Attorney General.

This system of records has been created in major part to support the criminal law-related activities assigned by the Inspector General to the Office of Investigations. These activities constitute the principal function of this staff.

In addition to principal functions pertaining to the enforcement of criminal laws, the Inspector General may receive and investigate complaints or information from various sources concerning the possible existence of actvities constituting noncriminal violations of law, rules or regulations, or mismanagement, gross waste of funds, abuses of authority or substantial and specific danger to the public and safety. This system of records also exists to support inquiries by the Assistant Inspector General for Investigations into these noncriminal violation types of activities.

Based upon the foregoing, the Administrator of Veterans Affairs has exempted this system of records, to the extent that it encompasses information pertaining to criminal law-related activities, from the following provisions of the Privacy Act of 1974, as permitted by 5 U.S.C. 552a(j)(2):

5 U.S.C. 552a(c) (3) and (4);
5 U.S.C. 552a(d);
5 U.S.C. 552a(e) (1), (2) and (3);
5 U.S.C. 552a(e)(4) (G), (H) and (I);
5 U.S.C. 552a(e) (5) and (8);
5 U.S.C. 552a(f);
5 U.S.C. 552a(g).

The Administrator of Veterans Affairs has exempted this system of records, to the extent that it does not encompass information pertaining to criminal law-related activities under 5 U.S.C. 552a(j)(2), from the following provisions of the Privacy Act of 1974, as permitted by 5 U.S.C. 552a(k)(2):

5 U.S.C. 552a(c)(3);
5 U.S.C. 552a(d);
5 U.S.C. 552a(e)(1);
5 U.S.C. 552a(e)(4) (G), (H) and (I);
5 U.S.C. 552a(f).

Reasons for exemptions: The exemption of information and material in this system of records is necessary in order to accomplish the law enforcement functions of the Office of Inspector General, to prevent subjects of investigations from frustrating the investigatory process, to prevent the disclosure of investigative techniques, to fulfill commitments made to protect the confidentiality of sources, to maintain access to sources of information and to avoid endangering these sources and law enforcement personnel.

12VA01

System name: Individual Requests for Information from Appellate Records-VA.

System location: Board of Veterans Appeals, Veterans Administration Central Office, Washington, D.C. 20420.

Categories of individuals covered by the system: Person requesting information under Freedom of Information Act.

Categories of records in the system: Requests for information, responses to requests.

Authority for maintenance of the system: Title 5, United States Code 552, 38 Code of Federal Regulations 1.556.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

1. All of the information contained in this system of records is used for official purposes of the Veterans Administration; all such uses of the information are compatible with the purpose for which the information was collected.

2. In the event that a system of records maintained by this agency to carry out its functions indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, State, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto.

3. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

4. Disclosure may be made to NARA (National Archives and Records Administration) GSA (General Services Administration) in records management inspections conducted under authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File folders.

Retrievability: By name.

Safeguards: Files under control of Freedom of Information Act Officer.

Retention and disposal: Two years then destroyed.

System manager(s) and address: CHAIRMAN, BOARD OF VETERANS APPEALS (01), Veterans Administration Central Office, Washington, D.C. 20420.

Notification procedure: Board of Veterans Appeals (014), Veterans Administration Central Office, Washington, D.C. 20420.

Request should be made in writing. The following information, or as much as is available, should be furnished in order to identify name of the subject of the file: Full name of the subject and any other information which will enable Board of Veterans Appeals to differentiate between persons of the same name.

Record access procedures: Information and/or assistance as to access to Board of Veterans Appeals records or as to contesting the content of such records may be obtained by contacting the Freedom of Information Act Officer (014), Board of Veterans Appeals, Veterans Administration Central Office, Washington, D.C., 20420, or by telephoning (202) 389-3346.

Contesting record procedures: (See Record Access Procedures above.)

Record source categories: Data furnished by person requesting information, data furnished by Board of Veterans Appeals to requestor.

13VA047

System name: Individuals Submitting Invoices/Vouchers For Payment-VA.

System location: VA Data Processing Center, Austin, Texas and the fiscal offices of Central Office and other field stations where the fiscal transactions are processed.

Categories of individuals covered by the system: Contractors, vendors, non-salaried employees, consultants, attendings, fee basis physicians and dentists, and patients.

Categories of records in the system: Vendor identification listings, invoices and payment records.

Authority for maintenance of the system: Budget and Accounting Act of 1950 and General Accounting Office Title 8, Chapter 3.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

1. Transfer payment information necessary to complete payment of claims and to furnish income data Form 1099 to the Treasury Department in order to effect payment of claims to vendors and to furnish income information.

2. In the event that a system of records maintained by this agency to carry out its functions indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, State, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto.

3. A record from this system of records may be disclosed as a 'routine use' to a Federal, State or local agency or to a non-governmental organization maintaining civil, criminal or other relevant information, such as current licenses, registration or certification, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee, the use of an individual as a consultant, attending or to provide fee basis health care, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant or other benefits. These records may also be disclosed as part of an ongoing computer matching program to accomplish these purposes.

4. A record from this system of records may be disclosed to a Federal, State or local agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter.

5. Relevant information from this system of records, including the nature and amount of financial obligation, may be disclosed as a routine use, in order to assist the Veterans Administration in the collection of unpaid financial obligations owed the VA, to a debtor's employing agency or commanding officer so that the debtor-employee may be counseled by his or her Federal employer or commanding officer. This purpose is consistent with 5 U.S.C. 5514, 4 CFR 102.5, and section 206 of Executive Order 11222 of May 8, 1965 (30 FR 6469).

6. Relevant information from this system of records, including available identifying data regarding the debtor, such as name of debtor, last known address of debtor, name of debtor's spouse, social security account number of debtor, VA insurance number, VA loan number, VA claim number, place of birth and date of birth of debtor, name and address of debtor's employer or firm and dates of employment, may be disclosed to other Federal agencies, State probate courts, State drivers license bureaus, and State automobile title and license bureaus as a routine use in order to obtain current address, locator and credit report assistance in he collection of unpaid financial obligations owed the U.S. This purpose is consistent with the Federal Claims Collection Act of 1966 (Pub.L. 89-508, 31 U.S.C. 951-953) and 4 CFR Parts 101-105.

7. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

8. Disclosure may be made to NARA (National Archives and Records Administration) GSA (General Services Administration) in records management inspections conducted under authority of 44 U.S.C. 2904 and 2906.

9. Records from this system of records may be disclosed to a Federal Agency or to a State or local government licensing board and/or to the Federation of State Medical Boards or a similar non-government entity which maintains records concerning individuals' employment histories or concerning the issuance, retention or revocation of licenses, certifications, or registration necessary to practice an occupation, profession or specialty , in order for the Agency to obtain information relevant to an Agency decision concerning the hiring, retention or termination of an employee or to inform a Federal Agency or licensing boards or the appropriate nongovernment entities about the health care practices of a terminated, resigned or retired health care employee whose professional health care activity so significantly failed to conform to generally accepted standards of professional medical practice as to raise reasonable concern for the health and safety of patients in the private sector or from another Federal Agency. These records may also be disclosed as part of an ongoing computer matching program to accomplish these purposes.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper documents, microfiche, magnetic tape.

Retrievability: Alphabetically by name and numerically by identification number.

Safeguards: Access to the records is restricted to VA Finance employees. These records are protected from outside access by Federal Protective Service.

Retention and disposal: Governed by General Accounting Office Regulations which require retention for records created prior to July 2,1975: 10 years and 3 months after the period of the account;

records created on and after July 2, 1975: 6 years and 3 months after the period of the account. Records are normally retired to Federal Record Centers within 1 or 2 years after payment and audit.

System manager(s) and address: Director, Office of Budget and Finance (Controller)(04), VA Central Office, Washington, D.C. 20420.

Notification procedure: Individuals seeking information concerning the existence of a record pertaining to themselves may submit a written request to the VA office to which the invoice/voucher was submitted. All inquiries must reasonably identify the invoice/voucher involved. Inquiries should include name and return address.

Record access procedures: Individuals or authorized representatives seeking information regarding access to and contesting of records may write, call or visit the VA office to which the invoice/voucher was submitted.

Contesting record procedures: (see Record Access Procedures above)

Record source categories: These payment records are compiled from documentation from the vendor, contractor, and employee; Dun and Bradstreet (identifying numbers); and procurement and authorization documentation generated by the Veterans Administration.

14VA135

System name: Individuals Serving on a Fee Basis or Without Compensation (Consultants, Attendings, Others) Personnel Records-VA.

System location: VA station Personnel Offices, whose address locations are listed in VA Appendix 1 at the end of this document.

Categories of individuals covered by the system: Physicians, dentists and nurses; student trainees; research personnel; other scientific and technical personnel.

Categories of records in the system: Copies of application, appointment letters, other documents and papers maintained in connection with these appointments.

Authority for maintenance of the system: Title 38, United States Code, Chapter 73.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

1. All of the information contained in this system of records is used for official purposes of the Veterans Administration; all such uses of the information are compatible with the purpose for which the information was collected.

2. In the event that a system of records maintained by this agency to carry out its functions indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant hereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, State, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto.

3. A record from this system of records may be disclosed as a 'routine use' to a Federal, State or local agency maintaining civil, criminal or other relevant information, such as current licenses, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant or other benefits.

4. A record from this system of records may be disclosed to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter.

5. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

6. Disclosure may be made to NARA (National Archives and Records Administration) GSA (General Services Administration) in records management inspections conducted under authority of 44 U.S.C. 2904 and 2906.

7. Records from this system of records may be disclosed to a Federal Agency or to a State or local government licensing board and/or to the Federation of State Medical Boards or a similar nongovernment entity which maintains records concerning individuals' employment histories or concerning the issuance, retention or revocation of licenses, certifications, or registration necessary to practice an occupation, profession or specialty , in order for the Agency to obtain information relevant to an Agency decision concerning the hiring, retention or termination of an employee or to inform a Federal Agency or licensing boards or the appropriate nongovernment entities about the health care practices of a terminated, resigned or retired health care employee whose professional health care activity so significantly failed to conform to generally accepted standards of professional medical practice as to raise reasonable concern for the health and safety of patients in the private sector or from another Federal Agency. These records may also be disclosed as part of an ongoing computer matching program to accomplish these purposes.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper documents in file system.

Retrievability: Alphabetically by name.

Safeguards: Physical Security: Access to files is restricted to authorized Personnel Office and operating officials. Records are maintained in locked files.

Retention and disposal: Records are maintained for a period of one year from the expiration of appointment. They are then destroyed.

System manager(s) and address: Officials maintaining the system-Personnel Officers (135) where this system is utilized. (See VA Appendix 1 for local addresses.) Official responsible for policies and procedures-ASSISTANT ADMINISTRATOR FOR PERSONNEL (05), VA Central Office, Washington, D.C. 20420.

Notification procedure: VA station Personnel Officer. Individual should provide full name, social security number, position and period of service involved.

Record access procedures: Individuals or representatives designated in writing may contact their servicing personnel office for gaining access to their personnel record and contesting the contents

Contesting record procedures: (See Record Access Procedures above.)

Record source categories: Application for employment, authorization forms or letters and related documents.

16VA026

System name:

Litigant, Tort Claimant, EEO Complaint and Third Party Recovery Files-VA.

System location:

Litigant, tort claimant and third party recovery files are maintained at the Office of General Counsel (026), VA Central Office, Washington, D.C. 20420, and Offices of the District Counsels. Addresses for District Counsel offices may be obtained by contacting the above-mentioned Office of General Counsel address. Equal Employment Opportunity (EEO) complaint files are maintained in the Office of General Counsel only.

Categories of individuals covered by the system:

The following categories of individuals are covered by this system: (1) Litigants; (2) claimants under the Federal Tort Claims Act, EEO complainants; and (3) veterans involved in third party recovery cases brought by or against the Government and affecting the VA.

Categories of records in the system:

Records (or information contained in records) may include: (1) Pleadings; (2) opinions; (3) briefs; (4) decisions; and (5) evidentiary and nonevidentiary matter relating to a case or controversy in an administrative or litigation proceeding (e.g., witness statements, agency reports, EEO Counselor's reports, recommending findings by the EEO Commission, and other supporting material).

Authority for maintenance of the system:

Title 38, United States Code, 210(c), 29 CFR 1613.222 (EEO cases commenced under 42 U.S.C. 2000e-16).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

1. The record of an individual who is covered by this system may be disclosed to a member of Congress or staff person acting for the member or staff person requesting the record on behalf of and at the request of that individual.

2. Any information in this system, except for the name and address of a veteran, which is relevant to a suspected violation or reasonably imminent violation of law, whether civil, criminal or regulatory in nature and whether arising by general or program statute or by regulation, rule or order issued pursuant thereto, may be disclosed to a Federal, State, local or foreign agency charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, rule, regulation or order issued pursuant thereto.

3. The name and address of a veteran, which is relevant to a suspected violation or reasonably imminent violation of law, whether civil, criminal or regulatory in nature and whether arising by general or program statute or by regulation, rule or order issued pursuant thereto, may be disclosed to a Federal agency charged with the responsibility of investigating or prosecuting such violation, or charged with enforcing or implementing the statute, regulation, rule or order issued pursuant thereto, in response to its official request.

4. The name and address of a veteran, which is relevant to a suspected violation or reasonably imminent violation of law concerning public health or safety, whether civil, criminal or regulatory in nature and whether arising by general or program statute or by regulation, rule or order issued pursuant thereto, may be disclosed to any foreign, State or local governmental agency or instrumentality charged under applicable law with the protection of the public health or safety if a qualified representative of such organization, agency of instrumentality has made a written request that such name and address be provided for a purpose authorized by law.

5. Pleadings, opinions, briefs, decisions and evidentiary and nonevidentiary matters may be disclosed to a Federal agency upon its official request to enable that agency to properly prepare a particular case or controversy regarding an administrative claim filed under the Federal Tort Claims Act or a debt collection proceeding under the Federal Medical Care Recovery Act.

6. Pleadings, opinions, briefs, decisions and evidentiary and nonevidentiary matter may be disclosed to a Federal agency to enable the VA to obtain records necessary for the VA to properly prepare a particular case or controversy under the Federal Tort Claims Act or a proceeding under the Federal Medical Care Recovery Act.

7. Pleadings, opinions, briefs, decisions and evidentiary and nonevidentiary matter may be disclosed to a Federal or a State court to enable the VA to file pleadings, comply with rules and procedures of the court, or to respond to a request from the court in any case or controversy.

8. Pleadings, opinions, briefs, decisions and matters of evidentiary and nonevidentiary matter may be disclosed to a Federal, State, local, or foreign agency, insurance carriers, other individuals from whom the VA is seeking reimbursement and other parties litigant or having an interest in administrative, prelitigation, litigation and postlitigation phases of a case or controversy, provided, that the name and address of a veteran can only be disclosed under this routine use if the release is for a VA debt collection proceeding, or if the name and address has been provided to the VA by the party seeking the information.

9. EEO complaint records, including the identities of the complainant and the witnesses, the complaints, investigation reports, General Counsel decisions, recommended findings by the EEOC, agency (VA) comments and other supporting material, may be disclosed to representatives of the complainant, and to Department of Justice and to other Federal agencies in order to inform them of the matters in the complaint and to apprise the parties if the identities of the complainant and witnesses.

10. Any information in this system may be disclosed to the Department of Justice (DOJ) including U.S. Attorneys upon its official request in order for the VA to respond to pleadings, interrogatories, orders or inquiries from the Department of Justice, and to supply the DOJ with information, to enable the DOJ to represent the U.S. Government in any phase of litigation or in any case or controversy involving the VA.

11. Any information in this system may be disclosed to a Federal grand jury. A Federal court or a party in litigation, or a Federal agency or party to an administrative proceeding being conducted by a Federal agency, in order for the VA to respond to and comply with the issuance of a Federal subpoena.

12. Any information in this system may be disclosed to a State or municipal grand jury, a State or municipal court or a party in litigation, or to a state or municipal administrative agency functioning in a quasi-judicial capacity or a party to a proceeding being conducted by such agency, in order for the VA to respond to and comply with the issuance of a State or municipal subpoena; provided, that any disclosure of claimant information made under this routine use must comply with the provisions of 38 CFR 1.511.

13. Any information in this system may be disclosed in connection with any proceeding for the collection of an amount owned to the United States by virtue of a person's participation in any benefit program administered by the Veterans Administration when in the judgment of the Administrator, or an official generally delegated such authority under standard agency delegation of authority rules (38 CFR 2.6), such disclosure is deemed necessary and proper, in accordance with 38 U.S.C. 3301(b)(6).

14. The name and address of a veteran, and other information as is reasonably necessary to identify such veteran, may be disclosed to a consumer reporting agency for the purpose of locating the veteran, or, obtaining a consumer report to determine the ability of the veteran to repay an indebtedness to the United States arising by virtue of the veteran's participation in a benefits program administered by the VA, provided that the requirements of 38 U.S.C. 3301 (g)(2) have been met.

15. The name and address of a veteran, other information as is reasonably necessary to identify such veteran, and any information concerning the veteran's indebtedness to the United States by virtue of the person's participation in a benefits program administered by the VA may be disclosed to a consumer reporting agency for purposes of assisting in the collection of such indebtedness, provided that the provision of 38 U.S.C. 3301(g)(4) have been met.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Retrievability:

Records are maintained in alphabetical order by last name of an individual covered by the system.

Safeguards:

Records are maintained in a manned room during working hours. During nonworking hours, the file area is locked, and the building is protected by the Federal Protective Service. Access to the records is only authorized to VA personnel on a "need to know" basis.

Retention and disposal:

Upon completion of a case, except for precedent-setting cases (which are maintained permanently), records are treated as follows:

In Central Office, litigation, tort claimant and third-party recovery files are maintained in the Office of General Counsel for two years, retired to the Washington National Federal Records Center for five years and then destroyed. EEO complainant records are maintained in the Office of General Counsel until the close of the complaint, sent to the VACO Records Management Section for four years, then destroyed.

In District Counsel Offices, civil litigation and third-party recovery files are maintained in the affected District Counsel Office for two years, then destroyed. Tort claimant files are maintained in the affected District Counsel Office for one year, retired to the appropriate Federal Records Center for five years, then destroyed. Criminal litigation prosecution files are maintained in the affected District Counsel Office for three years, then destroyed.

System manager(s) and address:

Assistant General Counsel (026), Professional Staff Group VI, Office of General Counsel, VA Central Office, Washington, D.C. 20420.

Notification procedure:

An individual who wishes to determine whether a record is being maintained by the Assistant General Counsel (026), under his or her name or other personal identifier or wants to determine the contents of such records should submit a written request or apply in person to the Assistant General Counsel (026).

Record access procedures:

An individual who seeks access to or wishes to contest records maintained under his or her name or other personal identifier may write, call or visit the Assistant General Counsel (026).

Contesting record procedures:

(See Record Access Procedures above.)

Record source categories:

Courts, claimants, litigants, complainants and their representatives or attorneys, other Federal agencies, insurance carriers, witnesses and other interested participants to the proceedings and VA records.

17VA26

System name:

Loan Guaranty Fee Personnel and Program Participant Records—VA.

System location:

Records on nonsuspended fee personnel and program participants are maintained at VA regional offices, medical and regional office centers, VA offices and VA centers having loan guaranty activities. Records of nonsupervised lenders and subsidiaries of supervised lenders having authority to process VA loans automatically are maintained in VA Central Office. National Control List of suspended program participants and fee personnel are maintained at VA regional offices, medical and regional office centers, VA offices and VA centers having loan guaranty activities. A Master Control list is maintained only at VA Central Office. Address locations are listed in Appendix 1 at the end of this document.

Categories of individuals covered by the system:

The following categories of individuals will be covered by this system: (1) Fee personnel who may be paid by the VA or by someone other than the VA (i.e., appraisers, compliance inspectors, management brokers, loan closing and fee attorneys who are not VA employees but are paid for actual case work performed), and (2) program participants (i.e., property management brokers and agents, real estate sales brokers and agents, participating lenders and their employees, title companies whose fees are paid by someone other than the VA, and manufactured home dealers, manufacturers, and manufactured home park or subdivision owners).

Categories of records in the system:

Records (or information contained in records) may include: (1) Applications by individuals to become VA-approved fee basis appraisers, compliance inspector, fee attorneys, or management brokers. These applications include information concerning applicant's name, address, business phone numbers, social security numbers or taxpayer identification number, and professional qualifications; (2) applications by non-supervised lenders for approval to close guaranteed loans without the prior approval of VA (automatically); (3) applications by lenders supervised by Federal or State agencies for designation as supervised automatic lenders in order that they may close loans without the prior approval (automatically) of the VA; applications for automatic approval or designation (i.e., (2) and (3)) contain information concerning the corporate structure of the lender, professional qualifications of the lender's officers or employees, financial data such as profit and loss statements and balance sheets to insure the firm's financial integrity; (4) identifying information such as names, business names (if applicable), addresses, phone numbers and professional resumes of corporate officials or employees; (5) corporate structure information on prior approval lenders, participating real estate sales brokers or agents, developers, builders, investors, closing attorneys or other program participants as necessary to carry out the functions of the Loan Guaranty Program; (6) records of performance concerning appraisers, compliance inspectors, management brokers, or fee attorneys on both firms and individual employees; (7) records of performance including disciplinary proceedings, concerning program participants; e.g., lenders, investors, real estate brokers, builders, fee appraisers, compliance inspectors and developers both as to the firm and to individual employees maintained on an as-needed basis to carry out the functions of the Loan Guaranty program; (8) National Control Lists which identify suspended real estate brokers and agents, lenders and their employees, investors, manufactured home dealers and manufacturers, and builders or developers; and (9) a master record of the National Control List (i.e., Master Control List) which includes information regarding parties previously suspended but currently reinstated to participation in the Loan Guaranty program in addition to all parties currently suspended.

Authority for maintenance of the system:

Title 38, United States Code, chapter 3, section 210(c)(1); title 38, United States, Code, chapters 21 and 37.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

1. The record of an individual who is covered by this system may be disclosed to a member of Congress or staff person acting for the member when the member or staff person requests the record on behalf of and at the request of that individual.

2. Any information in this system may be disclosed to a Federal, State or local agency, upon its official request, to the extent the agency has demonstrated that it is relevant and necessary to that agency's decision on: The hiring, transfer or retention of an employee; the issuance of a security clearance; the letting of a contract; or the issuance or continuance of a license, grant or other benefit by that agency.

3. Any information in this system may be disclosed to a Federal, State or local agency maintaining civil or criminal violation records, or other pertinent information such as prior employment history, prior Federal employment background investigations, and personal or educational background in order for the VA to obtain information from that agency relevant to the hiring, transfer or retention of an employee, the letting of a contract, the granting of a security clearance, or the issuance of a grant or other benefit.

4. Any information in this system which is relevant to a suspected violation or reasonably imminent violation of law, whether civil, criminal or regulatory in nature and whether arising by general or program statute or by regulation, rule or order issued pursuant thereto, may be disclosed to a Federal, State, local or foreign agency charged with the responsibility of investigating or prosecuting such violation, or charged with enforcing or implementing the statute, rule, regulation or order issued pursuant thereto.

5. Identifying information and the reasons for the suspension of builders, developers, lenders, lender employees, real estate sales brokers and agents, manufactured home dealers, manufacturers, or other program participants suspended from participation in the Loan Guaranty Program may be disclosed to the Department of Housing and Urban Development (HUD), and the Federal Housing Administration (FHA), United States Department of Agriculture (USDA), Farmers Home Administration (FHA) or other Federal, State or local agencies to enable that agency to consider imposing similar restrictions on these suspended persons and/or firms.

6. Identifying information and the performance records of qualified fee appraisers and compliance inspectors, including any information regarding their termination, non-redesignation, temporary suspension or resignation from participation in the Loan Guaranty Program, including the records of any disciplinary proceedings, may be disclosed to Federal, State or local, or non-government agencies, businesses, and professional organizations, to permit these entities to employ, continues to employ or contract for the services of qualified fee personnel, monitor the performance of such personnel, and take any appropriate disciplinary action.

7. Identifying information as well as other information such as educational background and former business associations may be disclosed to business and professional organizations in order for the VA to obtain these organizations' recommendations concerning the performance, character, professional activities and other qualifications relating to participation in the VA Loan Guaranty Program.

8. Identifying information and information concerning amounts paid to contractors, fee personnel and other contractors, fee personnel and other program participants may be released to the Department of the Treasury, Internal Revenue Service, where required by law.

9. Any information in this system may be disclosed to a Federal Grand jury, a Federal court or a party in litigation, or a Federal agency or party to an administrative proceeding being conducted by a Federal agency, in order for the VA to respond to and comply with the issuance of a Federal subpoena.

10. Any information in this system may be disclosed to a State or municipal Grand jury, a State or municipal court or a party in litigation, or to a State or municipal administrative agency functioning in a quasi-judicial capacity or a party to a proceeding being conducted by such agency, in order for the VA to respond to and comply with the issuance of a State or municipal subpoena; provided, that any disclosure of claimant information made under this routine use must comply with the provisions of 38 CFR 1.511.

11. Identifying information and the reasons for suspension of individuals and/or firms suspended from the VA Loan Guaranty Program may be disclosed to other participants in the Loan Guaranty Program in order that they may decide whether or not to employ, or continue to employ or contract with a suspended individual or firm.

12. Identifying information and information concerning the performance of contractors, fee personnel and other program participants may be released to consumer reporting agencies in order that the VA may obtain information on their prior dealings with other Government agencies and so that other Government agencies may have the benefit of VA's experience with such parties.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records on fee personnel and program participants are kept on paper documents and maintained in file folders. The National Control List of suspended program participants is also maintained on magnetic disk at Central Office.

Retrievability:

All records are indexed or cross-indexed by the name of the individual or the firm.

Safeguards:

Access to VA working spaces and record file storage areas is restricted to VA employees on a "need to know" basis. Generally, VA file areas are locked after normal duty hours and are protected from outside acess by the Federal Protective Service or other VA security personnel. Sensitive files involving pending suspension or a legal action are stored in separate locked files.

Retention and disposal:

File cards and paper documents on suspended fee personnel and program participants are maintained until there has been a notification that the suspension has been terminated and the party reinstated into the VA Loan Guaranty Program, at which time these records are destroyed by VA regional offices or centers. The Master Control List records are retained indefinitely. Records on fee personnel and program participants are retained for various periods extending up to two years after all loans have been liquidated. Destruction of all the above records is accomplished by either shredding or burning.

System manager(s) and address:

Director, Loan Guaranty Service (26), VA Central Office, Washington, D.C. 20420.

Notification procedure:

An individual who wishes to determine whether a record is being maintained in this system under his or her name or other personal identifier or wants to determine the contents of such record should submit a written request or apply in person to the nearest Veterans Administration regional office or center. Address locations are listed in VA Appendix 1 at the end of this document. All inquiries must reasonably identify the relationship of the individual with the VA loan program. Inquiries should include the individual's name, address, firm represented, if any, and capacity in which the individual participates or participated in the VA loan program. However, some of the records in this system are exempt from the notification requirement under 5 U.S.C. 552a(k). To the extent that records in this system of records are not subject to exemption, they are subject to notification. A determination as to whether an exemption applies shall be made at the time a request for notification is received.

Record access procedures:

An individual seeks access to or wishes to contest records maintained under his or her name on this system may write, call or visit the nearest Veterans Administration regional office or center. Address locations are listed in VA Appendix 1 at the end of this document. However, some of the records in this system are exempt from the record access and contesting requirements under 5 U.S.C. 552a(k). To the extent that records in this system of records are not subject to exemption, they are subject to access and contest. A determination as to whether an exemption applies shall be made at the time a request for access or contest is received.

Contesting record procedures:

(See Records access procedures above.)

Record source categories:

The information and the records in this system are obtained from the applicant, lenders, brokers and builder/sellers, credit and financial reporting agencies, an applicant's credit sources, depository institutions and employers, independent auditors and accountants, hazard insurance companies, taxing authorities, title companies, fee personnel, business and professional organizations, other VA records, other Federal, State and local agencies, and other parties of interest involving VA-guaranteed, insured, vendee or direct loans or specially adapted housing.

Systems exempted from certain provisions of the act:

The Administrator of Veterans Affairs has exempted this system of records from the following provisions of the Privacy Act of 1974, as permitted by 5 U.S.C. 552a(k)(2) and (5).

5 U.S.C. 552a(c)(3)
5 U.S.C. 552a(d)
5 U.S.C. 552a(e)(1)
5 U.S.C. 552a(e)(4)(G), (H) and (I)
5 U.S.C. 552a(f)

Reasons for exemptions: The exemption of information and material in this system of records is necessary in order to accomplish the law enforcement functions of the Loan Guaranty Service to prevent subjects of internal audit investigations for potential fraud and abuse in the VA Loan Guaranty Program from frustrating the investigatory process, to fulfill commitments made to protect the confidentiality of sources, to maintain access to sources of information and to avoid endangering these sources. This information is also being exempted to maintain the confidentiality and integrity of material compiled solely for the purpose of determining the suitability, eligibility or the qualifications of prospective VA program participants.

18VA05

System name: Centralized Staffing System-VA

System location: Active records are located at the Veterans Administration (VA) Central Office, 810 Vermont Avenue, NW, Washington, D.C.20420. Inactive records will be stored at the same address. Information from these records is also maintained in automated files at the VA Central Office. Duplicate copies of certain manual and automated files are maintained only by the VA Central Office. No other VA facility has access to the Centralized Staffing System automated data.

Categories of individuals covered by the system: Employees in specified occupations and at specified grade levels leading to centralized managerial or executive positions.

Categories of records in the system: All categories of records may include names of individuals, social security numbers, dates of birth, inquiries or correspondence sent to the VA by individuals, information pertinent to decisions or responses given by the Administrator, Department Heads, Associate Deputy Administrators, and Staff Office Directors, and copies of the decisions or responses of the Administrator, Department Heads, Associate Deputy Administrators, and Staff Office Directors. The records will also include:

a. Records reflecting work experience, educational level, and specialized training obtained outside of the Federal service.

b. Records reflecting Federal service and documenting work experience and specialized education or training received while employed. Such records contain information about: Past and present positions held including grades, salaries, and duty station locaitons.

c. Records pertaining to annual performance evaluation and supervisory assessment of performance in response to specific knowledge, skills, abilities and other characteristics.

d. Records relating to incentive awards received while employed within or outside of the agency.

e. Records reflecting ratings assigned by a promotion panel to individuals participating in the system.

f. Records reflecting geographic mobility and mobility statements.

g. Records reflecting qualification determinations made on individuals participating in the system.

Authority for maintenance of the system: Title 5, United States Code, Sections 301 and 302.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

1. In the event that a system of records maintained by this agency to carry out its function indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use to the appropriate agency, whether Federal, State, local or foreign, charged with the responsibility of investigation or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto.

2. To provide statistical and other information in response to other legitimate and reasonable requests as approved by appropriate VA authorities, such as the release of information under the Freedom of Information Act.

3. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

4. Disclosure may be made to NARA (National Archives and Records Administration) GSA (General Services Administration) in records management inspections conducted under authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper documents, magnetic tape and disks.

Retrievability: Folder files are filed by name, automated records are indexed by social security number within station.

Safeguards:

1.Physical Security. The VA Central Office is protected from outside access by the Federal Protective Service. All file areas are restricted to authorized personnel on a need-to-know basis. Hard copy records pertaining to employees, or other sensitive records are stored in locked cabinets. Access to the VA Central Office computer rooms is restricted to authorized operating personnel through electronic locking devices. All other persons gaining access to the computer room are escorted by an individual with authorized access.

2. System Security: Access to computer programs is controlled at three levels: Programming, auditing, and operations. The CSS provides automated recognition of authorized users and their respective access restrictions through passwords. Passwords are changed periodically and are restricted to authorized individuals on a need-to-know basis for system access or security purposes. In addition to passwords, there are other levels of security assigned to system personnel only.

These levels are strictly monitored by the Systms Manager. The VA Central Office Systems Security Officer is assigned responsiblity for privacy-security measures, including review of violation logs and local control and distribution of passwords.

Retention and disposal: Folder files are destroyed immediately upon separation from VA. Folders are retained two years if employee withdraws from system and subsequently destroyed. Automated records are stored on disks for a period of ten years. Automated records in excess of ten years are then stored on remote disks separate from active disks. Other records are retained and disposed of in accordance with disposition authorization approved by the Achivist of the United States.

System manager(s) and address: Director, Office of Personnel, (054), VA Central Office, Washington, D.C. 20420.

Notification procedure:

Any individual who wishes to determine whether a record is being maintained in this system under his or her name, or who has a rouine inquiry concerning the status of his or her application under this system may contact the Director, Recruitment and Placement Service, Office of Personnel and Labor Relations, VA Central Office, Washington, DC 20420. Requests concerning the specific content of a record must be in writing or in person. Employee should provide full name, social security number, employing station and position title.

Record access procedures: Employee or representative designated in writing may contact their servicing personnel office in person or in writing for information on procedures for gaining access to his/her record.

Contesting record procedures: (See Record Access Procedures above.)

Record source categories: Employee, Supervisory officials (appraisals), Personnel and Accounting Pay System.

19VA53

System name:

Missing Veterans File—VA (19VA53).

System location:

Inspector General, Office of Policy, Planning and Resources (53) Washington, D.C. 20420.

Categories of individuals covered by the system:

The following categories of individuals will be covered by the system: Veterans (not including dependents) who cannot be located after a reasonable effort by the VA, but whose status must be determined in order for dependents to receive benefits.

Categories of records in the system:

Records (or information contained in records) in this system may include: (1) The standard missing veteran letter, issued monthly by the Inspector General's office to all VA facilities, which contains the name of a veteran who cannot be located by a Regional Office; (2) correspondence between the Regional Office and the Inspector General regarding Federal Bureau of Investigation (FBI) and U.S. Passport Office information concerning the status (alive or dead) and location of the veteran; (3) similar correspondence between the Inspector General and the FBI and U.S. Passport Office. Information in these records may include the veteran's name, birth date, claims folder number, social security number and last known address. Identifying information and a history of the case are maintained on a file card.

Authority for maintenance of the system:

Title 38, U.S.C. 210(c)(1).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

1. The record of an individual who is covered by this system may be disclosed to a member of Congress or staff person acting for the member when the member or staff person requests the record on behalf of and at the request of that individual.

2. Any information in this system may be disclosed to a Federal agency, upon its official request, to the extent that it is relevant and necessary to that agency's decision regarding: The hiring, retention or transfer of an employee; the issuance of a security clearance, the letting of a contract, or issuance or continuance of a license, grant or other benefit given by that agency. However, in accordance with an agreement with the U.S. Postal Service, disclosures to the U.S. Postal Service for decisions concerning the employment of veterans will only be made with the veteran's prior written consent.

3. Any information in this system may be disclosed to a State or local agency, upon its official request, to the extent that it is relevant and necessary to that agency's decision on: The hiring, transfer or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance or continuance of a license, grant or other benefit by that agency; provided, that if the information pertains to a veteran, the name and address of the veteran will not be disclosed unless the name and address is provided first by the requesting State or local agency.

4. Any information in this system, except the name and address of a veteran which is relevant to a suspected violation or reasonably imminent violation of law whether civil, criminal or regulatory in nature and whether arising by general or program statute or by regulation, rule or order issued pursuant thereto, may be disclosed to a Federal, State, local or foreign agency charged with the responsibility of investigating or prosecuting such violation, or charged with enforcing or implementing the statute, rule, regulation or order issued pursuant thereto.

5. The name and address of a veteran, which is relevant to a suspected violation or reasonably imminent violation of law, whether civil, criminal or regulatory in nature and whether arising by general or program statute or by regulation, rule or order issued pursuant thereto, may be disclosed to a Federal agency charged with the responsibility of investigating or prosecuting such violation, or charged with enforcing or implementing the statute, regulation, rule or order issued pursuant thereto, in response to its official request.

6. The name and address of a veteran, which is relevant to a suspected violation or reasonably imminent violation of law concerning public health or safety, whether civil, criminal or regulatory in nature and whether arising by general or program statute or by regulation, rule or order issued pursuant thereto, may be disclosed to any foreign, State or local governmental agency or instrumentality charged under applicable law with the protection of the public health or safety if a qualified representative of such organization, agency or instrumentality has made a written request that such name and address be provided for a purpose authorized by law.

7. Identifying information of a missing veteran may be disclosed to the FBI and U.S. Passport Office, upon their official request, as necessary to obtain status (alive or dead) and location to assist in the VA's decision concerning benefits for dependents.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records (or information from those records) are maintained in individual file folders and on file cards.

Retrievability:

Records are indexed by the veteran's last name.

Safeguards:

Access to the records and file cards is restricted to authorized personnel on a need-to-know basis. The file room and cabinets are locked after duty hours and the building is protected from unauthorized access by a protective Service.

Retention and disposal:

File folders are maintained by the Office of the Inspector General for six months after the veteran is located or declared dead. Folders for those veterans declared missing for seven or more years are maintained for one year following such a declaration. The folders are then forwarded to the VACO Records Management Section where they are maintained for five years and then destroyed by shredding. File cards are maintained by the Inspector General for 15 years.

System manager(s) and address:

Assistant Inspector General for Policy, Planning and Resources (53) VA Central Office, Washington, D.C. 20420.

Notification procedure:

An individual who wishes to determine whether a record is being maintained by the Assistant Inspector General for Policy, Planning and Resources (53) under his or her name in the system or wishes to determine the contents of such records should submit written request or apply in person to the Assistant Inspector General for Policy, Planning and Resources (53).

Record access procedures:

An individual who seeks access to or wishes to contest records maintained under his or her name in his system may write, call or visit the Assistant Inspector General for Policy, Planning and Resources (53).

Contesting record procedures:

(See Records access procedures above.)

Record source categories:

Information is obtained from the Federal Bureau of Investigation, U.S. Passport Office, and VA records.

20VA138

System name: Motor Vehicle Operator Accident Records-VA.

System location: Records are maintained at each VA Health Care Facility, where the authorization to operate a Government-owned vehicle was issued, or at the facility where an accident occurred. Address locations are listed in VA Appendix 1 at the end of this document.

Categories of individuals covered by the system: VA employees authorized to operate a Government-owned vehicle. Individuals involved in a motor vehicle accident at a VA facility.

Categories of records in the system: Driving tests, road tests, accident reports, physical fitness reports. Reports and records documenting the facts, circumstances and evidence surrounding a motor vehicle accident.

Authority for maintenance of the system: Title 38, United States Code, Chapter 3, Section 210(c)(1); Title 38, United States Code, Chapter 57, Section 3311.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

1. To issue or remove a permit to operate a Governmental vehicle by the General Service Administration to insure against the operation of a GSA vehicle by a driver who is not qualified or who is a poor risk.

2. Transfer of required information to attorneys representing parties involved in litigation of motor vehicle accidents to assist attorneys in representing their clients.

3. In the event that a system of records maintained by this agency to carry out its functions indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, State, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto.

4. A record from this system of records may be disclosed to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that he information is relevant and necessary to the requesting agency's decision on the matter.

5. A record from this system of records may be disclosed as a 'routine use' to a Federal, State or local agency maintaining civil, criminal or other relevant information, such as current licenses, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant or other health, educational or welfare benefits.

6. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

7. Disclosure may be made to NARA (National Archives and Records Administration) GSA (General Services Administration) in records management inspections conducted under authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: (a) Paper documents. (b) Photographs.

Retrievability: (a) The operator permits are filed alphabetically by name of operator.

Safeguards: Physical Security: Access to VA working space and medical record storage areas is restricted to VA employees on a 'need to know' basis. Generally, VA file areas are locked after normal duty hours and are protected from outside access by the Federal Protective Service. Employee file records and file records of public figures or otherwise sensitive medical record files are stored in separate locked files. Strict control measures are enforced to ensure that disclosure is limited to a 'need to know' basis.

Retention and disposal: (a) The operators permit file is disposed of three (3) years after separation or three (3) years after cancellation of authorization to operate, whichever is earlier. (b) The accident files are disposed of two (2) years after last activity. (c) Destruction of records is accomplished by burning or shredding.

System manager(s) and address: DIRECTOR, ENGINEERING SERVICE (138), VA Central Office, Washington, D.C. 20420.

Notification procedure: Individuals seeking information concerning the existence or content of a record pertaining to themselves must submit a written request or apply in person to the VA facility where the permit was issued or the accident occurred. All inquiries must reasonably identify the portion of the record system desired, i.e., Driver permit, or accident report. Inquiries should include the individual's full name, dates of employment or approximate date of accident, vehicle license number, description of the vehicles involved in the accident.

Record access procedures: Individuals or duly authorized representatives seeking information regarding access to and contesting of these records may write, call or visit the VA facility where the permit was issued or accident occurred.

Contesting record procedures: (See Record Access Procedures above.)

Record source categories: 1. Employee, 2. Private citizens involved in accidents, 3. Federal, State and local law enforcement agencies, and 4. Private insurance companies.

22VA136

System name: Patient and Employee Infectious Disease Records - VA.

System location: Records are maintained at the Veterans Administration Data Processing Center at Los Angeles, California; and at the VA Hospital at Palo Alto, California. Address locations are listed in the VA Appendix at the end of this document.

Categories of individuals covered by the system: Patients and employees at Va Hospital at Palo Alto, California.

Categories of records in the system: Personal identification information; particular and general infection sites; antibiotic sensitivities.

Authority for maintenance of the system: Title 38, United States Code, Chapter 3, Subchapter II. Section 210; and Chapter 17, Subchapter II, Sections 610, 611, and 612.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

1. To provide statistical and other information in response to other legitimate and reasonable requests as approved by appropriate VA authorities, such as the release of information under the Freedom of Information Act.

2. In the event that a system of records maintained by this agency to carry out its functions indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, State, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto.

3. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that invidivual.

4. A record containing the name(s) and address(es) of present or former members of the armed services and/or their dependents may be released from this system of records under certain circumstances: (1) To any nonprofit organization if the release is directly connected with the conduct of programs and the utilization of benefits under Title 38, and (2) to any criminal or civil law enforcement governmental agency or instrumentality charged under applicable law with the protection of the public health or safety if a qualified representative of such organization, agency or instrumentality has made a written request that such name(s) or address(es) be provided for a purpose authorized by law; provided, further, that the record(s) will not be used for any purpose other than that stated in the request and that the organization, agency or instrumentality is aware of the penalty provision of 38 U.S.C. 3301(f).

5. Disclosure may be made to NARA (National Archives and Records Administration) GSA (General Services Administration) in records management inspections conducted under authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Magnetic tape.

Retrievability: Indexed by name and social security number.

Safeguards: Physical Security: Access to VA working and storage areas is restricted to VA employees on a 'need to know' basis. Generally, VA file areas are locked after normal duty hours and are protected from outside access by the Federal Protective Service. Strict control measures are enforced to ensure that disclosure is limited to a 'need to know' basis.

Retention and disposal: Records are retained indefinitely.

System manager(s) and address: CHIEF OF STAFF (11), VA Hospital, 3801 Miranda Avenue, Palo Alto, California 94304.

Notification procedure: An individual seeking information concerning the existence and contents of a record pertaining to himself should submit a written request or apply in person to the nearest VA health care facility (136). All inquiries must reasonably identify the system of records involved. Inquiries should include the individual's full name, social security number, date of birth, and approximate date(s) of care or employment at Palo Alto.

Record access procedures: Veterans, beneficiaries, service personnel or duly authorized representatives seeking information regarding access to and contesting of Patient and Employee Infectious Disease Records-VA, may contact the System Manager of this system.

Contesting record procedures: (See Record Access Procedures above.)

Record source categories: Patient Consolidated Medical Record portion of the 'Patient Medical Records-VA' and personnel medical screening records created due to epidemic, etc.

23VA136

System name: Patient Fee Basis Medical and Pharmacy Records—VA.

System location: records are maintained at the VA Data Processing Center at Austin, Texas, and VA health care facilities. Address locations are listed in VA Appendix 1: Addresses of Veterans Administration Facilities.

Categories of individuals covered by the system: Individuals furnished medical and pharmacy services authorized by the Veterans Administration on a fee-for-service basis.

Categories of records in the system: Personal identification information on veteran and physician; date of visit; type of service; charge for service; pharmacy dispensing; and travel pay.

Authority for maintenance of the system: Title 38, United States Code, Chapter 17, Subchapter I, Section 601; Chapter 3, Subchapter II, Section 213.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: 1. To provide statistical and other information in response to other legitimate and reasonable requests as approved by appropriate VA authorities, such as the release of information under the Freedom of Information Act.

2. In the event that a system of records maintained by this agency to carry out its functions indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule, or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, State, local, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation, or order issued pursuant thereto.

3. A record from this system of records may be disclosed as a 'routine use' to a Federal, State, or local government agency, or to a non-governmental organization maintaining civil, criminal or other relevant information, such as current licenses, registration or certification, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee, the use of an individual as a consultant, attending or to provide fee basis health care, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant or other health, educational or welfare benefits. Any information in this system also may be disclosed to any of the above-listed governmental organizations as part of a series of ongoing computer matches to determine if VA health care practitioners and private practitioners used by the VA hold current, unrestricted licenses, or are currently registered in a State, and are board certified in their specialty, if any. These computer matches are performed pursuant to the VA Inspector General's authority under Pub. L. 95-452, section 4(a), to detect and prevent fraud and abuse.

4. A record from this system of records may be disclosed to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter.

5. To the Treasury Department to facilitate payments to physicians, clinics, and pharmacies for reimbursement of services rendered.

6. To the Treasury Department to facilitate payments to veterans for reimbursements of travel expenses.

7. Disclosure may be made to a congressinal office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

8. Disclosure may be made to NARA (National Archives and Records Administration), GSA (General Services Administration) in records management inspections conducted under authority of 44 U.S.C. 2904 and 2906.

9. Records from this system of records may be disclosed to a Federal Agency or to a State or local government licensing board and/or to the Federation of State Medical Boards or a similar nongovernment entity which maintains records concerning individuals' employment histories or concerning the issuance, retention or revocation of licenses, certifications, or registration necessary to practice an occupation, profession or specialty , in order for the Agency to obtain information relevant to an Agency decision concerning the hiring, retention or termination of an employee or to inform a Federal Agency or licensing boards or the appropriate nongovernment entities about the health care practices of a terminated, resigned or retired health care employee whose professional health care activity so significantly failed to conform to generally accepted standards of professional medical practice as to raise reasonable concern for the health and safety of patients in the private sector or from another Federal Agency. These records may also be disclosed as part of an ongoing computer matching program to accomplish these purposes.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: (a) Paper documents at VA Health Care Facilities. (b) Magnetic tape and disk at the data processing center.

Retrievability: Indexed by veteran's social security number and physician's, or other health care provider's social security number or, if social security number is unavailable, taxpayer's identification number or DUNS (Dun and Bradstreet Uniform Numbering System) number.

Safeguards: Access to authorized VA Data Processing Center is restricted to authorized VA employees and authorized representatives of vendors. Access to the computer rooms within the data processing center is further restricted to especially authorized VA personnel and vendor personnel. Protection is provided by alarm systems as well as guard service.

Exchange of data from the system between the data processing center and the VA health care facilities is by use of the ARS telecommunications network. Access to the ARS network equipment is restricted since it is in the communications center of each facility. Strict control measures are enforced to insure that disclosure is limited to a "need to know" basis.

At VA health care facilities access to working and storage areas is restricted to VA employees on a "need to know" basis. Generally, VA file areas are locked after normal duty hours and are protected from outside access by the Federal Protective Service. Strict control measures are enforced to insure that disclosure is limited to a "need to know" basis.

Retention and disposal: Paper documents at the VA health care facility authorizing the fee basis care are maintained in the Patient Consilidated Medical Record portion of the VA Medical Records system. These consolidated medical records, in turn are retained at the VA health care facility for a minimum of three (3) years after the last episode of care. After the third year of inactivity the paper record is screened, and vital documents are removed and retained at the facility indefinitely; the remaining portion of the record is transferred to the Federal Records Center for twelve (12) more years of storage.

Working magnetic tapes and disks at the data processing center are disposed of as soon as the purpose for which these were established has been served. Magnetic tapes and disks containing historical and statistical data are retained at the data processing center and are disposed of after a five (5) year retention period.

System manager(s) and address: Director, Medical Administration Service (136), VA Central Office, Washington, D.C. 20420.

Notification procedure: An individual seeking information concerning the existence and contents of a record pertaining to himself or herself should submit a written request or apply in person to the nearest VA health care facility (136). All inquiries must reasonably identify the system of records involved. Inquiries should include the individual's full name, social security number, and approximate date(s) of services rendered or received.

Record access procedures: Veterans, beneficiaries, service personnel or duly authorized representatives seeking information regarding access to and contesting of Patient Fee Basis Medical and Pharmacy System-VA records may contact the Medical Administration Officer at the nearest VA health care facility.

Contesting record procedures: (See Record Access Procedures above.)

Record source categories: Patient Consolidated Medical Record portion of the VA Medical Records System.

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System name:

Patient Medical Records-VA.

System location:

Paper records are maintained at the VA health care facilities and Federal record centers. Paper record abstract information is stored in automated storage media records that are maintained at the health care facilities, VA Central Office, and the VA Data Processing Center at Austin, Texas. Active paper records are generally maintained by the last health care facility where care was rendered.

Categories of individuals covered by the system:

1. Veterans who have applied for health care services under Title 38, United States Code, Chapter 17, and in certain cases members of their immediate families.

2. Survivors and dependents of certain veterans who have applied for health care services under Title 38, United States Code, Chapter 17.

3. Beneficiaries of other Federal agencies.

4. Individuals examined or treated under contract or resource sharing agreements.

5. Individuals examined or treated for research or donor purposes.

6. Individuals who have applied for Title 38 benefits but who do not meet the requirements under Title 38 to receive such benefits.

7. Individuals who were provided medical care under emergency conditions for humanitarian reasons.

Categories of records in the system:

The patient medical record is a consolidated health record (CHR) which may include an administrative record folder (e.g., medical benefit application and eligibility information, correspondence about the individual), medical record folder (a cumulative account of sociological, diagnostic, counseling, rehabilitation, drug and alcohol, dietetic, medical, surgical, dental, psychological, and/or psychiatric information compiled by VA professional staff and non-VA health care providers), and subsidiary record information (e.g., tumor registry, dental, prosthetic, pharmacy, nuclear medicine, dietetic, social work, clinical laboratory, radiology, and patient scheduling information). The consolidated health record may include identifying information (e.g., name, address, social security number), military service information (e.g., dates, branch and character of service, medical information), family information (e.g., next of kin and person to notify in emergency address information, family medical history information), employment information (e.g., occupation, employer name and address, income information), third-party health plan contract information (e.g., health insurance carrier name and address, policy number, amounts billed and paid) and information pertaining to the individual's medical, dental, and/or psychological examination, evaluation, and/or treatment (e.g., information related to diagnostic, therapeutic, and special examinations, operations, medical history, medications, treatment plan and progress, consultations). Patient medical record abstract information is maintained in auxiliary automated records (e.g., Patient Treatment File (data from inpatient episodes of care), Agent Orange Registry (veterans examined for Agent Orange exposure), Former Prisoner of War Tracking System (former POW's who have received a medical evaluation), outpatient visit file (data relating to outpatient visits), Annual Patient Census File (data on a cross-section of patients in VA health care facilities), cardiac pacemaker registry (patients implanted with a cardiac pacemaker), Hospital Based Home Care Program (patients provided medical services at home)) which produce various management and patient follow-up reports, used for epidemiological research, and other health care related studies, for resource allocation and planning, and to provide clinical and administrative support to patient medical care.

A perpetual medical record is established and maintained at the health care facility when a consolidated health record is transferred to a Federal record center for storage. The perpetual medical record consists of the application for medical benefits, hospital summary, operation report, and tissue examination for all periods of care.

Authority for maintenance of the system:

Title 38, United States Code, Chapter 3, Section 210(c)(1), and Chapter 17, Section 621(1).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

1. Disclosure of medical record data as deemed necessary and proper to Federal, State and local government agencies and national health organizations in order to assist in the development of programs that will be beneficial to claimants and to protect their rights under law and assure that they are receiving all benefits to which they are entitled.

2. Disclosure of medical care furnished and the period of care, as deemed necessary and proper to accredited service organization representatives and other approved agents, attorneys, and insurance companies to aid claimants in the preparation, presentation and prosecution of claims under laws administered by the VA, State or local agencies.

3. In the event that a system of records maintained by this agency to carry out its functions indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, State, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto.

4. A record from this system of records may be disclosed to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter.

5. A record from this system of records may be disclosed as a 'routine use' to a Federal, State or local agency maintaining civil, criminal or other relevant information, such as current licenses, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant or other health, educational or welfare benefit.

6. Disclosure of information from this system of records amy be made by appropriate VA personnel to the extent necessary and on a need-to-know basis consistent with good medical-ethical practices to the next of kin and/or the person(s) with whom the patient has a meaningful relationship.

7. In response to an inquiry about a named individual from a member of the general public, disclosure of information may be made from this system of records to establish the patient's presence (and location when needed for visitation purposes) in a medical facility, to report the patient's general condition while hospitalized (e.g., satisfactory, seriously ill), or to report the amount of monthly VA monetary benefits being received by the patient.

8. Relevant information from this system of records may be disclosed as a routine use: In the course of presenting evidence to a court, magistrate or administrative tribunal, in matters of guardianship, inquests and commitments; to private attorneys representing veterans rated incompetent in conjunction with issuance of Certificaes of Incompetency; and to probation and parole officers in connection with Court required duties.

9. Relevant information from this system of records, including the nature and amount of a financial obligation, may be disclosed as a routine use, in order to assist the Veterans Administration in the collection of unpaid financial obligations owed the VA, to a debtor's employing agency or commanding officer so that the debtor-employee may be counseled by his or her Federal employer or commanding officer. This purpose is consistent with 5 U.S.C. 5514, 4 CFR 102.5, and section 206 of Executive Order 11222 of May 8, 1965 (30 FR 6469).

10. Release of information to a guardian ad litem in relation to his or her representation of a claimant in any legal proceeding.

11. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

12. A record containing the name(s) and address(es) of present or former members of the armed services and/or their dependents may be released from this system of records under certain circumstances: (1) To any nonprofit organization if the release is directly connected with the conduct of programs and the utilization of benefits under Title 38, and (2) to any criminal or civil law enforcement governmental agency or instrumentality charged under applicable law with the protection of the public health or safety if a qualified representative of such organization, agency or instrumentality has made a written request that such name(s) or address(es) be provided for a purpose authorized by law; provided, further, that the record(s) will not be used for any purpose other than that stated in the request and that organization, agency or instrumentality is aware of the penalty provision of 38 U.S.C. 3301(f).

13. For the purpose of justifying emergency leave, disclosure to the Red Cross of the nature of the patient's illness, probable prognosis, estimated life expectancy and need for the presence of the related service member.

14. Any relevant information may be disclosed to attorney's, insurance companies, employers, third parties liable or potentially liable under health plan contracts, and to courts, boards, or commissions;

such disclosuresmay be made only to the extent necessary to aid the Veterans Administration in preparation, presentation, and prosecution of claims authorized under Federal, State, or local laws, and regulations promulgated thereunder.

15. Disclosure of medical record data, excluding name and address, (unless name and address is furnished by the requester) for research purposes determined to be necessary and proper, to epidemiological and other research facilities approved by the Chief Medical Director.

16. In order to conduct Federal research necessary to accomplish a statutory purpose of an agency, at the written request of the head of the agency, or designee of the head of that agency, the name(s) and address(s) of present or former personnel of the Armed Services and/or their dependents may be disclosed (a) to a Federal department or agency or (b) directly to a contractor of a Federal department or agency. When a disclosure of this information is to be made directly to the contractor, the VA may impose applicable conditions on the department, agency and/or contractor to insure the appropriateness of the disclosure to the contractor.

17. Any relevant information may be disclosed to the Department of Justice and United States Attorneys in defense or prosecution of litigation involving the United States, and to Federal agencies upon their request in connection with review of administrative tort claims filed under the Federal Tort Claims Act, 28 U.S.C. 2672.

18. Disclosure of information from the record of an individual may be made by the examining VA physician to a non-VA physician, when that non-VA physician has referred the individual to the VA for medical care.

19. Disclosure may be made to NARA (National Archives and Records Administration) GSA (General Services Administration) in records management inspections conducted under authority of 44 U.S.C. 2904 and 2906.

20. Any medical data concerning a nonjudicially declared incompetent patient may be disclosed by appropriate VA personnel to a third party upon the written authorization of the patient's next of kin in order for the patient, or, consistent with the best interest of the patient, a member of the patient's family, to receive a benefit to which the patient or family member is entitled, or, to arrange for the patient's discharge from a VA medical facility. Sufficient data to make an informed determination will be made available to such next of kin by appropriate VA personnel. If the patient's next of kin are not reasonably accessible, disclosure of medical data for these purposes may be made by the Chief of Staff, Director, or designee of the VA medical facility where the records are maintained.

21. Any information in this system of records, including personal information obtained from other Federal agencies through computer matching programs, may be disclosed for the purposes identified below to any third party, except consumer reporting agencies, in connection with any proceeding for the collection of an amount owed to the United States by virtue of a person's participation in any benefit program administered by the Veterans Administration. Information may be disclosed under this routine use only to the extent that it is reasonably necessary for the following purposes: (a) To assist the VA in collection of title 38 overpayments, overdue indebtedness, and/or costs of services provided individuals not entitled to such services; and (b) to initiate civil or criminal legal actions for collecting amounts owed to the United States and/or for prosecuting individuals who willfully or fraudulently obtain title 38 benefits without entitlement. This disclosure is consistent with 38 U.S.C. 3301(b)(6).

22. The name and address of a veteran, other information as is reasonably necessary to identify such veteran, including personal information obtained from other Federal agencies through computer matching programs, and any information concerning the veteran's indebtedness to the United States by virtue of the person's participation in a benefits program administered by the VA may be disclosed to a consumer reporting agency for purposes of assisting in the collection of such indebtedness, provided that the provisions of 38 U.S.C. 3301(g)(4) have been met.

23. Any information in this system may be disclosed to a Federal grand jury, a Federal court or a party in litigation, or a Federal agency or party to an administrative proceeding being conducted by a Federal agency, in order for the VA to respond to and comply with the issuance of a Federal subpoena.

24. Any information in this system may be disclosed to as State or municipal grand jury, a State or municipal court or a party in litigation, or to a State or municipal administrative agency functioning in a quasi-judicial capacity or a party to a proceeding being conducted by such agency, in order for the VA to respond to and comply with the issuance of a State or municipal subpoena; provided, that any disclosure of claimant information made under this routine use must comply with the provisions of 38 CFR 1.511.

25. The individual's name, address, social security number and amount (excluding interest) of any indebtedness in an amount of 600 dollars or more which is waived under 38 U.S.C. 3102, compromised under 4 CFR Part 103, otherwise forgiven, or for which the applicable statute of limitations for enforcing collection has expired, may be disclosed to the Treasury Department, Internal Revenue Service, as a report of income under 26 U.S.C. 61(a)(12).

26. Records from this system of records may be disclosed to a Federal Agency or to a State or local government licensing board and/or to the Federation of State Medical Boards or a similar nongovernment entity which maintains records concerning individuals' employment histories or concerning the issuance, retention or revocation of licenses, certifications, or registration necessary to practice an occupation, profession or specialty , in order for the Agency to obtain information relevant to an Agency decision concerning the hiring, retention or termination of an employee or to inform a Federal Agency or licensing boards or the appropriate nongovernment entities about the health care practices of a terminated, resigned or retired health care employee whose professional health care activity so significantly failed to conform to generally accepted standards of professional medical practice as to raise reasonable concern for the health and safety of patients in the private sector or from another Federal Agency. These records may also be disclosed as part of an ongoing computer matching program to accomplish these purposes.

27. In the case of any record which is maintained in connection with the performance of any program or activity relating to infection with the Human Immunodeficiency Virus (HIV), information may be disclosed to a Federal, State, or local public health authority that is charged under Federal or State law with the protection of the public health, and to which Federal or State law requires disclosure of such record, if a qualified representative of such authority has made a written request that such record be provided as required pursuant to such law for a purpose authorized by such law. The person to whom information is disclosed should be advised that they may not redisclose or use such information for a purpose other than that for which the disclosure was made (38 U.S.C. 4132(b)(2)(C). The disclosure of patient name and address under this routine use must comply with the provisions of 38 U.S.C. 3301(f)(2).

28. Information indicating that a patient or subject is infected with the Human Immunodeficiency Virus (HIV) may be disclosed by a physician or professional counselor to the spouse of the patient or subject or to an individual whom the patient or subject has, during the process of professional counseling or of testing to determine whether the patient or subject is infected with the virus, identified as being a sexual partner of the patient or subject. Disclosures may be made only if the physician or counselor, after making reasonable efforts to counsel and encourage the patient or subject to provide the information to the spouse or sexual partner and that the disclosure is necessary to protect the health of the spouse or sexual partner. Such disclosures should, to the extent feasible, be made by the patient's or subject's treating physician or professional counselor. Before any patient or subject gives consent to being tested for the HIV, as part of pre-testing counseling, the patient or subject must be informed fully about these notification procedures.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records (or information contained in records) are maintained on paper documents in the consolidated health record at the last health care facility where care was rendered and at Federal record centers. Subsidiary record information is stored in the consolidated health record and at the various respective services at the health care facility (e.g., Pharmacy Service, Clinical Laboratory Service, Radiology Service). Information on automated storage media (e.g., microfilm, microfiche, magnetic tape and magnetic disks) are stored at the health care facilities (includes record information stored in the Decentralized Hospital Computer Program DHCP) system), VA Central Office, and the VA Data Processing Center at Austin, Texas.

Retrievability:

Patient medical record folders are indexed by name and social security number and maintained in terminal digit order. Automated records are indexed by name and social security number.

Safeguards:

1. Access to working spaces and patient medical record storage areas in VA health care facilities is restricted to VA employees on a "need-to-know" basis. Generally, file areas are locked after normal duty hours and the health care facilities are protected from outside access by the Federal Protective Service or other security personnel. Access to patient medical records is restricted to VA employees who have a need for the information in the performance of their official duties. Employee patient medical records and records of public figures or otherwise sensitive patient medical records are generally

stored in separate locked files. Strict control measures are enforced to ensure that access to and disclosures from these patient medical records are limited to a "need-to-know" basis.

2. Access to the DHCP computer rooms within the health care facilities is generally limited by appropriate locking devices and restricted to authorized VA employees and vendor personnel. ADP peripheral devices are generally placed in secure areas (areas that are locked or have limited access) or are otherwise protected. Information in the DHCP system may be accessed by authorized VA employees. Access to file information is controlled at two levels; the system recognizes authorized employees by a series of individually unique passwords/codes as a part of each data message, and the employees are limited to only that information in the file which is needed in the performance of their official duties.

3. Access to the VA data processing center is generally restricted to center employees, custodial personnel, Federal Protective Service and other security personnel. Access to computer rooms is restricted to authorized operational personnel through electronic locking devices. All other persons gaining access to computer rooms are escorted.

4. Access to records in VA Central Office is only authorized to VA personnel on a "need-to-know" basis. Records are maintained in manned rooms during working hours. During nonworking hours, there is limited access to the building with visitor control by security personnel.

Retention and disposal:

Individual consolidated health records are retained at each health care facility for a minimum of three (3) years after the last episode of care. After the third year of inactivity the paper record is screened, and vital documents are removed and retained for an additional fifty (50) years at the facility as a perpetual medical record. The remaining portion of the record is transferred to the nearest Federal Record Center for twelve (12) more years of storage. (Note: All medical records of patients have been under moratorium against destruction since 1979. A revised record disposal appraisal for VA medical records is under review by the National Archives and Records Administration.) Automated storage media is retained and disposed of in accordance with disposition authorization approved by the Archivist of the United States.

System manager(s) and address: DIRECTOR, MEDICAL ADMINISTRATION SERVICE (136), VA Central Office, Washington, D.C. 20420.

Notification procedure:

An individual who wishes to determine whether a record is being maintained in this system under his or her name or other personal identifier, or wants to determine the contents of such record, should submit a written request or apply in person to the last VA health care facility where care was rendered. Addresses of VA health care facilities may be found in VA Appendix 1 at the end of this document. All inquiries must reasonably identify the portion of the medical record involved and the place and approximate date that medical care was provided. Inquiries should include the patient's full name, social security number and return address.

Record access procedures:

Individuals seeking information regarding access to and contesting of VA medical records may write, call or visit the last VA facility where medical care was provided.

Contesting record procedures: (See Record Access Procedures above.)

Record source categories:

The patient, family members or accredited representative, and friends, employers or other third parties when otherwise unobtainable from the patient or family; military service departments; health insurance carriers; private medical facilities and health care professionals; State and local agencies; other Federal agencies; VA regional offices; Department of Veterans Benefits automated record systems; and, various automated systems providing clinical and managerial support at VA health care facilities.

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System name: Personnel and Accounting Pay System-VA.

System location: VA Data Processing Center, Austin, Texas; the field stations where the employee is on duty.

Categories of individuals covered by the system: All VA employees (including Consultants and Attendings).

Categories of records in the system:

PAID Master Records, Record of Salary Payments, Time and Attendance Report File, Earnings and Leave Statement, Individual Retirement Record, Payroll Folder Files, Personnel Action Records and Basic Authorizations, Training and Incentive Awards Record, Carpool and Ridesharing Program Records (i.e., name, address, office location at the facility).

Authority for maintenance of the system:

Statutory provisions, Executive Order 12191 (45 FR 7997 (Feb. 6, 1980)) and other Executive Orders of the President, and rules and regulations of certain Federal regulatory departments and agencies.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

1. To produce and maintain the personnel and payroll records, including reports and statistical data, of VA employees for use by Federal, State and local agencies and organizations authorized by law or regulation to have access to such information.

2. Transfer payroll information to complete payroll checks, bond deductions and withholding taxes to the Treasury Department in order to effect delivery of payroll checks and saving bonds to VA employees.

3. Transfer payroll information to the Social Security Administration in order to credit quarterly posting for social security.

4. Transfer withholding tax information to State and/or city governments to effect payment of taxes to city and/or State governments and to create W-2's.

5. Transfer retirement record information to the Civil Service Commission in order to provide a history of service and retirement deductions.

6. Transfer employee Payroll Folder File, Record of Salary Payments, and Time and Attendance Reports to the National Archives and Records Administration in order to provide a history of all salaries, deductions and time and leave.

7. Transfer unemployment compensation information to State agencies to compile unemployment compensation data.

8. Transfer personnel data to the Civil Service Commission in order to provide the Civil Service Commission with a readily accessible major data source for meeting work force information needs of the Commission, national planning agencies, the Congress, the White House and the public.

9. In the event that a system of records maintained by this agency to carry out its functions indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, State, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto.

10. A record from this system of records may be disclosed as a "routine use" to a Federal, State or local agency, or to a non-governmental organization maintaining civil, criminal or other relevant information, such as current licenses, registration or certification, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee, the use of an individual as a consultant, attending or to provide fee basis health care, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant or other benefits.These records may also be disclosed as part of an ongoing computer matching program to accomplish these purposes.

11. A record from this system of records may be disclosed to a Federal, State or local agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter.

12. Relevant information from this system of records, including the nature and amount of a financial obligation, may be disclosed as a routine use, in order to assist the Veterans Administration in the collection of unpaid financial obligations owed the VA, to a debtor's employing agency or commanding officer so that the debtor-employee may be counseled by his or her Federal employer or commanding officer. This purpose is consistent with 5 U.S.C. 5514, 4 CFR 102.5 and section 206 of Executive Order 11222 of May 8, 1965 (30 FR 6469).

13. To provide State and local taxing authorities employee names, home addresses, social security numbers, gross compensation paid for a given period, taxes withheld for the benefit of the recipient jurisdiction or other jurisdictions, according to the provisions of State and/or local law.

14. Relevant information from this system of records, including available identifying data regarding the debtor, such as name of

debtor, last known address of debtor, name of debtor's spouse, social security account number of debtor, VA insurance number, VA loan number, VA claim number, place of birth and date of birth of debtor, name and address of debtor's employer or firm and dates of employment, may be disclosed to other Federal agencies, State probate courts, State drivers license bureaus, and State automobile title and license bureau as a routine use in order to obtain current address, locator and credit report assistance in the collection of unpaid financial obligations owed the U.S. This purpose is consistent with the Federal Claims Collection Act of 1966 (Pub. L. 89-508, 31 U.S.C. 951-953) and 4 CFR Part 101-105.

15. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

16. Disclosure may be made to NARA (National Archives and Records Administration) GSA (General Services Administration) in records management inspections conducted under authority of 44 U.S.C. 2904 and 2906.

17. The name and general geographic location where an employee resides (not specific home address) may be disclosed by the facility Employee Transportation Coordinator to other employees in order to promote the car/vanpooling and ridesharing program established in accordance with Executive Order 12191 and to enable the VA to verify membership in car and vanpools.

18. Any information in this system may be disclosed to a Federal grand jury, a Federal court or a party in litigation, or a Federal agency or party to an administrative proceeding being conducted by a Federal agency, in order for the VA to respond to and comply with the issuance of a Federal subpoena.

19. Any information in this system may be disclosed to a State or municipal grand jury, a State or municipal court or a party in litigation, or to a State or municipal administrative agency functioning in a quasi-judicial capacity or a party to a proceeding being conducted by such agency, in order for the VA to respond to and comply with the issuance of a State or municipal subpoena.

20. The name of the employee, social security number, beginning and ending pay period dates, the number of hours worked during a given pay period, the gross salary and duty station information may be disclosed to the Department of Labor (DOL) Inspector General's office (IG) in order for the DOL IG to conduct a computer match of these records with various state unemployment benefit files. The purpose of this computer matching program will be to determine if Federal employees have been properly drawing state unemployment benefit payments. These payments are ultimately reimbursed to the state by the Federal Government.

21. Relevant information from this system of records concerning full time VA physicians and dentists, including name, social security number, and date of birth, may be disclosed to Federal, State and local agencies, and to independent insurance carriers (processors or medical claims), for the purpose of conducting computer matches to determine if their outside professional income is accurately reported and obtained only from santioned professional activities.

22. Records from this system of records may be disclosed to a Federal Agency or to a State or local government licensing board and/or to the Federation of State Medical Boards or a similar nongovernment entity which maintains records concerning individuals' employment histories or concerning the issuance, retention or revocation of licenses, certifications, or registration necessary to practice an occupation, profession or specialty , in order for the Agency to obtain information relevant to an Agency decision concerning the hiring, retention or termination of an employee or to inform a Federal Agency or licensing boards or the appropriate nongovernment entities about the health care practices of a terminated, resigned or retired health care employee whose professional health care activity so significantly failed to conform to generally accepted standards of professional medical practice as to raise reasonable concern for the health and safety of patients in the private sector or from another Federal Agency. These records may also be disclosed as part of an ongoing computer matching program to accomplish these purposes.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper documents, magnetic tape.

Retrievability: VA personnel records are filed by name. Automated data processing records are indexed by social security number within station.

Safeguards: Physical Security: Access to Payroll Folder Files is restricted to fiscal officers and employees of the Payroll Section. Access to Official Personnel Folder Files is restricted to personnel officers and employees authorized access under Federal Personnel Manual and VA Manual, MP-5, Personnel Policy. Personnel and Fiscal offices are locked after working hours and are protected from outside access by the Federal Protective Service and other security officers. Access to data by means of on-line (query) data base or down-loading with a Decentralizing Hospital Computer Program (DHCP) is restricted to authorized employees by means of unique user identification and passwords. User identifications and passwords will be seven (7) characters in length. These codes are to be mailed in a sealed envelope to an employee's business address and will be opened only by the addressed employee. No user identification or password will be given to an employee except those authorized access under Federal Personnel Manual and VA Manual, MP-5, Personnel Policy.

Retention and disposal: Payroll Folder File - Retired to the National Personnel Records Center three years after close of calendar year following transfer or separation of employee and after audit clearance of related pay records - disposed of 56 years after date of last entry on card. Official Personnel Service Folder File - Retired to the National Personnel Records Center 30 days after separation - disposed of 75 years after birth of employee.

System manager(s) and address:

Director, Office of Budget and Finance (Controller)(04), VA Central Office, Washington, D.C. 20420.

Notification procedure: Individuals seeking information concerning the existence of a record pertaining to themselves must submit a written request to the VA station of employment. Addresses of stations may be found in VA Appendix 1 at the end of this document. Inquiries should include the employee's full name, social security number, office and return address.

Record access procedures: Employees or representatives designated in writing seeking information regarding access to and contesting of VA records may write, call or visit the VA office of employment.

Contesting record procedures: (See Record Access Procedures above.)

Record source categories: Personnel records information received from employees, VA officials, other Government and State Agencies.

28VA119

System name: Personnel Registration under Controlled Substance Act-VA.

System location: Records are maintained at each of the Veterans Administration health care facilities. Address locations are listed in VA Appendix 1 at the end of this document.

Categories of individuals covered by the system: Health practitioners authorized to prescribe drugs under the Controlled Substance Act.

Categories of records in the system: Registration Card Record containing the information necessary for verification of employee control under the Controlled Substance Act. The employee's name, social security number, signature and his Drug Enforcement Agency control number, assigned by either the State or the Veterans Administration, depending on local policy as required by the Act.

Authority for maintenance of the system: Title 38, United States Code, Chapter 3, Section 210(c)(1), Pub. L. 91-513, Controlled Substance Act of 1970.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

1. In the event that a system of records maintained by this agency to carry out its functions indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, State, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued thereto.

2. A record from this system of records may be disclosed as a 'routine use' to a Federal, State or local agency maintaining civil, criminal or other relevant information, such as current licenses, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant or other health, educational or welfare benefits.

3. A record from this system of records may be disclosed to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter.

4. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

5. Disclosure may be made to NARA (National Archives and Records Administration) GSA (General Services Administration) in records management inspections conducted under authority of 44 U.S.C. 2904 and 2906.

6. Records from this system of records may be disclosed to a Federal Agency or to a State or local government licensing board and/or to the Federation of State Medical Boards or a similar nongovernment entity which maintains records concerning individuals' employment histories or concerning the issuance, retention or revocation of licenses, certifications, or registration necessary to practice an occupation, profession or specialty , in order for the Agency to obtain information relevant to an Agency decision concerning the hiring, retention or termination of an employee or to inform a Federal Agency or licensing boards or the appropriate nongovernment entities about the health care practices of a terminated, resigned or retired health care employee whose professional health care activity so significantly failed to conform to generally accepted standards of professional medical practice as to raise reasonable concern for the health and safety of patients in the private sector or from another Federal Agency. These records may also be disclosed as part of an ongoing computer matching program to accomplish these purposes.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper documents.

Retrievability: All registration records under the Controlled Substance Act are indexed by employee's name, social security number or Drug Enforcement Agency's Control Number.

Safeguards: Physical Security: Access to VA working space and medical record storage areas is restricted to VA employees on a 'need to know' basis. Generally, VA file areas are locked after normal duty hours and are protected from outside access by the Federal Protective Service. Employee file records and file records of public figures or otherwise sensitive medical record files are stored in separate locked files. Strict control measures are enforced to ensure that disclosure is limited to a 'need to know' basis.

Retention and disposal: This record is retained in Pharmacy while the individual is employed at a Veterans Administration health care facility. When the employee terminates his position in a particular VA health care facility his record is combined with his personnel folder and transferred to the next facility or forwarded to the Civilian Personnel Records Center, St. Louis, for retention.

System manager(s) and address: DIRECTOR PHARMACY SERVICE (119), VA Central Office, Washington, D.C. 20420.

Notification procedure: Individuals seeking information concerning the existence and content of a record pertaining to themselves must submit a written request or apply in person to the VA health care facility, where record is maintained. All inquiries must reasonably identify the record involved and the approximate date it was maintained. Inquiries should include employee's name, social security number, and Drug Enforcement Agency's Control Number.

Record access procedures: Employees or duly authorized representatives seeking information regarding access to and contesting of VA records may write, call, or visit the Veterans Administration facility where employee's record was maintained.

Contesting record procedures: (See Record Access Procedures above.)

Record source categories: (1) The employee. (2) Drug Enforcement Agency or VA health care facility.

29VA11

System name: Physician, Dentist and Supervisory Nurse Professional Standards Board Action File-VA.

System location: Department of Medicine and Surgery (11B), Veterans Administration Central Office, Washington, D.C. 20420.

Categories of individuals covered by the system: Physicians, dentists, supervisory nurses and physician's assistants, appointed under 38 USC, chapter 73, currently or formerly employed at a VA health care facility.

Categories of records in the system: Personnel forms and correspondence pertaining to promotions, reassignments, transfers, proficiency ratings physical examinations, etc., all of which are duplicated in the employee's official personnel folder. This system also contains board action folders for former employees who cannot be re-employed without approval of the Chief Medical Director.

Authority for maintenance of the system: Title 38, United States Code, Chapter 73, Section 4108.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

1. In the event that a system of records maintained by this agency to carry out its functions indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, State, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto.

2. A record from this system of records may be disclosed to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter.

3. A record from this system of records may be disclosed as a 'routine use' to a Federal, State or local agency maintaining civil, criminal or other relevant information, such as current licenses, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant or other health, educational or welfare benefits.

4. All of the information contained in this system of records is used for official purposes of the Veterans Administration; all such uses of the information are compatible with the purpose for which the information was collected.

5. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

6. Disclosure may be made to NARA (National Archives and Records Administration) GSA (General Services Administration) in records management inspections conducted under authority of 44 U.S.C. 2904 and 2906.

7. Records from this system of records may be disclosed to a Federal Agency or to a State or local government licensing board and/or to the Federation of State Medical Boards or a similar nongovernment entity which maintains records concerning individuals' employment histories or concerning the issuance, retention or revocation of licenses, certifications, or registration necessary to practice an occupation, profession or specialty , in order for the Agency to obtain information relevant to an Agency decision concerning the hiring, retention or termination of an employee or to inform a Federal Agency or licensing boards or the appropriate nongovernment entities about the health care practices of a terminated, resigned or retired health care employee whose professional health care activity so significantly failed to conform to generally accepted standards of professional medical practice as to raise reasonable concern for the health and safety of patients in the private sector or from another Federal Agency. These records may also be disclosed as part of an ongoing computer matching program to accomplish these purposes.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper documents.

Retrievability: Alphabetically by name.

Safeguards: Physical Security: Access to VA working space and medical record storage areas is restricted to VA employees on a 'need to know' basis. Generally, VA file areas are locked after normal duty hours and are protected from outside access by the Federal Protective Service. Employee file records and file records of public figures or otherwise sensitive medical record files are stored in separate locked files. Strict control measures are enforced to ensure that disclosure is limited to a 'need to know' basis.

Retention and disposal: Disposed of three years after date of last service with the VA. Board action folders of former employees who cannot be re-employed without approval of the Chief Medical Director are reviewed periodically. Those folders no longer requiring approval of the Chief Medical Director are interfiled with the regular board actions folders. Destruction of records accomplished by either shredding or burning.

System manager(s) and address: CHAIRMAN SPECIAL BOARDS, Department of Medicine and Surgery (11B), Veterans Administration Central Office, Washington, D.C. 20420.

Notification procedure: Physicians, dentists and supervisory nurses seeking information concerning the existence and content of a board action folder pertaining to themselves must submit a written request or apply in person to the system manager.

Record access procedures: Physicians, dentists and supervisory nurses seeking information regarding access to and contesting of VA Board Action Folders may write, call or visit the system manager.

Contesting record procedures: (See Record Access Procedures above.)

Record source categories: VA health care facilities official personnel folders.

30VA136

System name: Rejected Applicant for Medical Care Records-VA.

System location: Records are maintained at each VA health care facility. Address locations are listed in VA Appendix 1 at the end of this document.

Categories of individuals covered by the system: Veterans, survivors and dependents who have applied for medical care services under Title 38, United States Code, Chapter 17.

Categories of records in the system: Applications and related material of individuals who have applied for treatment in a Veterans Administration health care facility and who have been rejected for such reasons as: Legally ineligible; not in need of treatment; refusal of individual to accept treatment or care; failure to report, etc.

Authority for maintenance of the system: Title 38, United States Code, Chapter 3, Section 210(c)(1); Title 38, United States Code, Chapter 17.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

1. Disclosure of why individual's application for medical care in a Veterans Administration health care facility was rejected to accredited service organization representatives, attorneys, insurance companies and other approved agents in order to justify or show cause why an individual was not entitled to or rejected for care in a Veterans Administration health care facility with the facts presented by application.

2. In the event that a system of records maintained by this agency to carry out its functions indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued purusant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, State, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto.

3. A record from this system of records may be disclosed to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter.

4. A record from this system of records may be disclosed as a 'routine use' to a Federal, State or local agency maintaining civil, criminal or other relevant information, such as current licenses, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant or other health, educational or welfare benefits.

5. Relevant information from this system of records, including the nature and amount of a financial obligation, may be disclosed as a routine use, in order to assist the Veterans Administration in the collection of unpaid financial obligations owed the VA, to a debtor's employing agency or commanding officer so that the debtor-employee may be counseled by his or her Federal employer or commanding officer. This purpose is consistent with 5 U.S.C. 5514, 4 CFR 102.5, and section 206 of Executive Order 11222 of May 8, 1965 (30 FR 6469).

6. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

7. A record containing the name(s) and address(es) of present or former members of the armed services and/or their dependents may be released from this system of records under certain circumstances: (1) To any nonprofit organization if the release is directly connected with the conduct of programs and the utilization of benefits under Title 38, and (2) to any criminal or civil law enforcement governmental agency or instrumentality charged under applicable law with the protection of the public health or safety if a qualified representative of such organization, agency or instrumentality has made a written request that such name(s) or address(es) be provided for a purpose purpose other than that stated in the request and that the organization, agency or instrumentality is aware of the penalty provision of 38 U.S.C. 3301(f).

8. Disclosure may be made to NARA (National Archives and Records Administration) GSA (General Services Administration) in records management inspections conducted under authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper documents

Retrievability: All rejected applications are indexed by name and by month application was received.

Safeguards: Physical Security: Access to VA working space medical record storage areas is restricted to VA employees on a 'need to know' basis. Generally, VA file areas are locked after normal duty hours and are protected from outside access by the Federal Protective Service. Employees who file rejected applications observe a strict control and disclosure is limited to authorized individuals with a 'need to know' basis.

Retention and disposal: Rejected Application: Individual applications are retained at each Veterans Administration health care facility for a minimum of two (2) years after date received and a total of three (3) years for outpatient dental treatment. Only those applications which were initially rejected and by appeal resulted in a period of hospitalization will be retained as an integral part of the perpetual medical record.

System manager(s) and address: DIRECTOR, MEDICAL ADMINISTRATION SERVICE (136), VA Central Office, Washington, D.C. 20420.

Notification procedure: Individuals seeking information concerning the existence and content of a rejected application folder pertaining to themselves must submit a written request or apply in person to the VA health care facility where application for care was rejected. All inquiries must reasonably identify the portion of the rejected application folder involved and the approximate date that the application for health care was initiated. Inquiries should include the applicant's full name, VA file number, (if known) social security number, date of birth, home address when application was completed.

Record access procedures: Veterans, dependents, survivors, or duly authorized representatives seeking information regarding access to and contesting of VA rejected applications for care may write, call or visit the Veterans Administration facility, where application for care was rejected.

Contesting record procedures: (See Record Access Procedures above.)

Record source categories: 1. The patient, family members or accredited representative. 2. The Department of Defense. 3. Private hospitals, insurance companies, and medical professionals if written authorization is obtained from the patient. 4. State and local agencies upon request for assistance by the patient. 5. Various automated systems providing clinical and managerial support at selected VA health care facilities.

32VA00

System name: Veteran, Employee and Citizen Health Care Facility Investigation Records-VA.

System location: Records are maintained at each of the VA health care facilities. Address locations are listed in VA Appendix 1 at the end of this document.

Categories of individuals covered by the system: 1. Veterans, employees and private citizens who have been injured as a result of accident or assault. 2. Veterans who have died as a result of violence or accident, such as, suicide, homicide, reaction to anesthesia or drugs, assault, transfusion accident, blood incompatibility, error in treatment, neglect of patient, fire, firearms, explosion, etc. 3. Employees and private citizens who have died as a result of violence or accident. 4. Veterans who have left the health care facility without authorization. 5. Veterans, employees and private citizens who have alleged the loss of personal property, funds or valuables. 6. Veterans and private citizens who have alleged abuse by members of the health care facility staff. 7. Employees who have alleged discrimination, abuse or threats of violence by other employees, veterans and private citizens. 8. Veterans, employees and visitors who have assaulted other individuals. 9. Veterans, employees or private citizens who have been involved in the sale of illegal drugs or alcohol within the health care facility. 10. Veterans, employees and private citizens who have been accused of stealing from other individuals or from the VA health care facility. 11. Employees who have been accused of improper and unethical conduct. 12. Veterans, employees and private citizens who have willfully or accidentally destroyed or damaged Federal property.

Categories of records in the system: Copies of reports of investigations, findings, and follow-up concerning employees, patients and private citizens, injuries, property damage, accidents, thefts, assaults, discrimination, complaints, elopments, unethical conduct, etc.

Authority for maintenance of the system: Title 38, United States Code, Chapter 3, Section 210(c)(1), and Title 38, United States Code, Chapter 57, Section 3311.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

1. Transfer of required information to private insurance companies to determine whether payments of benefits are appropriate and determine liability.

2. Transfer of required information to local and State unemployment agencies to determine whether payments of benefits are appropriate.

3. Transfer of required information to the Office of Workers Compensation Program to determine whether payments of benefits are appropriate.

4. Transfer of required information to attorneys representing employees, veterans or private citizens accused of unethical conduct to assist attorneys in representing their clients.

5. In the event that a system of records maintained by this agency to carry out its functions indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, State, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto.

6. A record from this system of records may be disclosed to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter.

7. A record from this system of records may be disclosed as a 'routine use' to a Federal, State or local agency maintaining civil, criminal or other relevant information, such as current licenses, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant or other health, educational or welfare benefit.

8. Relevant information from this system of records, including the nature and amount of a financial obligation, may be disclosed as a routine use, in order to assist the Veterans Administration in the collection of unpaid financial obligations owed the VA, to a debtor's employing agency or commanding officer so that the debtor-employee may be counseled by his or her Federal employer or commanding officer. This purpose is consistent with 5 U.S.C. 5514, 4 CFR 102.5, and section 206 of Executive Order 11222 of May 8, 1965 (30 FR 6469).

9. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

10. Disclosure may be made to NARA (National Archives and Records Administration) GSA (General Services Administration) in records management inspections conducted under authority of 44 U.S.C. 2904 and 2906.

11. Records from this system of records may be disclosed to a Federal Agency or to a State or local government licensing board and/or to the Federation of State Medical Boards or a similar nongovernment entity which maintains records concerning individuals' employment histories or concerning the issuance, retention or revocation of licenses, certifications, or registration necessary to practice an occupation, profession or specialty , in order for the Agency to obtain information relevant to an Agency decision concerning the hiring, retention or termination of an employee or to inform a Federal Agency or licensing boards or the appropriate nongovernment entities about the health care practices of a terminated, resigned or retired health care employee whose professional health care activity so significantly failed to conform to generally accepted standards of professional medical practice as to raise reasonable concern for the health and safety of patients in the private sector or from another Federal Agency. These records may also be disclosed as part of an ongoing computer matching program to accomplish these purposes.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper documents and Photographs.

Retrievability: Alphabetically by name.

Safeguards: Physical Security: Access to VA working space and medical record storage areas are restricted to VA employees on a 'need to know' basis. Generally, VA file areas are locked after normal duty hours and are protected from outside access by the Federal Protective Service. Employee file records and file records of public figures or otherwise sensitive medical record files are stored in separate locked files. Strict control measures are enforced to ensure that disclosure is limited to a 'need to know' basis.

Retention and disposal: Disposed of two years after case is closed.

System manager(s) and address: Medical Inspector, Office of the Medical Inspector (10A6), VA Central Office, Washington, DC 20420.

Notification procedure: Individuals seeking information concerning the existence and content of a record pertaining to themselves must submit a written request or apply in person to the appropriate VA health care facility. All inquiries must reasonably identify the incident involved and date of the incident. Inquiries should include the individual's full name and return address.

Record access procedures: Veterans, employees and private citizens or duly authorized representatives seeking information regarding access to and contesting of VA records may write, call or visit the appropriate VA health care facility.

Contesting record procedures: (See Record Access Procedures above.)

Record source categories: 1. Veterans. 2. Employees of a VA health care facility. 3. Other VA health care facilities, private physicians and dentists, or private hospitals and clinics. 4. Private citizens involved in the incident. 5. Federal, State, local and foreign law enforcement agencies. 6. Private insurance companies.

33VA112

System name: Veteran, Fabricator and Employee Prosthetic Records-VA.

System location: Records are maintained at the Veterans Administration Data Processing Center at Austin, Texas and at the Veterans Administration Marketing Center at Hines, Illinois. Address locations are listed in VA Appendix 1 at the end of this document.

Categories of individuals covered by the system: Qualified individual fabricators of prosthetic and orthotic appliances; employees of the Veterans Administration Prosthetics Center, New York, NY; veterans wearing certain prostheses.

Categories of records in the system: Identification number, employer, certification and qualification, and education of fabricator; identification information, prosthetic shop identification, and hourly pay rate for Prosthetic Center employees; age, period of military service, eligibility rating, station of jurisdiction, disability and type of appliance issues, and identification information for veterans included in system.

Authority for maintenance of the system: Title 38, United States Code, Chapter 3, Subchapter II, Section 219.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

1. In the event that a system of records maintained by this agency to carry out its functions indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, State, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule regulation or order issued pursuant thereto.

2. To furnish statistical information to other health care providers, both Federal and non-federal to aid in furthering the improvement of health care, research and education.

3. To provide statistical and other information in response to legitimate and reasonable requests as approved by appropriate VA authorities, such as the release of information under the Freedom of Information Act.

4. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

5. Disclosure may be made to NARA (National Archives and Records Administration) GSA (General Services Administration) in

records management inspections conducted under authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Magnetic tape and disk.

Retrievability: Indexed by name and social security number for fabricator; by employee identification number for VA Prosthetics Center employees; and by social security number and claim number for veterans included in system.

Safeguards: Physical Security: Access to VA working and storage areas is restricted to VA employees on a "need to know" basis. Generally, VA file areas are locked after normal duty hours and are protected from outside access by the Federal Protective Service. Strict control measures are enforced to ensure that disclosure is limited to a "need to know" basis.

Retention and disposal: Records are retained until special release by the VA Prosthetics Center, New York, NY.

System manager(s) and address: DEPUTY DIRECTOR (PROSTHETICS DIVISION) SURGICAL SERVICE (112), Veterans Administration Central Office, Washington, D.C. 20420.

Notification procedure: Individuals seeking information concerning the existence and content of a record pertaining to themselves must submit a written request or apply in person to a VA health care facility where care was rendered. All inquiries must reasonably identify the system of records involved and the approximate date that medical care was provided. Inquiries should include the individual's full name, and identifying characteristics.

Record access procedures: Individuals seeking information regarding access to and contesting of a Veteran, Fabricator and Employee Prosthetic Records-VA record may write, call or visit the VA facility where medical care was provided.

Contesting record procedures: (See Record Access Procedures above.)

Record source categories: The Research Center for Prosthetics, individual fabricators and employees, VA Prosthetics Center personnel, and veterans' records.

34VA11

System name:

Veteran, Patient, Employee, and Volunteer Research and Development Project Records—VA.

System location:

Records are maintained at each VA health care facility where the research project was conducted and at VA Central Office. Address locations are listed in VA Appendix 1 at the end of this document. In addition, records are maintained at contractor and field work sites as studies are developed, data collected and reports written. A list of locations where individually identifiable data are currently located is available from the System Manager.

Categories of individuals covered by the system:

The following categories of individuals will be covered by this system: (1) Veterans; (2) patients; (3) employees, or, (4) volunteers who have indicated their willingness to be a participant in medical research projects being performed by the VA, by a VA contractor or by another Federal agency in conjunction with the VA; and (5) research and development investigators.

Categories of records in the system:

Records, or information contained in records, vary according to the specific medical research involved and may include: (1) Research on biomedical, prosthetic and health care services; (2) research stressing spinal cord injuries and diseases and other disabilities that tend to result in paralysis of the lower extremities; and (3) morbidity and mortality studies on former prisoners of war. Central Office records contain (4) a merit review of the project; (5) a review and evaluation of the research and development investigators and of the participants in the program. The review and evaluation information concerning the research and development investigators may include personal and educational background information as well as specific information concerning the type of research conducted.

Authority for maintenance of the system:

Title 38, United States Code, Chapter 73, Section 4101(a).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

1. Transfer of statistical and other data to Federal, State, and local government agencies and national health organizations to assist in the development of programs

2. In the event that a system of records maintained by this agency to carry out its functions indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, State, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute or rule, regulation or order issued pursuant thereto.

3. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

4. Disclosure may be made to NARA (National Archives and Records Administration) GSA (General Services Administration) in records management inspections conducted under authority of 44 U.S.C. 2904 and 2906.

5. Disclosure of medical record data, excluding name and address (unless name and address is furnished by the requester) for research purposes determined to be necessary and proper, to epidemiological and other research facilities approved by the Chief Medical Director.

6. In order to conduct Federal research necessary to accomplish a statutory purpose of an agency, at the written request of the head of the agency, or designee of the head of that agency, the name(s) and address(es) of present or former personnel of the Armed Services and/or their dependents may be disclosed (a) to a Federal department or agency or (b) directly to a contractor of a Federal department or agency. When a disclosure of this information is to be made directly to the contractor, the VA may impose applicable conditions on the department, agency and/or contractor to insure the appropriateness of the disclosure to the contractor.

7. Upon request for research project data, the following information will be released to the general public including governmental and non-governmental agencies and commercial organizations: Project title and number, name and educational degree of principal investigator, Veterans Administration medical center location, type (initial, progress, or final) and date of last report, name and educational degree of associate investigators and project summary. In addition, upon specific request, keywords and indexing codes will be included for each project.

8. Upon request for informaton regarding VA employees conducting research, the following information will be released to the general public including governmental agencies and commercial organizations: Name and educational degree of investigator, Veterans Administration title, academic affiliation and title, hospital service, primary and secondary specialty areas and subspecialty.

9. Records from this system of records may be disclosed to a Federal Agency or to a State or local government licensing board and/or to the Federation of State Medical Boards or a similar nongovernment entity which maintains records concerning individuals' employment histories or concerning the issuance, retention or revocation of licenses, certifications, or registration necessary to practice an occupation, profession or specialty , in order for the Agency to obtain information relevant to an Agency decision concerning the hiring, retention or termination of an employee or to inform a Federal Agency or licensing boards or the appropriate nongovernment entities about the health care practices of a terminated, resigned or retired health care employee whose professional health care activity so significantly failed to conform to generally accepted standards of professional medical practice as to raise reasonable concern for the health and safety of patients in the private sector or from another Federal Agency. These records may also be disclosed as part of an ongoing computer matching program to accomplish these purposes.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: (a) Paper documents. (b) Microscope slides. (c) Magnetic tape, disk. (d) Photographs. (e) Microfilm.

Retrievability:

Records are retrieved by individual identifiers and indexed by a specific project site or location, project number, or under the name of the research or development investigator.

Safeguards:

Physical Security: Access to VA working space and medical record storage areas is restricted to VA employees on a "need to know" basis. Generally, VA file areas arelocked after normal duty hours and protected from outside access by the Federal Protective Service. Employee file records and file records of public figures or otherwise sensitive medical record files are stored in separate locked files. Strict control measures are enforced to ensure that disclosure is limited to a "need to know" basis. Access to a contractor's records and their system of computers used with the particular project are available to authorized personnel only. Records on investigators stored on automated storage media are accessible by authorized VACO personnel via terminals which are dedicated to this research and development information system.

Retention and disposal:

The project records are held five (5) years after completion of the research project and/or publication of a final report unless they become part of the patient's individual medical history file in which case the record would remain 15 years after the last activity of care. At the end of a study, records maintained by a contractor are returned to the VA for appropriate disposition.

System manager(s) and address: ASSISTANT CHIEF MEDICAL DIRECTOR FOR RESEARCH AND DEVELOPMENT (15), VA Central Office, Washington, D.C. 20420.

Notification procedure: 1. Interested persons should write to: Assistant Chief Medical Director for Research and Development (15), Veterans Administration Central Office, Washington, D.C. 20420. 2. All inquiries must reasonably identify the project and site location; date of project and team leader.

Record access procedures: Interested persons desiring access to and contesting of research records should write to the address in Notification Procedure above.

Contesting record procedures: See Notification Procedure above.

Record source categories:

(a) Patients and patient records, (b) employees and volunteers, (c) other Federal agencies, (d) National Institutes of Health, (e) Centers for Disease Control (Atlanta), (f) individual veterans, (g) other VA systems of records and, (h) research and development investigators.

36VA00

System name:

Veterans and Armed Forces Personnel United States Government Life Insurance Records-VA.

System location:

Active records are located at the VA Regional Office and Insurance Centers in Philadelphia, Pennsylvania, and St. Paul, Minnesota. Inactive records are stored at various servicing Federal Archives and Records Centers and at the VA Records Processing Center in St. Louis, Missouri. Information from these files is also maintained in automated files at the VA Data Processing Centers in Philadelphia, Pennsylvania, and St. Paul, Minnesota. Information from the automated files in Philadelphia is available to all VA Regional Offices, except Manila, Philippines, through the ITS (Insurance Terminal System) which provides direct access to the records via video display terminals. Duplicate copies of certain manual and automated files are maintained at other locations in accordance with Federal and VA policy on security and vital records. Address locations of VA facilities are listed in VA Appendix 1 at the end of this document.

Categories of individuals covered by the system:

Veterans (not including dependents) who have been issued life insurance under one of the following: Title 38, United States Code, Chapter 19, Government Life Insurance programs; U.S. Government Life Insurance and National Service Life Insurance (includes Reopened Insurance under section 725, Service Disabled Veterans Insurance under section 722, and Veterans Special Life Insurance under section 723).

Categories of records in the system:

Life insurance records (or information contained in records) may include: (1) Applications for insurance (applications may contain the name and address of the veteran applicant, date of birth, social security number, military service number and dates of service, VA file number, plan of insurance, disability rating, medical information regarding disability, method of payment, amount of insurance requested); (2) beneficiary and option designation information (e.g., names and addresses of principal and contingent beneficiaries, share to each and option of payment, designated estates and trustee); (3) insurance contract information (e.g., authorization of allotment payment, authorization for deduction from VA benefit payments; authorization for deduction from employee payroll; paid dividend information); (4) cash value and policy loan and lien information; (5) a listing of lapsed actions; (6) records of premium payments; (7) reinstatement information; (8) premium status and retired status of policy; (9) total disability life insurance applications (these applications include medical history of insured); (10) court-martial orders; (11) copies of personal papers of insured (e.g., birth certificate, marriage license, naturalization papers); (12) correspondence to and from the veteran; and (13) employment information.

Authority for maintenance of the system:

Title 38, United States Code, Chapter 3, section 210(c), and Chapter 19.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

1. The record of an individual who is covered by this system may be disclosed to a member of Congress or staff person acting for the member when the member or staff person requests the record on behalf of and at the request of that individual.

2. Any information in this system may be disclosed to a Federal agency, upon its official request, to the extent that it is relevant and necessary to that agency's decision regarding: The hiring, retention or transfer of an employee; the issuance of a security clearance, the letting of a contract, or the issuance or continuance of a license, grant or other benefit given by that agency. However, in accordance with an agreement with the U.S. Postal Service, disclosures to the U.S. Postal Service for decisions concerning the employment of veterans will only be made with the veteran's prior written consent.

3. Any information in this system may be disclosed to a State or local agency, upon its official request, to the extent that it is relevant and necessary to that agency's decision on: The hiring, transfer or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance or continuance of a license, grant or other benefit by that agency; provided, that if the information pertains to a veteran, the name and/or address of the veteran will not be disclosed unless the name and address is provided first by the requesting State or local agency.

4. Any information in this system may be disclosed to a Federal, State or local agency maintaining civil or criminal violation records, or other pertinent information such as prior employment history, prior Federal employment background investigations, and personal or educational background at the request of the veteran in order for the VA to obtain information relevant to the hiring, transfer or retention of an employee, the letting of a contract, the granting of a security clearance, or the issuance of a grant or other benefit.

5. Any information in this system may be disclosed to a Federal agency, except for the name and address of a veteran, in order for the VA to obtain information relevant to the issuance of a benefit under title 38 U.S.C. The name and address of a veteran may be disclosed to a Federal agency under this routine use if they are required by the Federal agency to respond to the VA inquiry.

6. Any information in this system, except for the name and address of a veteran, which is relevant to a suspected violation or reasonably imminent violation of law, whether civil, criminal or regulatory in nature and whether arising by general or program statute or by regulation, rule or order issued pursuant thereto, may be disclosed to a Federal, State, local or foreign agency charged with the responsibility of investigating or prosecuting such violation, or charged with enforcing or implementing the statute, rule, regulation or order issued pursuant thereto.

7. The name and address of a veteran, which is relevant to a suspected violation or reasonably imminent violation of law, whether civil, criminal or regulatory in nature and whether arising by general or program statute or by regulation, rule or order issued pursuant thereto, may be disclosed to a Federal agency charged with the responsibility of investigating or prosecuting such violation, or charged with enforcing or implementing the statute, regulation, rule or order issued pursuant thereto, in response to its official request.

8. The name and address of a veteran, which is relevant to a suspected violation or reasonably imminent violation of law concerning public health or safety, whether civil, criminal or regulatory in nature and whether arising by general or program statute or by regulation, rule or other issued pursuant thereto, may be disclosed to any foreign, State or local governmental agency or instrumentality charged under applicable law with the protection of the public health or safety if a qualified representative of such organization, agency or instrumentality has made a written request that such name and address be provided for a purpose authorized by law.

9. Except for beneficiary and option designations, any information in this system including the name and address of a veteran may be disclosed to any nonprofit organization if the release is directly connected with the conduct of programs and the utilization of benefits under title 38 (such disclosures include computerized lists of names and addresses).

10. Except for medical information and beneficiary and option designations, insurance contract information (e.g., name, address, status of the account, dividends paid, cash value, and policy loans) may be disclosed at the request of a veteran to an attorney acting under a declaration of representation, a VA-approved claims agent, an insurance agency, a trust officer, or to employees or members of an accredited service organization, or the to Red Cross so that these individuals or organizations can aid veterans in the preparation, pres-

entation, prosecution of claims under the laws administered by the VA. The name and address of a veteran will not, however, be disclosed to these individuals under this routine use if the veteran has requested the assistance of an accredited service organization, claims agent, trust officer, the Red Cross or an attorney.

11. The name and address of an insured veteran and the amount of payment may be disclosed to the Treasury Department, upon its official request, in order for the Treasury Department to make payment of dividends, policy loans, cash surrenders, maturing endowments and insurance refunds.

12. The name and address of an insured veteran, date and amount of payments made to the VA including specific status of each policy (e.g., premiums paid in, dividends paid out, cash and loan values) may be disclosed to the Internal Revenue Service (IRS), upon its official request, in order for the IRS to collect tax liens by withholding insurance payments to satisfy unpaid taxes. This purpose is consistent with title 26, United States Code, section 7602.

13. Any information in this system may be disclosed to the Department of Justice, upon its official request, in defense or prosecution of litigation involving the United States Government.

14. The name and address of an insured veteran, the discharge date from the military, and medical information concerning grounds for total disability of an insured veteran may be disclosed to the Office of Serviceman's Group Life Insurance (OSGLI) at the request of the veteran in order to aid OSGLI in the verification of a discharge date, the issuance and maintenance of insurance policies to veterans and retired reservists participating in the Veterans Group Life Insurance and Serviceman's Group Life Insurance Program and to pay death benefits on these claims.

15. The name, address and other identifying information such as a social security number or a military service number may be disclosed to the Department of Defense (Army, Air Force, Navy, Marine Corps); the Department of Transportation (Coast Guard); the U.S. Public Health Service, Commissioned Officers Corps; and the Department of Commerce, NOAA (National Oceanic and Atmospheric Administration); upon their official request, for use in order for these departments to establish and maintain allotments from active and retired service pay for VA insurance premiums and loan repayments.

16. The face amount and cash and/or loan value of an insurance policy, verification of an existing insurance policy, and the name and address of an insured veteran may be disclosed at the request of the veteran to a Federal, State or local agency, in order for these agencies to assist veterans applying for Medicaid, Medicare, nursing home admittance or welfare benefits to the extent that the information is relevant and necessary to the agency's decision regarding these benefits.

17. The name and address of a veteran and military service information (e.g., dates of service, branch of service) may be disclosed to the Armed Forces Institute of Pathology (AFIP), upon its official request, in order for the AFIP to conduct research for specified official purposes.

18. The name(s) and address(es) of a veteran may be disclosed to another Federal agency or to a contractor of that agency, at the written request of the head of that agency or designee of the head of that agency for the purpose of conducting government research necessary to accomplish a statutory purpose of that agency.

19. Any information in this system including the nature and amount of a financial obligation may be disclosed to a debtor's employing agency or commanding officer, upon its official request, in order to assist the Veterans Administration (VA) in the collection of unpaid financial obligations owed the VA so that the debtor-employee may be counseled by his or her Federal employer or commanding officer. This purpose is consistent with 5 U.S.C. 5514, 4 CFR 102.5, and section 206 of Executive Order 11222 of May 8, 1965 (30 FR 6469).

20. Any information in this system including available identifying data regarding the debtor, such as the name of the debtor, last known address of the debtor, name of the debtor's spouse, social security account number of the debtor, VA insurance number, VA loan number, VA file number, place of birth and date of birth of the debtor, name and address of the debtor's employer or firm and dates of employment, may be disclosed to other Federal agencies, State probate courts, State drivers license bureaus, and State automobile title and license bureaus in order to obtain current address, locator and credit report assistance in the collection of unpaid financial obligations owed the United States. This purpose is consistent with the Federal Claims Collection Act of 1966 (Pub. L. No. 89-508, 31 U.S.C. 951-953) and 4 CFR Parts 101-105 and with 38 U.S.C. 3301(b)(6).

21. Any information concerning the veteran's indebtedness to the United States by virtue of a person's participation in a benefits program administered by the VA, including personal information obtained from other Federal agencies through computer matching programs, may be disclosed to any third party, except consumer reporting agencies, in connection with any proceeding for the collection of an amount owed to the United States by virtue of a person's participation in any benefit program administered by the Veterans Administration. Purposes of these disclosures may be to (a) assist the VA in collection of title 38 benefit overpayments, overdue indebtedness, and/or costs of services provided individuals not entitled to such services, and (b) initiate legal actions for prosecuting individuals who willfully or fraudulently obtain title 38 benefits without entitlement. This disclosure is consistent with 38 U.S.C. 3301(b)(6).

22. The name and address of a veteran, other information as is reasonably necessary to identify such veteran, including personal information obtained from other Federal agencies through computer matching programs, and any information concerning the veteran's indebtedness to the United States by virtue of the person's participation in a benefits program administered by the VA may be disclosed to a consumer reporting agency for purposes of assisting in the collection of such indebtedness, provided that the provisions of 38 U.S.C. 3301(g)(4) have been met.

23. Any information in this system such as notice of renewal, reinstatement, premium due, lapse actions, miscellaneous insurance instructions, disposition of dividends, policy loans and transfer of records may be disclosed to VA Federal fiduciaries of incompetent veterans in order to advise the fiduciaries of current actions to be taken in connection with ownership of U.S. Government life insurance policies and to enable them to properly perform their duties as fiduciaries.

24. Any information in this system may be disclosed to a Federal grand jury, a Federal court or a party in litigation, or a Federal agency or party to an administrative proceeding being conducted by a Federal agency, in order for the VA to respond to and comply with the issuance of a Federal subpoena.

25. Any information in this system may be disclosed to a State or municipal grand jury, a State or municipal court or a party in litigation, or to a State or municipal administrative agency functioning in a quasi-judicial capacity or a party to a proceeding being conducted by such agency, in order for the VA to respond to and comply with the issuance of a State or municipal subpoena; provided, that any disclosure of claimant information made under this routine use must comply with the provisions of 38 CFR 1.511.

26. Identifying information, except for the name and address of a veteran, may be disclosed to a Federal, State, County or Municipal agency for the purpose of conducting computer matches to obtain information to validate the entitlement of a veteran who is receiving or has received veterans insurance benefits under Title 38, United States Code. The name and address of a veteran may also be disclosed to a Federal agency under this routine use if they are required by the Federal agency to respond to the VA inquiry.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are stored on magnetic tape, paper documents including manual accounting cards, index cards, computer lists, punched cards, and microfilm, microfiche, and disks.

Retrievability:

All manual and automated insurance records are retrievable by the insurance file number, using name, social security number, VA file number, and date of birth as additional identifying information. The index cards are filed in alphabetical order.

Safeguards:

1. Physical Security. a. All VA facilities are protected from outside access by the Federal Protective Service or other security personnel. All file areas are restricted to authorized personnel on a need-to-know basis. Areas containing paper records are protected by a sprinkler system. Paper records pertaining to employees and public figures, or otherwise sensitive files, are stored in locked files. Microfilm records are stored in a locked fireproof, humidity-controlled vault. Automated records which are not in use at the data processing centers are stored in secured, locked vault areas. Special instructions on the confidentiality of Beneficiary and Optional Settlement information have been issued to VA personnel, and release of this information is strictly limited to the insured.

b. Access to VA data processing centers is restricted to center employees, custodial personnel, and Federal Protective Service or other security personnel. Access to computer rooms is restricted to authorized operational personnel through electronic locking devices. All other persons gaining access to computer rooms are escorted by an individual with authorized access.

c. At Regional Office and the Regional Office and Insurance Centers the video display terminals on the ITS (Insurance Terminal

System) are protected by key locks, magnetic access card readers, and audible alarms. Electronic keyboard locks are activated on security errors. A security officer at each facility is assigned responsibility for privacy-security measures, including review of violations logs and local control and distribution of passwords and magnetic access cards.

2. System Security. a. At the data processing centers, identification of magnetic tapes and disks containing data is rigidly enforced using manual and automated labeling techniques. Access to computer programs is controlled at three levels: programming, auditing, and operations.

b. The ITS (Insurance Terminal System) uses the VA data telecommunications terminal system known as the Target System which provides computerized access control for security purposes. This system provides automated recognition of authorized users and their respective access levels/restrictions through passwords and magnetic access cards. Passwords are changed periodically and are restricted to authorized individuals on a need-to-know basis for system access or security purposes.

Retention and disposal:

Records are retained and disposed of in accordance with disposition authorization approved by the Archivist of the United States. The primary record, the insurance folder, is retained at the VA Regional Office and Insurance Center until it has been inactive for 36 months; at which time it is retired to a servicing Federal Archives and Records Center for 50 years retention and destroyed.

System manager(s) and address:

Director (00), VA Regional Office and Insurance Center, 5000 Wissahickon Avenue, Philadelphia, Pennsylvania 19101.

Notification procedure:

Any individual who wishes to determine whether a record is being maintained in this system under his or her name or other personal identifier, or who has a routine inquiry concerning the status of his or her insurance under this system may contact the nearest VA Regional Office. Requests concerning the specific content of a record must be in writing or in person to the VA Regional Office and Insurance Center at Philadelphia, Pennsylvania, or St. Paul, Minnesota, where the insurance folder is maintained. The inquirer should provide full name of the veteran, insurance file number, and date of birth. If insurance file number is not available, the social security number, service number, VA claim number, and/or location of insurance records. Address locations of VA facilities are listed in VA Appendix 1 at the end of this document.

Record access procedures:

Individuals desiring access to, and contesting of, VA records should write to the VA Regional Office and Insurance Center at Philadelphia, Pennsylvania, or St. Paul, Minnesota.

Contesting record procedures:

(See Records access procedures above.)

Record source categories:

The veteran or someone acting on the behalf of the veteran; other Federal agencies, State and local agencies, VA records; VA and private physicians, VA and private medical facilities, accredited service organization representatives, VA-claims agents, and the Red Cross, VA Federal fiduciaries; financial institutions, beneficiaries; the Retail Credit Corporation, commercial insurance companies, undertakers and the general public.

37VA27

System name:

VA Supervised Fiduciary and Beneficiary Records—VA.

System location:

Records are maintained at VA regional offices. These records are generally maintained by the regional office activity having jurisdiction over the area in which the VA beneficiary resides and at the Philadelphia Data Processing Center. Address locations of VA field stations and the Data Processing Center are listed in VA Appendix 1.

Categories of individuals covered by the system:

The following categories of individuals are covered by this system: (1) A VA beneficiary (i.e., a veteran or a non-veteran adult who receives VA monetary benefits, lacks the mental capacity to manage his or her own financial affairs regarding disbursement of funds without limitation and is either rated incompetent by the VA or adjudged to be under a legal disability by a court of competent jurisdiction; or a child who has not reached majority under State law who receives VA monetary benefits); (2) a VA-supervised fiducuary (i.e., (a) a VA Federal fiduciary: A person or entity appointed by the VA to serve as payee of VA monetary benefits for an incompetent VA beneficiary (to include legal custodians, spouse payees, superintendents of Indian reservations and custodians-in-fact); and (b) a person or legal entity appointed by a State or foreign court to supervise the person and/or estate of a VA beneficiary adjudged to be under a legal disability (the statutory title of a court-appointed fiduciary may vary from State-to-State)); (3) a chief officer of a hospital treatment, domiciliary, institutional or nursing home care facility wherein a veteran, rated incompetent by the VA, is receiving care and who has contracted to use the veteran's VA funds in a specified manner; and (4) a supervised direct-payee beneficiary (i.e., an incompetent adult who receives VA monetary benefits directly while under the immediate supervision of the VA).

Categories of records in the system:

The PGF (Principal Guardianship Folder) is the major record in this system. The PGF may include: (1) Field examination reports (i.e., VA Forms 27-4716a or 27-3190, Field Examination Request and Report, which contains a VA beneficiary's name, address, social security number, VA file number and an assessment of the VA beneficiary's ability to handle VA and non-VA funds, ability to function with his or her family, economic and social adjustment data, and information regarding activities, name and address of a VA-supervised fiduciary); (2) correspondence from and to the VA beneficiary, a VA-supervised fiduciary, and other interested third parties; (3) medical records (i.e., medical and social work service reports generated in VA, State, local and private medical treatment facilities and private physicians' offices indicating the medical history of the VA beneficiary including diagnosis, treatment and nature of physical or mental disability); (4) financial records (e.g., accountings of a VA beneficiary's expenses, amount of monthly benefits received, amounts claimed for commissions by the VA-supervised fiduciary, certificates of balance from financial institutions, and withdrawal agreements between the VA, financial institutions and the VA-supervised fiduciary); (5) court documents (e.g., petitions, court orders, and depositions); and (6) contractual agreements to serve as a VA Federal fiduciary. Prior to the formal establishment of a PGF or where there is no local PGF at the field station, the above listed records or information may be maintained in files denominated "veterans' files" and/or "correspondence files."

Authority for maintenance of the system:

Title 38, United States Code, Chapter 3, section 210(c); title 38, United States Code, Chapter 55.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

1. The record of an individual who is covered by this system may be disclosed to a member of Congress or staff person acting for the member when the member or staff person requests the record on behalf of and at the request of that individual.

2. Any information in this system, except for the name and address of a veteran, which is relevant to a suspected violation or reasonably imminent violation of law, whether civil, criminal or regulatory in nature and whether arising by general or program statute or by regulation, rule or order issued pursuant thereto, may be disclosed to a Federal, State, local or foreign agency charged with the responsibility of investigating or prosecuting such violation, or charged with enforcing or implementing the statute, rule, regulation or order issued pursuant thereto.

3. The name and address of a veteran, which is relevant to a suspected violation or reasonably imminent violation of law, whether civil, criminal or regulatory in nature and whether arising by general or program statute or by regulation, rule or order issued pursuant thereto, may be disclosed to a Federal agency charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, regulation, rule or order issued pursuant thereto, in response to its official request.

4. The name and address of a veteran, which is relevant to a suspected violation or reasonably imminent violation of law concerning public health or safety, whether civil, criminal or regulatory in nature and whether arising by general or program statute or by regulation, rule or order issued pursuant thereto, may be disclosed to any foreign, State or local governmental agency or instrumentality charged under applicable law with the protection of the public health or safety if a qualified representative of such organization, agency or instrumentality has made a written request that such name and address be provided for a purpose authorized by law.

5. The name and address of a veteran may be disclosed to any nonprofit organization if the release is directly connected with the conduct of programs and the utilization of benefits under title 38 (such disclosures include computerized lists of names and addresses).

6. Any information in this system, including name, address, social security number, VA file number, medical records, financial records and field examination reports of a VA beneficiary, and the name,

address and information regarding the activities of a VA-supervised fiduciary or beneficiary may be disclosed at the request of the VA beneficiary or fiduciary to a Federal, State or local agency in order for the VA to obtain information relevant to a VA decision concerning the payment and usage of funds payable by the VA on behalf of a beneficiary, or to enable the VA to assist a beneficiary or VA-supervised fiduciary in obtaining the maximum amount of benefits for the VA beneficiary from a Federal, State, or local agency.

7. The name and address of a VA beneficiary, VA rating of incompetency, and the field examination report may be disclosed to a Federal agency, upon its official request, in order for that agency to make decisions on such matters as competency and dependency in connection with eligibility for that agency's benefits. This information may also be disclosed to a State or local agency if the information pertains to a VA beneficiary who is not a veteran, or if the name and address of the veteran is provided beforehand.

8. Any information in this system, including medical records, financial records, field examination reports, correspondence and court documents may be disclosed in the course of presenting evidence to a court, magistrate or administrative tribunal in matters of guardianship, inquests and commitments; and to probation and parole officers in connection with court required duties.

9. Any information in this system may be disclosed to a VA or court-appointed fiduciary in order for that fiduciary to perform his or her duties, provided this information will only be released when the disclosure is for the benefit of the beneficiary. Any information in this system may also be disclosed to a proposed fiduciary in order for the VA to consider a fiduciary for a beneficiary.

10. Any information in this system including medical records, correspondence records, financial records, field examination reports and court documents may be disclosed to an attorney employed by the beneficiary, or to a spouse, relative, next friend or to a guardian ad litem representing the interests of the beneficiary, provided the name and address of the beneficiary is given beforehand and the disclosure is for the benefit of the beneficiary.

11. Any information in this system may be disclosed to the Department of Justice and to U.S. Attorneys in defense or prosecution of litigation involving the United States and to Federal agencies upon their official request in connection with review of administrative tort claims filed under the Federal Tort Claims Act, 28 U.S.C. 2672.

12. Any information in this system including available identifying information regarding the debtor, such as the name of the debtor, last known address of the debtor, name of the debtor's spouse, social security account number, VA insurance number, VA file number, place of birth and date of birth of debtor, name and address of debtor's employer or firm and dates of employment, may be disclosed to other Federal agencies, State probate courts, State drivers license bureaus, State automobile title and license bureaus and the General Accounting Office in order to obtain current address, locator and credit report assistance in the collection of unpaid financial obligations owed the United States. The purpose is consistent with the Federal Claims Collection Act of 1966 and 38 U.S.C. 3301(b)(6).

13. Any information in this system relating to the adjudication of incompetency of a VA beneficiary either by a court of competent jurisdiction or by the VA may be disclosed to a lender or prospective lender participating in the VA Loan Guaranty Program who is extending credit or proposing to extend credit on behalf of a veteran in order for the VA to protect incompetent veterans from entering into unsound financial transactions which might deplete the resources of the veteran and to protect the interests of the Government giving credit assistance to a veteran.

14. Any information in this system may be disclosed to a Federal grand jury, a Federal court or a party in litigation, or a Federal agency or party to an administrative proceeding being conducted by a Federal agency, in order for the VA to respond to and comply with the issuance of a Federal subpoena.

15. Any information in this system may be disclosed to a State or municipal grand jury, a State or municipal court or a party in litigation, or to a State or municipal administrative agency functioning in a quasi-judicial capacity or a party to a proceeding being conducted by such agency, in order for the VA to respond to and comply with the issuance of a State or municipal subpoena; provided, that any disclosure of claimant information made under this routine use must comply with the provisions of 38 CFR 1.511.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

The PGF, veterans files and correspondence files are maintained on paper documents in case folders, automated storage media (e.g., magnetic tape, computer lists and punch cards) and on file cards. Information on VA-supervised fiduciaries and beneficiaries is maintained on paper documents in the PGF and on file cards.

Retrievability:

Paper documents and automated storage media are indexed by name and file number of the VA beneficiary. File cards containing information on VA-supervised fiduciaries are indexed by name of fiduciary.

Safeguards:

The individual case folders, computer lists and file cards are generally kept in steel file cabinets when not in use. The cabinets are located in areas which are locked after work hours. Access to these records is restricted to authorized VA personnel on a "need to know" basis. Magnetic tape, when not in use, is maintained under lock and key in areas accessed only by authorized VA personnel on a "need to know" basis.

Retention and disposal:

Paper documents, computer lists, punch cards and file cards are destroyed anywhere from 60 days after receipt to 2 years after VA supervision has ceased, depending on the type of record or document. The PGF is destroyed 2 years after the case becomes inactive. Information contained on magnetic tape is automatically purged 2 years after the case becomes inactive. A record is determined inactive when it comes under the provisions of the Veterans Services Division General Operations Manual, M27-1, part 3, section 1, chapter 8, paragraphs 8.23–8.42.

System manager(s) and address:

Director, Veterans Assistance Service (27), VA Central Office, Washington, DC 20420.

Notification procedure:

Any individual who wishes to determine whether a record is being maintained in this system under his or her name or other personal identifier, or wants to determine the contents of such records should submit a written request or apply in person to the nearest VA regional office or center. Addresses for VA regional offices and centers may be found in VA Appendix 1. All inquiries must reasonably identify the system of records involved, e.g., guardianship file. Inquiries should include the individual's full name, VA file number and return address. If the VA file number is not available, then as much of the following information as possible should be forwarded: Full name, branch of service, dates of service, service numbers, social security number, and date of birth.

Record access procedures:

Individuals seeking information regarding access to and contesting of VA records in this system may write, call or visit the nearest VA regional office.

Contesting record procedures:

(See Record access procedures above.)

Record source categories:

The VA beneficiary, the VA beneficiary's dependents, VA-supervised fiduciaries, field examiners, estate analysts, third parties, other Federal, State and local agencies, and VA records.

38VA23

System name:

Veterans and Beneficiaries Identification and Records Location Subsystem—VA.

System location:

Records are maintained at the VA Data Processing Center, 1615 East Woodward Street, Austin, Texas 78772; VA Central Office, 810 Vermont Ave., NW, Washington, D.C. 20420; the VA Records Processing Center, P.O. Box 5020, St. Louis, Missouri 63115 and at Neosho, Missouri.

Categories of individuals covered by the system:

The following categories of individuals will be covered by the system: (1) Veterans who applied for VA benefits (e.g., compensation, pension,, rehabilitation and education, U.S. Government life insurance, National Service life insurance, and medical and dental care); (2) veterans discharged from military service since March 1973; (3) veterans because of whose military service benefits have been sought by others (e.g., beneficiaries (spouse, children or parents) who have applied for or who are receiving or have received VA benefits (i.e., insurance awards, education, burial benefits)); (4) Medal of Honor recipients; and (5) service members who have established accounts from which future applications for VA educational benefits under title 38, United States Code, Chapter 32 may be used.

Categories of records in the system:

The record, or information contained in the record may include (1) identifying information, (2) military discharge information, (3) date of death, (4) VA claims and insurance file numbers, (5) records location and (6) cross-references to beneficiaries of a veteran and to other names used by the veteran. Identifying information may include the following concerning the veteran: Full name, social security number, service number, date of birth, entry and release from active duty, character of service, and branch of service. Military discharge information may include sex, total amount of active service, the dollar amount of readjustment or severance pay, number of nonpavdays, pay grade, narrative reason for separation and information on whether the veteran was discharged with a disability, served during the Vietnam Conflict, reenlisted in the military service, or received a Purple Heart award.

Authority for maintenance of the system:

Title 38, United States Code, Chapter 3, section 210(c)(1)

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

1. The record of an individual who is covered by this system may be disclosed to a member of Congress or staff person acting for the member when the member or staff person requests the record on behalf of and at the request of that individual.

2. Any information in this system may be disclosed to a Federal agency, upon its official request, to the extent that it is relevant and necessary to that agency's decision regarding: The hiring, retention or transfer of an employee; the issuance of a security clearance, the letting of a contract, or the issuance or continuance of a license, grant or other benefit given by that agency. However, in accordance with an agreement with the U.S. Postal Service, disclosures to the U.S. Postal Service for decisions concerning the employment of veterans will only be made with the veteran's prior written consent.

3. Any information in this system may be disclosed to a State or local agency, upon its official request, to the extent that it is relevant and necessary to that agency's decision on: The hiring, transfer or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance or continuance of a license, grant or other benefit by that agency; provided, that if the information pertains to a veteran, the name of the veteran will not be disclosed unless the name is provided first by the requesting State or local agency.

4. Any information in this system, except for the name of a veteran, may be disclosed to a Federal agency in order for the VA to obtain information relevant to the issuance of a benefit under title 38, United States Code. The name of a veteran may be disclosed to a Federal agency under this routine use if the name is required by the Federal agency to respond to the VA inquiry.

5. Any information in this system, except for the name of a veteran, which is relevant to a suspected violation or reasonably imminent violation of law, whether civil, criminal or regulatory in nature and whether arising by general or program statute or by regulation, rule or order issued pursuant thereto, may be disclosed to a Federal, State, local or foreign agency charged with the responsibility of investigating or prosecuting such violation, or charged with enforcing or implementing the statute, rule, regulation or order issued pursuant thereto.

6. The name of a veteran, which is relevant to a suspected violation or reasonably imminent violation of law, whether civil, criminal or regulatory in nature and whether arising by general or program statute or by regulation, rule or order issued pursuant thereto, may be disclosed to a Federal agency charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, regulation, rule or order issued pursuant thereto, in response to its official request.

7. The name of a veteran, which is relevant to a suspected violation, or reasonably imminent violation of law concerning public health or safety, whether civil, criminal or regulatory in nature and whether arising by general or program statute or by regulation, rule or order issued pursuant thereto, may be disclosed to any foreign, State or local governmental agency or instrumentality charged under applicable law with the protection of the public health or safety if a qualified representative of such organization, agency or instrumentality has made a written request that the name be provided for a purpose authorized by law.

8. Any information, including the name of a veteran, may be disclosed to any nonprofit organization if the release is directly connected with the conduct of programs and the utilization of benefits under title 38 U.S.C. (such disclosures include computerized lists of names).

9. The file number and folder location may be disclosed to the Railroad Retirement Board (RRB) pursuant to its standing request. This information is used by the RRB to obtain information from VA compensation, pension, or education records in accordance with the Railroad Retirement Act of 1937, section 228.1(i).

10. Any information in this system may be disclosed to components of the Armed Forces such as the National Personnel Record Center (NPRC) and the U.S. Army Reserve Components Personnel and Administration Center (RCPAC) in accordance with its standing request. This information is used to aid in rebuilding lost military service records and to upgrade the character of discharge or to correct or complete military records.

11. Identifying information, the claims file number and folder location may be disclosed to the National Research Council, National Academy of Sciences, in accordance with its standing request. This information is used in medical studies for the VA or another Federal agency as approved by the Chief Medical Director.

12. Identifying information, the claims file number and folder location may be disclosed to the U.S. Treasury upon its official request. This information is used to obtain the necessary information to return U.S. savings bonds to veterans which are currently in the safekeeping of the U.S. Treasury.

13. A veteran's claims or insurance file number and folder location may be disclosed to accredited service organization representatives, VA-approved claims agents and attorneys acting under a declaration of representation so that these individuals can aid veterans in the preparation, presentation, and prosecution of claims under the laws administered by the VA.

14. Identifying information, the claims file number and folder location may be disclosed to research facilities provided the name of the veteran is furnished by the requestor. The purpose of this disclosure is for such research facilities to obtain information necessary to assist in the medical studies of the veterans. These studies must be approved by the VA Chief Medical Director.

15. Identifying information, the claims file number and folder location may be disclosed to the Federal Parent Locator Service (PLS) of the Department of Health and Human Services upon its official request in accordance with Pub. L. 93–647, which requires disclosure of this information in order to locate missing parents.

16. The claims file number and the folder location may be disclosed to a third party requestor who is seeking the current address of the veteran, in order to refer the requestor to the VA regional office where the veteran's folder is located and to assist the regional office in conducting a blind mailing in accordance with 38 CFR 1.518(c). The file number and folder location may be disclosed to a third party requestor who is seeking the current address of or information about a veteran, in order to (1) refer the requestor to the VA regional office or insurance center where the veteran's folder is located to assist such office or center in conducting a blind mailing in accordance with 38 CFR 1.1518(c) or (2) aid in the efficient Agency records maintenance functions of associating and collating correspondence with existing records.

17. Identifying information, except for the name of a veteran, may be disclosed to a Federal, State, County or Municipal agency for the purpose of conducting computer matches to obtain information to validate the entitlementof a veteran who is receiving or has received veterans insurance benefits under Title 38, United States Code. The name of a veteran may also be disclosed to a Federal agency under this routine use if they are required by the Federal agency to respond to the VA inquiry.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

The basic file is on magnetic disks with backup copies of the information on magnetic tape at Neosho, Missouri. An adjunct file (at the Records Processing Center in St. Louis, Missouri) contains microfilm and paper documents of former manual Central Index claims numbers registers, partial files of pensioners with service prior to 1930, personnel with service between 1940 and 1948 with VA insurance, and partial lists of other Armed Forces personnel indexed by service number. A duplicate of the microfilm is also located at VA Central Office.

Retrievability:

Information can be retrieved by the use of name only, name and one or more number (service, social security, VA claims file and VA insurance file number), name and one or more criteria (i.e., dates of birth, death and service), number only, or initials or first five letters of last name with incorrect file number.

Safeguards:

Access to the basic file in the Austin DPC (Data Processinng Center) is restricted to authorized VA employees and vendors. Access to the computer room where the basic file is maintained within the DPC is further restricted to authorized VA employees and vendor personnel on a "need to know" basis and is protected from unauthorized access by an alarm system, the Federal Protective

Service, and VA security personnel. Information in the system may be accessed from authorized terminals via a multi-Federal telecommunications network maintained by the General Services Administration known as the Advanced Records System (ARS) or it may be accessed from a VA telecommunications network known as Target (see Compensation, Pension, Education and Rehabilitation Records—58VA21/22/28). The ARS system terminals are teletype only (i.e., do not have visual screens). The ARS system recognizes only authorized users. As to access to Target terminals, see Safeguards, Compensation, Pension, Education, and Rehabilitation Records—58VA21/22/28. Currently, authorized ARS terminals are located only at VA regional offices. VA medical facilities, VA Central Office, New York Long Island National Cemetery, Railroad Retirement Board, the National Records Personnel Center and the U.S. Army Reserve Components Personnel and Administration Center at St. Louis, Missouri. The adjunct file is accessible for official use only by personnel assigned to Administrative Service (23), VA Central Office, Washington, D.C., and the BIRLS Support Division VA Records Processing Center, St. Louis, Missouri.

Retention and disposal:

Records are maintained on magnetic tape, disks, microfilm or paper documents and are retained and disposed of in accordance with disposition authorization approved by the Archivist of the United States.

System manager(s) and address:

Director, Administrative Service (23), VA Central Office, 810 Vermont Avenue, NW., Washington, D.C. 20420.

Notification procedure:

Any individual who wishes to determine whether a record is being maintained in this system under his or her name or other personal identifier, or wants to determine the contents of such record should submit a written request or apply in person to the nearest VA regional office or center. Addresses for these offices may be found in VA Appendix 1. Inquiries should include the individual's full name and VA claims file number. If the VA claims file number is not available, then as much of the following information concerning the service person as possible should be furnished: Social security number, service number, branch of service, dates of service, date of birth or date of death.

Record access procedures:

Individuals seeking information regarding access to and contesting of VA records in this system may write, call or visit the nearest VA regional office.

Contesting record procedures:

(See Record access procedures above.)

Record source categories:

Information contained in the records is obtained from veterans' military separation documents, veterans, VA records, the Railroad Retirement Board and other Federal agencies.

39VA047

System name: Veterans and Dependents Inactive Award Account Records-VA.

System location: VA regional offices and centers, finance division.

Categories of individuals covered by the system: Veterans and/or dependents.

Categories of records in the system: A record of all payments made to or on behalf of an individual veteran and/or dependents.

Authority for maintenance of the system: Title 38, United States Code, Chapers 11, 13, 15, 19, 23, 31, 34, 35 & 36.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

1. In the event that a system of records maintained by this agency to carry out its functions indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, State, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto.

2. A record from this system of records may be disclosed as a "routine use to a Federal, State or local agency maintaining civil, criminal or other relevant information, such as current licenses, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant or other benefits.

3. A record from this system of records may be disclosed to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter.

4. To clarify disputed accounts, overpayment cases, furnishing abstract of payments, data on months of education entitlement used, and verification of payments made.

5. Relevant information from this system of records, including the nature and amount of a financial obligation, may be disclosed as a routine use, in order to assist the Veterans Administration in the collection of unpaid financial obligations owed the VA, to a debtor's employing agency or commanding officer so that the debtor-employee may be counseled by his or her Federal employer or commanding officer. This purpose is consistent with 5 U.S.C. 5514, 4 CFR 102.5, and section 206 of Executive Order 11222 of May 8, 1965 (30 FR 6469).

6. Relevant information from this system of records, including available identifying data regarding the debtor, such as name of debtor, last known address of debtor, name of debtor's spouse, social security account number of debtor, VA insurance number, VA loan number, VA claim number, place of birth and date of birth of debtor, name and address of debtor's employer or firm and dates of employment, may be disclosed to other Federal agencies, State probate courts, State drivers license bureaus, and State automobile title and license bureaus as a routine use in order to obtain current address, locator and credit report assistance in the collection of unpaid financial obligations owed the U.S. This purpose is consistent with the Federal Claims Collection Act of 1966 (Pub.L. 89-508, 31 U.S.C. 951-953) and 4 CFR Parts 101-105.

7. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

8. Disclosure may be made to NARA (National Archives and Records Administration) GSA (General Services Administration) in records management inspections condutced under authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Microfilm.

Retrievability: Name and claim number.

Safeguards: Access to microfilm files is restricted to VA employees. The records are protected from outside access by the Federal Protective Service.

Retention and disposal: Microfilm records are retained indefinitely.

System manager(s) and address: CONTROLLER (047), Veterans Administration Central Office, Washington, D.C. 20420.

Notification procedure: Individuals seeking information concerning existence of a record pertaining to themselves must submit a written request or apply in person to the nearest VA regional office or center. Addresses for VA regional offices and centers may be found in VA Appendix 1 at the end of this document.

Individuals must reasonably identify the benefit payment or system of records involved, i.e., Education, Compensation and Pension, Insurance. Inquiries should include the individual's full name, VA file number and return address.

Record access procedures: Veterans, beneficiaries or duly authorized representatives seeking information regarding access to and contesting of VA records may write, call or visit the nearest VA regional office or center.

Contesting record procedures: (See Record Access Procedures above.)

Record source categories: VA Benefit Payment Records.

40VA42

System name: Veterans and Dependents (Living and Deceased) National Cemetery System, Correspondence and Inquiry File-VA.

System location: VA Central Office and the National Cemetery wHere veteran or his dependent is interred. Address locations are listed in VA Appendix 1 at the end of this document.

Categories of individuals covered by the system: Veterans and their dependents both living and deceased.

Categories of records in the system: Military service data, inquiries as to burial location, details on issuance of headstone or marker; data on gravesite reservation and other miscellaneous inquiries relating to the burial of the deceased.

Authority for maintenance of the system: Pub. L. 93-43 dated June 18, 1973 "National Cemeteries Act of 1973."

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

1. A record from this system of records may be disclosed as a "routine use". to a foreign government allied with the U.S. during war, or a Federal, State or local agency maintaining civil, criminal or other pertinent information or military service data, if necessary to obtain information relevant to an agency decision concerning eligibility for burial or a reservation in a National Cemetery or the issuance of a Government headstone to mark a grave.

2. A record from this system of records may be disclosed to a Federal agency in response to its request in connection with the granting of a benefit to a veteran (including active duty personnel) or a dependent by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter.

3. In the event that a system of records maintained by this agency to carry out its functions indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, State, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto.

4. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

5. Disclosure may be made to NARA (National Archives and Records Administration) GSA (General Services Administration) in records management inspections conducted under authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper documents.

Retrievability: Alphabetically by name.

Safeguards: Released only to the person concerned or the next-of-kin upon receipt of proper identification.

Retention and disposal: Retire to Federal Records Center after 2 years, destroy 25 years thereafter.

System manager(s) and address: DIRECTOR (42), National Cemetery System, VA Central Office, Washington, D.C. 20420.

Notification procedure: (See System Manager above.)

Record access procedures: (See System Manager above.)

Contesting record procedures: (See System Manager above.)

Record source categories: Family members of the deceased, official military records and VA claim files.

41VA41

System name: Veterans and Dependents National Cemetery Gravesite Reservation Records-VA.

System location: Veterans Administration Central Office and the National Cemetery where reservation is made. Address locations are listed in VA Appendix 1 at the end of this document.

Categories of individuals covered by the system: Veterans and their dependents.

Categories of records in the system: Military service data, name and address of individual, data on gravesite reservation.

Authority for maintenance of the system: Pub. L. 93-43 dated June 18, 1973 "National Cemeteries Act of 1973".

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

1. A record from this system of records may be disclosed as a "routine use" to a foreign government allied with the U.S. during war, or a Federal, State or local agency maintaining civil, criminal or other pertinent information or military service data, if necessary to obtain information relevant to an agency decision concerning eligibility for burial or a reservation in a National Cemetery or the issuance of a Government headstone to mark a grave.

2. A record from this system of records may be disclosed to a Federal agency in response to its request in connection with the granting of a benefit to a veteran (including active duty personnel) or a dependent by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter.

3. In the event that a system of records maintained by this agency to carry out its functions indicates a violation or potenial violation of law, whether civil, criminal or regulatory in nature, and whether arising by general staute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, State, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto.

4. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

5. Disclosure may be made to NARA (National Archives and Records Administration) GSA (General Services Administration) in records management inspections conducted under authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper documents and magnetic tape.

Retrievability: Alphabetically by name and reservation survey date.

Safeguards: Released only to the person concerned or the next-of-kin upon receipt of proper.

Retention and disposal: Paper records are destroyed after interment; automated record is erased after reservation is used or cancelled.

System manager(s) and address: DIRECTOR (41), National Cemetery System, Veterans Administration Central Office, Washington, D.C. 20420.

Notification procedure: Same as System Manager.

Record access procedures: Same as System Manager.

Contesting record procedures: (See System Manager above.)

Record source categories: Reservee involved and official military records.

42VA41

System name: Veterans and Dependents National Cemetery Interment Records-VA.

System location: VA Central Office, and the National Cemetery where veteran or his dependent is interred. Address locations are listed in VA Appendix 1 at the end of this document.

Categories of individuals covered by the system: Deceased veterans and their dependents.

Categories of records in the system: Military service data, name and address of next-of-kin, burial location and cemetery burial services data.

Authority for maintenance of the system: Pub. L. 93-43 dated June 18, 1973 "National Cemeteries Act of 1973".

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

1. A record from this system of records may be disclosed as a "routine use" to a foreign government allied with the U.S. during war, or a Federal, State or local agency maintaining civil, criminal or other pertinent information or military service data, if necessary to obtain information relevant to an agency decision concerning eligibility for burial or a reservation in a National Cemetery or the issuance of a government headstone to mark a grave.

2. A record from this system of records may be disclosed to a Federal agency in response to its request in connection with the granting of a benefit to a veteran (including active duty personnel) or a dependent by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter.

3. To reply to inquiries, written and verbal, from family members and friends.

4. In the event that a system of records maintained by this agency to carry out its functions indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, State, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto.

5. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

6. Disclosure may be made to NARA (National Archives and Records Administration) GSA (General Services Administration) in

records management inspections conducted under authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper documents and microfilm.

Retrievability: Alphabetically by name.

Safeguards: Released only to the person concerned or the next-of-kin upon receipt of proper identification.

Retention and disposal: Retained permanently.

System manager(s) and address: DIRECTOR (41), National Cemetery System, VA Central Office, Washington, D.C. 20420.

Notification procedure: (See System Manager above.)

Record access procedures: (See System Manager above.)

Contesting record procedures: (See System Manager above.)

Record source categories: The veteran, family members of the deceased, official military records, and VA claims records.

43VA71

System name:

Veterans, Dependents of Veterans, and VA Beneficiary Survey Records—VA.

System location: Tape and disk records are maintained at the VA Data Processing Center (DPC), 1615 Woodward Street, Austin, Texas 78772; at VA Central Office, 810 Vermont Avenue, NW, Washington, DC 20420; or with private contractors acting as agents of the VA. Paper records are stored at the Washington National Records Center (WNRC) or with private contractors acting as agents of the VA.

Categories of individuals covered by the system: The following categories of individuals are covered by this system: (1)Veterans, (2) dependents of veterans, and (3) other VA beneficiaries.

Categories of records in the system: Records (or information contained in records) in this system may include: (1) Name, (2) social security number, (3) date of birth, (4) basic demographic data, (5) data on satisfaction with specific VA benefits or services, and (6) employment and earnings data.

Authority for maintenance of the system: Title 38, United States Code, Chapter 3, Sections 210 and 219.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: None.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are stored on magnetic tape and/or paper documents.

Retrievability: Records may be retrieved by name, social security number, date of birth, other potentially unique identifier, or a combination of identifiers which are unique when used in combination.

Safeguards: Access to the tape copies at the VADPC is restricted to authorized VA employees. Access to the computer room where the tapes are maintained within the DPC is further restricted to authorized VA employees on a "need-to-know" basis and is protected from unauthorized access by an alarm system, the Federal Protective Service, and VA security personnel. Access to the duplicate tapes at Central Office, when such tapes exist, is restricted to authorized VA employees on a "need-to-know" basis. The tapes are maintained in a locked drawer and protected from outside access by the Federal Protective Service and VA security personnel.

The paper records are maintained in a locked room at the WNR and are protected from outside access by the Federal Protective Service. Both peper and tape records maintained by contractors are held in equally secured conditions.

Retention and disposal:

Paper records (questionnaires) are sent to storage in the WNRC; or held by contractors and are retained for 10 years, subject to review at 3 years intervals, and then destroyed by burning or shredding. The magnetic tapes retained by the Office of Information Management and Statistics, the VADPC, or contractors, are subject to review at 3 year intervals; final disposition is by erasure of the magnetic tape.

System manager(s) and address: Director, Statistical Policy and Research Service (71), VA Central Office, Washington, D.C. 20420.

Notification procedures: An individual who wishes to determine whether a record is being maintained by the Director, Statistical Policy and Research Service (71), under his or her name or other personal identifier or wants to determine the contents of such records should submit a written request or apply in person to the Director, Statistical Policy and Research Service (71). The individual seeking this information would have to prove his or her identity and must present the following information: The name of the survey in question and approximate date of the survey, social security and/or VA claim number, full name and birth date.

Record access procedure: Individuals (or authorized representatives) desiring access to, and contesting of, VA records may write to the Director, Statistical Policy and Research Service (71), VA Central Office, 810 Vermont Avenue, NW, Washington, D.C. 20420.

Contesting record procedures: See Records access procedures above.

Record source categories: Information in the record is obtained from survey questionnaires provided by veterans, dependents, or VA beneficiaries in the survey sample and from veteransl, dependents, or VA beneficiaries on particular VA benefit rolls.

44VA01

System name: Veterans Appellate Records System-VA.

System location: Board of Veterans Appeals, Veterans Administration 810 Vermont Avenue, NW, Washington, D.C. 20420, and its contractor, Promisel & Korn, Inc., 4720 Montgomery Lane, Suite 900, Bethesda, MD 20814.

Categories of individuals covered by the system: Veterans, claimants and their representatives, Members of Congress, witnesses, Board members, and staff paralegals.

Categories of records in the system: Appeal Decision Jacket, copy of Board of Veterans Appeals decision, verbatim recording of hearings, computerized claims folder and briefface locator tracking system, mocrofiche decision locator table, computerized decision index, and employeeproductivity information.

Authority for maintenance of the system: 38 U.S.C. 4001(a), 4003; 5 U.S.C. 552.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

1. Reply to correspondence concerning decisions and other matters.
2. Disclosure to law enforcement personnel and security guards in order to alert them to presence of dangerous persons.
3. In the event that a system of records maintained by this agency to carry out its functions indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statue or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, State, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto.
4. A record from this system of records may be disclosed to a veteran claimant or a third party claimant to the extent necessary in the development of a potential beneficiary's claim for VA benefits (i.e., individual identifiers and other similar identifying information).
5. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.
6. Disclosure may be made to NARA (National Archives and Records Administration) GSA (General Services Administration) in records management inspections conducted under authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are stored in filing folders, rotary index file, filing cabinets, micrifiche, computer disc, and computer tape.

Retrievability: By veteran's name or file number.

Safeguards: Files are under custody of designated employees with access only to employees of Board of Veterans Appeals and its contractor who needs to know. Files kept by the contractor are in a locked rooms in a secured building. Personal identifiers are removed within a week of receipt.

Retention and disposal: Records are retained in accordance with records retention standards approved by the Archivist of the United States, the National Archives and Records Administration, and published inb Agency Records Control Schedules. Records are destroyed by shredding, burning, or by erasing the magnetic media. Automated storage media is retained and disposed of in accordance with disposition authorization approved by the Archivist of the United States.

System manager(s) and address: CHAIRMAN, BOARD OF VETERANS APPEALS (01), Board of Veterans Appeals, Veterans Administration Central Office, Washington, D.C. 20420.

Notification procedure: Board of Veterans Appeals (014), Veterans Administration Office, Washington, D.C. 20420.

Request should be made in writing. The following information, or as much as is available, should be furnished in order to identify the record: Name, service number, Veterans Administration file number or insurance number, branch of service and date of birth. For information from verbatim recordings, also furnish the approximate date of the hearing.

Record access procedures: Information and/or assistance as to access to Board of Veterans Appeals records or as to contesting the content of such records may be obtained by contacting the Freedom of Information Act Officer (01C1), Board of Veterans Appeals, Veterans Administration, 810 Vermont Avenue, Washington, D.C., 20420, or by telephoning (202) 233-3365.

Contesting record procedures: (See Record Access Procedures above.)

Record source categories: Claims folder and associated folders, hospital records, outpatient clinic records, Board of Veterans Appeals records, data furnished by correspondent, data presented at hearing, data furnished by Board of Veterans Appeals employees.

45VA23

System name:

Veterans Assistance Discharge System (VADS)-VA.

System location:

Records are maintained at the VA Data Processing Center, 1615 East Woodward Street, Austin, Texas 78772.

Categories of individuals covered by the system:

Individuals (veterans only) released from active military service from March, 1973, for whom separation documents (i.e., DD Form 214, 215) were received in the Data Processing Center, Austin, Texas.

Categories of records in the system:

The record, or information contained in the record may include identifying information and military discharge information. Identifying information may include the following concerning the veteran: Full name, social security number, service number, dates of birth. Military discharge information generally includes the primary military occupational specialty number, entry and release from active duty, character of service, branch of service, and mailing address at the time of discharge, amount of education (e.g., high school graduate or equivalent or not high school graduate or equivalent), sex, total amount of active service, the dollar amount of readjustment or severance pay, number of nonpaydays, pay grade, narrative reason for separation and whether the veteran was discharged with a disability, served in the Vietnam Conflict, reenlisted in the military service or received a military decoration such as a Purple Heart.

Authority for maintenance of the system:

Title 38, United States Code, Chapter 3, section 210(c).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

1. The record of an individual who is covered by this system may be disclosed to a member of Congress or staff person acting for the member when the member or staff person requests the record on behalf of and at the request of that individual.

2. Any information in this system may be disclosed to a Federal agency, upon its official request, to the extent that it is relevant and necessary to that agency's decision regarding: The hiring, retention or transfer of an employee; the issuance of a security clearance, the letting of a contract, or the issuance or continuance of a license, grant or other benefit given by that agency. However, in accordance with an agreement with the U.S. Postal Service, disclosures to the U.S. Postal Service for decisions concerning the employment of veterans will only be made with the veteran's prior written consent.

3. Any information in this system may be disclosed to a State or local agency, upon its official request, to the extent that it is relevant and necessary to that agency's decision on: The hiring, transfer or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance or continuance of a license, grant or other benefit by that agency; provided, that if the information pertains to a veteran, the name and address of the veteran will not be disclosed unless the name and address is provided first by the requesting State or local agency.

4. Any information in this system may be disclosed to a Federal agency, except for the name and address of a veteran, in order for the VA to obtain information relevant to the issuance of a benefit under title 38 U.S.C. The name and address of a veteran may be disclosed to a Federal agency under this routine use if they are required by the Federal agency to respond to the VA inquiry.

5. Any information in this system, except for the name and address of a veteran, which is relevant to a suspected violation or reasonably imminent violation of law, whether civil, criminal or regulatory in nature and whether arising by general or program statute or by regulation, rule or order issued pursuant thereto, may be disclosed to a Federal, State, local or foreign agency charged with the responsibility of investigating or prosecuting such violation, or charged with enforcing or implementing the statute, rule, regulation or order issued pursuant thereto.

6. The name and address of a veteran, which is relevant to a suspected violation or reasonably imminent violation of law, whether civil, criminal or regulatory in nature and whether arising by general or program statute or by regulation, rule or order issued pursuant thereto, may be disclosed to a Federal agency charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, regulation, rule or order issued pursuant thereto, in response to its official request.

7. The name and address of a veteran, which is relevant to a suspected violation or reasonably imminent violation of law concerning public health or safety, whether civil, criminal or regulatory in nature and whether arising by general or program statute or by regulation, rule or order issued pursuant thereto, may be disclosed to any foreign State or local governmental agency or instrumentality charged under applicable law with the protection of the public health or safety if a qualified representative of such organization, agency or instrumentality has made a written request that such name and address be provided for a purpose authorized by law.

8. Any information, including name and address of a veteran, may be disclosed to any nonprofit organization if the release is directly connected with the conduct of programs and the utilization of benefits under title 38 U.S.C. (such disclosures include computerized lists of names and addresses).

9. A listing of names and addresses of educationally disadvantaged veterans residing in a specific geographic area may be disclosed to VA-approved nonprofit educational facilities in order to aid these facilities in VA outreach programs by permitting direct contact with the educationally disadvantaged veteran.

10. Identifying information may be disclosed at the request of the veteran to accredited service organization representatives, VA-approved claims agents and attorneys acting under a declaration of representation so that these individuals can aid veterans in the preparation, presentation, and prosecution of claims under the laws administered by the VA. The name and address of a veteran will not, however, be disclosed to these individuals if the veteran has not requested the assistance of an accredited service organization, claims agent or an attorney.

11. The names and addresses and military discharge information (e.g., job-related information regarding veterans with a certain primary occupational specialty number) may be disclosed upon official request to the Departments of Justice, Labor and to the Department of Health and Human Services, Operation MEDIHC (Military Experience Directed Into Health Careers) State coordinators. These disclosures help veterans who were trained in health and other skills while in the military to learn of career opportunities.

12. Any information in this system of records may be disclosed to the Department of Defense Manpower Data Center, upon its official request, for statistical compilation of information contained on the separation documents issued by the Department of Defense. Veterans' addresses which are contained in this system of records may be disclosed to the Department of Defense Manpower Data Center, upon its official request, for military recruiting command needs. Department of Defense civilian personnel offices' mobilization studies and mobilization information, debt collection, and Individual Ready Reserve (IRR) Units' locator services.

13. The name, address, date of birth and other identifying data, including social security numbers, of a male veteran covered by this system may be released to the Selective Service System for the purpose of identifying men who served on active military duty, but failed to register with the Selective Service System upon separation or discharge from the service; providing the current addresses of veterans; correcting or supplementing the data which the Selective Service System receives from Department of Defense separation points; and ensuring the proper classification of veteraans for induction purposes in the event of a return to the draft. These records may also be disclosed as part of an ongoing computer matching program to accomplish these purposes .

14. Identifying information from this system of records, including name, mailing address, service discharge date, social security number, date of birth, service branch, gender, disability status, pay grade, educational level, date of enlistment and the amount of Servicemen's Group Life Insurance coverage carried at the time of discharge may be disclosed to the Office of Servicemen's Group Life Insurance for

the purposes of soliciting applications for life insurance coverage under the Veteran's Group Life Insurance program.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are maintained on magnetic tape.

Retrievability:

Records are retrievable by use of the social security number and the first five letters of the last name.

Safeguards:

Access to the basic file in the Austin DPC (Data Processing Center) is restricted to authorized VA employees and vendors. Access to the computer room where the magnetic tape is located within the DPC is further restricted to specifically authorized employees and is protected by an alarm system, the Federal Protective Service, and other VA security personnel.

Retention and disposal:

Records are retained and disposed of in accordance with disposition authorization approved by the Archivist of the United States.

System manager(s) and address:

Director, Administrative Service (23C), VA Central Office, Washington, D.C. 20420.

Notification procedure:

An individual who wishes to determine whether a record is being maintained in this system under his or her name or other personal identifier, or wants to determine the contents of such record, should submit a written request or apply in person to the Director, Administrative Service (23), VA Central Office, 810 Vermont Avenue NW., Washington, D.C. 20420. Inquiries should include the individual's full name and social security number.

Record access procedures:

Interested persons seeking information regarding access to and contesting of VA records may write, call or visit the Director, Administrative Service (23), VA Central Office, 810 Vermont Avenue, NW., Washington, D.C. 20420.

Contesting record procedures:

See Record access procedures above.

Record source categories:

The Department of Defense which provides copies to VA of DD Form 214, Certificate of Release or Discharge from Active Duty, DD Form 215, Correction to DD Form 214, U.S. Public Health Service which provides copies to the VA of PHS-1867, Statement of Service—Verification of Status of Commissioned Officers of the U.S. PHS, and the National Oceanic and Atmospheric Administration which provides the VA with copies of ESSA Form 56-16, report of separation, discharge.

46VA00

System name:

Veterans, Beneficiaries and Attorneys United States Government Insurance Award Records-VA.

System location:

Active records are located at the VA Regional Office and Insurance Centers in Philadelphia, Pennsylvania, and St. Paul, Minnesota. Inactive records are stored at various servicing Federal Archives and Records Centers and at the VA Records Processing Center in St. Louis, Missouri. Some pre-1968 records pertaining to beneficiaries of deceased veterans may be maintained in regional offices. Information from these files is also maintained in automated files at the VA Data Processing Centers in Philadelphia, Pennsylvania, and St. Paul, Minnesota. Information from the automated files in Philadelphia is available to all VA Regional Offices, except Manila, Philippines, through the ITS (Insurance Terminal System) which provides direct access to the records via video display terminals. Duplicate copies of certain manual and automated files are maintained at other locations in accordance with Federal and VA policy on security and vital records. Address locations of VA facilities are listed in VA Appendix 1 at the end of this document.

Categories of individuals covered by the system:

The following categories of individuals are covered by this system: (1) Veterans (not including dependents) drawing VA disability insurance payments; (2) beneficiaries of VA insurance drawing insurance proceeds; (3) attorneys drawing fees for aiding settlement of VA insurance cases; and (4) veterans (not including dependents) drawing proceeds on matured VA insurance contracts (e.g., endowment policies).

Categories of records in the system:

The life insurance records (or information contained in records) may include: (1) The name and address of the veteran and beneficiary; (2) VA file number; (3) social security number; (4) type of VA insurance; (5) payment amounts; (6) payment vouchers; (7) claims records for disability payments; (8) claim records for death claim payment; (9) beneficiary signature cards; (10) returned check information; (11) records of sums held as credit for veterans for disability payment; (12) records of unpaid insurance proceeds; (13) indebtedness to be withheld from insurance proceeds; (14) records of checks withheld from delivery to certain foreign countries; (15) index of payees; (16) correspondence to and from the payee; and (17) employment information.

Authority for maintenance of the system:

Title 38, United States Code, Chapter 3, Section 210(c); Title 38, United States Code, Chapter 19.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

1. The record of an individual who is covered by this system may be disclosed to a member of Congress or staff person acting for the member when the member or staff person requests the record on behalf of and at the request of that individual.

2. Any information in this system may be disclosed to a Federal agency, upon its official request, to the extent that it is relevant and necessary to that agency's decision regarding: The hiring, retention or transfer of an employee; the issuance of a security clearance, the letting of a contract, or the issuance or continuance of a license, grant or other benefit given by that agency. However, in accordance with an agreement with the U.S. Postal Service, disclosures to the U.S. Postal Service for decisions concerning the employment of veterans will only be made with the veteran's prior written consent.

3. Any information in this system may be disclosed to a State or local agency, upon its official request, to the extent that it is relevant and necessary to that agency's decision on: The hiring, transfer or retention of an employee, the issuance or continuance of a license, grant or other benefit by that agency: Provided, that if the information pertains to a veteran, the name and address of the veteran will not be disclosed unless the name and address is provided first by the requesting State or local agency.

4. Any information in this system may be disclosed to a Federal agency, except for the name and address of a veteran, in order for the VA to obtain information relevant to the issuance of a benefit under title 38 U.S.C. The name and address of a veteran may be disclosed to a Federal agency under this routine use if they are required by the Federal agency to respond to the VA inquiry.

5. The name and address of a veteran, beneficiary or an attorney and the amount of payment may be disclosed to the Treasury Department, in order for the Treasury Department to issue checks to the veteran, beneficiary or attorneys and estates of deceased veterans and beneficiaries.

6. Any information in this system, including the nature and amount of a financial obligation, may be disclosed as a routine use in order to assist the Veterans Administration in the collection of unpaid financial obligations owed the VA, to a debtor's employing agency or commanding officer so that the debtor-employee may be counseled by his or her Federal employer or commanding officer. This purpose is consistent with 5 U.S.C. 5514, 4 CFR 102.5, and section 206 of Executive Order 11222 of May 8, 1965 (30 FR 6469) and 38 U.S.C. 3301(b)(6).

7. Any information in this system, including available identifying data regarding the debtor, such as name of debtor, last known address of debtor, name of debtor's spouse, social security account number of debtor, VA insurance number, VA loan number, VA file number, place of birth and date of birth of debtor, name and address of debtor's employer or firm and dates of employment, may be disclosed to other Federal agencies, State probate courts, State drivers license bureaus, and State automobile title and license bureaus as a routine use in order to obtain current address, locator and credit report assistance in the collection of unpaid financial obligations owed the United States. This purpose is consistent with the Federal Claims Collection Act of 1966 (Pub. L. No. 89-508, 31 United States Code, 951-953) and 4 CFR Parts 101-105 and 38 U.S.C. 3301(b)(6).

8. Any information concerning the veteran's indebtedness to the United States by virtue of a person's participation in a benefits program administered by the VA, including personal information obtained from other Federal agencies through computer matching programs, may be disclosed to any third party, except consumer reporting agencies, in connection with any proceeding for the collection of an amount owed to the United States by virtue of a person's participation in any benefit program administered by the Veterans Administration. Purposes of these disclosures may be to (a) assist the VA in collection of title 38 benefit overpayments, overdue indebted-

ness, and or costs of services provided individuals not entitled to such services, and (b) initiate legal actions for prosecuting individuals who willfully or fraudulently obtain title 38 benefits without entitlement. This disclosure is consistent with 38 U.S.C. 3301(b)(6).

9. The name and address of a veteran, other information as is reasonably necessary to identify such veteran, including personal information obtained from other Federal agencies through computer matching programs, and any information concerning the veteran's indebtedness to the United States by virtue of the person's participation in a benefits program administered by the VA may be disclosed to a consumer reporting agency for purposes of assisting in the collection of such indebtedness, provided that the provisions of 38 U.S.C. 3301(g)(4) have been met.

10. Any information in this system may be disclosed to a Federal grand jury, a Federal court or a party in litigation, or a Federal agency or party to an administrative proceeding being conducted by a Federal agency, in order for the VA to respond to and comply with the issuance of a Federal subpoena.

11. Any information in this system may be disclosed to a State or municipal grand jury, a State or municipal court or a party in litigation, or to a State or municipal administrative agency functioning in a quasi-judicial capacity or a party to a proceeding being conducted by such agency, in order for the VA to respond to and comply with the issuance of a State or municipal subpoena; provided, that any disclosure of claimant information made under this routine use must comply with the provisions of 38 CFR 1.511.

12. Identifying information, except for the name and address of a veteran, may be disclosed to a Federal, State, County or Municipal agency for the purpose of conducting computer matches to obtain information to invalidate the entitlement of a veteran who is receiving or has received veterans insurance benefits under Title 38, United States Code. The name and address of a veteran may also be disclosed to a Federal agency under this routine use if they are required by the Federal agency to respond to the VA inquiry.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are stored on magnetic tape, microfilm, disks, index cards, and paper documents in file folders.

Retrievability:

All insurance awards records are retrievable by the insurance file number. The index cards are filed in alphabetical order.

Safeguards:

1. Physical Security: a. All VA facilities are protected outside access by the Federal Protective Service or other security personnel. All file areas are restricted to authorized personnel on a need-to-know basis. Areas containing paper records are protected by a sprinkler system. Paper records pertaining to employees and public figures, or otherwise sensitive files, are stored in locked files. Microfilm records are stored in a locked fireproof, humidity-controlled vault. Automated records which are not in use at the data processing centers are stored in secured, locked vault areas.

b. Access to VA data processing centers is restricted to center employees, custodial personnel, and Federal Protective Service or other security personnel. Access to computer rooms is restricted to authorized operational personnel through electronic locking devices. All other persons gaining access to computer rooms are escorted by an individual with authorized access.

c. At Regional Offices and the Regional Office and Insurance Centers the video display terminals on the ITS (Insurance Terminal System) are protected by key locks, magnetic access card readers, and audible alarms. Electronic keyboard locks are activated on security errors. A security officer at each facility is assigned responsibility for privacy-security measures, including review of violations logs and local control and distribution of passwords and magnetic access cards.

2. System Security. a. At the data processing centers, identification of magnetic tapes and disks containing data is rigidly enforced using manual and automated labeling techniques. Access to computer programs is controlled at three levels: Programming, auditing, and operations.

b. The ITS (Insurance Terminal System) uses the VA data telecommunications terminal system known as the Target System which provides computerized access control for security purposes. This system provides automated recognition of authorized users and their respective access levels/restrictions through passwords and magnetic access cards. Passwords are changed periodically and are restricted to authorized individuals on a need-to-know basis for system access or security purposes.

Retention and disposal:

Records are retained and disposed of in accordance with disposition authorization approved by the Archivist of the United States. The primary record, the insurance folder, is retained at the VA Regional Office and Insurance Center until it has been inactive for 36 months; at which time it is retired to a servicing Federal Archives and Records Center for 50 years retention and destroyed.

System manager(s) and address:

Director (00), VA Regional Office and Insurance Center, 5000 Wissahickon Avenue, Philadelphia, Pennsylvania 19101.

Notification procedure:

Any individual who wishes to determine whether a record is being maintained in this system under his or her name or other personal identifier, or who has a routine inquiry concerning the status of his or her insurance under this system may contact the nearest VA Regional Office. Requests concerning the specific content of a record must be in writing or in person to the VA Regional Office and Insurance Center at Philadelphia, Pennsylvania, or St. Paul, Minnesota, where the insurance folder is maintained. The inquirer should provide full name of the veteran, insurance file number, and date of birth. If insurance file number is not available, the social security number, service number, VA claim number, and/or location of insurance records will aid VA personnel in locating official insurance records. Address locations of VA facilities are listed in VA Appendix 1 at the end of this document.

Record access procedures:

Individuals desiring access to and contesting of VA records should write to the VA Regional Office and Insurance Center at Philadelphia, Pennsylvania or St. Paul, Minnesota.

Contesting record procedures:

See Record access procedures above.

Record source categories:

Information in the records is obtained from veterans, beneficiaries, attorneys, financial institutions and executors of estates, undertakers, other Federal agencies, VA medical facilities and civilian hospitals, and VA records.

48VA40B

System name: Veterans (Deceased) Headstone or Marker Records - VA.

System location: Veterans Administration Central Office, Washington, D.C. 20420.

Categories of individuals covered by the system: Deceased veterans.

Categories of records in the system: Military Service data, applicant's name and address, place of burial, data on headstone or marker, and consignee's name, address and phone number.

Authority for maintenance of the system: Pub. L. 93-43 dated June 18, 1973 "National Cemeteries Act of 1973."

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

1. For use in connection with the issuance of a government headstone or marker in a National Cemetery or a private cemetery.

2. In the event that a system of records maintained by this agency to carry out its functions indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, State, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto.

3. A record from this system of records may be disclosed as a "routine use" to a foreign government allied with the U.S. during war, or a Federal, State or local agency maintaining civil, criminal or other pertinent information or military service data, if necessary to obtain information relevant to an agency decision concerning eligibility for burial or a reservation in a national cemetery or the issuance of a government headstone to mark a grave.

4. A record from this system of records may be disclosed to a Federal agency, in response to its request, in connection with the granting of a benefit to a veteran (including active duty personnel) or a dependent by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter.

5. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

6. Disclosure may be made to NARA (National Archives and Records Administration) GSA (General Services Administration) in records management inspections conducted under authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper documents.

Retrievability: Alphabetically by name.

Safeguards: Released only to the person concerned (consignee) or family members upon receipt of proper identification.

Retention and disposal: Retained indefinitely.

System manager(s) and address: DIRECTOR (40B), National Cemetery System, Veterans Administration Central Office, Washington, D.C. 20420.

Notification procedure: Same as System Manager.

Record access procedures: Same as System Manager.

Contesting record procedures: See System Manager above.

Record source categories: Family members of the deceased, official military records and VA claims records.

49VA21

System name: Veterans, Dependents and Beneficiaries Compensation and Pension Records—VA.

System location: Records are maintained at the VA regional offices, the Records Processing Center, St. Louis, and Federal Archives and Records Centers. Active records are generally maintained by the regional office having jurisdiction over the domicile of the claimant, and the servicing Data Processing Center at Hines, Illinois with subsidiary accounts receivable records located at the Data Processing Center at St. Paul, Minnesota. Address locations are listed in VA Appendix 1 at the end of this document.

Categories of individuals covered by the system: 1. Veterans who have applied for compensation for service-connected disability under Title 38, United States Code, Chapter 11.

2. Veterans who have applied for non-service-connected disability, under Title 38, United States Code, Chapter 15.

3. Veterans entitled to burial benefits under Title 38, United States Code, Chapter 23.

4. Widows, widowers and children who have claimed pension based on non-service-connected death under Title 38, United States Code, Chapter 15.

5. Widows, widowers and children who have claimed Death Compensation based on service-connected death under Title 38, United States Code, Chapter 11.

6. Widows, widowers and children who have claimed Dependency and Indemnity Compensation for service-connected death under Title 38, United States Code, Chapter 13.

7. Parents who have applied for Death Compensation based on service-connected death under Title 38, United States Code, Chapter 11.

8. Parents who have applied for Dependency and Indemnity Compensation for service-connected death under Title 38, United States Code, Chapter 13.

Categories of records in the system: Military service and medical information; applications for Compensation and Pension benefits; adjudicative actions taken to determine eligibility; medical information from VA and private hospitals and doctors; information relating to dependency, income, education, family and social relations and occupation; payment data and claimant or payee name and address.

Authority for maintenance of the system: Title 38, United States Code, Chapter 3, Section 210(c)(1), Title 38, United States Code, Chapters 11, 13, 15, and 23.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: 1. Transfer of payment data for preparation of benefit checks to the Treasury Department for delivery of monies due VA beneficiaries.

2. Disclosure of VA records as deemed necessary and proper to accredited service organizations, agents, and attorneys recognized under a power of attorney or declaration of representation to assist in the preparation, presentation, and prosecution of claims.

3. Transfer of information to aid collection agencies in order to conduct a credit check to determine the likelihood of success in a collection action from claimants of debts owed to VA.

4. Further transfer of collection information to the General Accounting Office for obtaining a judgment against an individual debtor or otherwise collecting debts owed to the VA.

5. In the event that a system of records maintained by this agency to carry out its functions indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, State, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto.

6. A record from this system of records may be disclosed as a "routine use" to a Federal, State or local agency maintaining civil, criminal or other relevant information, such as current licenses, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant or other benefit.

7. A record from this system of records may be disclosed to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter.

8. Transfer of statistical and other data to Federal, State, and local government agencies and national health organizations to assist in the development of programs that will be beneficial to claimants and to protect their rights under law and assure that they are receiving all benefits to which they are entitled.

9. A record containing medical history, diagnoses, findings, or treatment may be released from this system of records in response to a request from the superintendent of a State hospital for psychotic patients, a commissioner or head of a State department of mental hygiene, or head of a State, county or city health department, or any fee basis physician or institution in connection with authorized treatment as a VA beneficiary, provided that the name of the individual to whom the record pertains is given and that the information will be treated as confidential, as is customary in civilian professional medical practice.

10. A record from this system of records may be disclosed to a State unemployment compensation agency, in response to its request, to the extent required to determine eligibility for their benefit.

11. A record from this system of records may be disclosed to the following agencies relative to military or naval service and as to both current and historical benefit payments made by the VA: Departments of the Army, Navy and Air Force; Marine Corps; Department of Transportation (Coast Guard); Department of Health, Education and Welfare, PHS (Public Health Service), Commissioned Corps; Department of Commerce, NOAA (National Oceanic and Atmospheric Administration), Commissioned Officer Corps.

12. A record from this system of records may be disclosed to a third party to the extent necessary in the development of a potential beneficiary's claim for VA benefits (i.e., individual identifiers and other similar identifying information).

13. A record containing the name(s) and address(es) of present or former members of the armed services and/or their dependents may be released from this system of records under certain circumstances: (1) To any nonprofit organization if the release is directly connected with the conduct of programs and the utilization of benefits under Title 38, and (2) to any criminal or civil law enforcement governmental agency or instrumentality charged under applicable law with the protection of the public health or safety if a qualified representative of such organization, agency or instrumentality has made a written request that such name(s) or address(es) be provided for a purpose authorized by law; provided, further, that the record(s) will not be used for any purpose other than that stated in the request and that the organization, agency or instrumentality is aware of the penalty provision of 38 U.S.C. 3301(f).

14. The amount of pension, compensation, dependency and indemnity compensation, educational assistance allowance, retirement pay and subsistence allowance, of any beneficiary, may be released from this system of records to any person who applies for such information.

15. A record from this system of records may be disclosed to a fiduciary (including those acting in a fiduciary capacity) recognized or appointed by the VA to the extent necessary to fulfill the fiduciary's function.

16. Relevant information from this system of records may be disclosed, as a routine use: In the course of presenting evidence to a Court, magistrate, or administrative tribunal in matters of guardianship, inquests, and commitments; to private attorneys representing veterans rated incompetent in conjunction with issuance of Certificates of Incompetency; and to probation and parole officers in connection with Court required duties.

17. Relevant information from this system of records, including the nature and amount of a financial obligation, may be disclosed as a routine use, in order to assist the Veterans Administration in the collection of upaid financial obligations owed the VA, to a debtor's employing agency or commanding officer so that the debtor-employee may be counseled by his or her Federal employer or commanding officer. This purpose is consistent with 5 U.S.C. 5514, 4 CFR 102.5, and section 206 of Executive Order 11222 of May 8, 1965 (30 FR 6469).

18. Relevant information from this system of records, including available identifying data regarding the debtor, such as name of debtor, last known address of debtor, name of debtor's spouse, social security account number of debtor, VA insurance number, VA loan number, VA claim number, place of birth and date of birth of debtor, name and address of debtor's employer or firm and dates of employment, may be disclosed to other Federal agencies, State probate courts, State drivers license bureaus, and State automobile title and license bureaus as a routine use in order to obtain current address, locator and credit report assistance in the collection of unpaid financial obligations owed the U.S. This purpose is consistent with the Federal Claims Collection Act of 1966 (Pub. L. 89-508, 31 U.S.C. 951-953) and 4 CFR Parts 101-105.

19. Release of information to a guardian ad litem in relation to his or her representation of a claimant in any legal proceeding.

20. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

21. Any relevant information may be disclosed to the Department of Justice and United States Attorneys in defense or prosecution of litigation involving the United States, and to Federal agencies upon their request in connection with review of administrative tort claims filed under the Federal Tort Claims Act, 28 U.S.C. 2672.

22. Disclosure may be made to NARA (National Archives and Records Administration) GSA (General Services Administration) in records management inspections conducted under authority of 44 U.S.C. 2904 and 2906.

23. Disclosure of medical record data, excluding name and address (unless name and address is furnished by the requester) for research purposes determined to be necessary and proper, to epidemiological and other research facilities approved by the Chief Medical Director.

24. In order to conduct Federal research necessary to accomplish a statutory purpose of an agency, at the written request of the head of the agency, or designee of the head of that agency, the name(s) and address(es) of present or former personnel of the Armed Services and/or their dependents may be disclosed (a) to a Federal department or agency or (b) directly to a contractor of a Federal department or agency. When a disclosure of this information is to be made directly to the contractor, the VA may impose applicable conditions on the department, agency and/or contractor to insure the appropriateness of the disclosure to the contractor.

25. Inquiry of record by research facilities to obtain data necessary to assist in medical studies on veterans for the Veterans Administration and other agencies, as approved by the Chief Medical Director, provided that the name of the veteran and other pertinent identifying data is furnished by the requester.

26. Information from this system of records which directly affects payment or potential payment of benefits to contesting claimants, including parties claiming an apportioned share of benefits may be coequally disclosed to each affected claimant upon rquest from that claimant in conjunction with the claim for benefits sought or received.

27. A record from this system of records may be released to the Social Security Administration, Bureau of Supplemental Security Income, as required for their determination of eligibility for or amounts of benefits, or to verify other amounts of benefits, or to verify other information with respect thereto.

28. Information such as the name, social security number, current employment location, file number and nature and amount of financial obligation may be disclosed to a debtor's Federal employing agency, the Department of Defense, military service departments, the Coast Guard, the Public Health Service, or to the National Oceanic and Atmospheric Administration upon its official request, so that a debtor-employee may be counseled by his or her Federal employer or commanding officer. This disclosure is made in order to assist the VA in the collection of unpaid financial obligations owed the VA and is consistent with 5 USC 5514, 4 CFR 102.5 and Section 206 of Executive Order 11222 of May 8, 1965 (30 FR 6469). Some of the information which may be disclosed under this routine use, such as a debtor's current Federal employment, is associated with a computer matching program.

29. Names and addresses, and other identifying data including the Social Security number, of surviving spouses, children and parents of deceased veterans may be released from this system of records to the Department of Defense (DOD) upon its official request in order for DOD to identify individuals eligible for health care benefits administered by the DOD, or to collect or verify information necessary for DOD facility planning, personnel studies, capitalization budgeting and post exchange, commissary and housing studies.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper documents, microfilm, magnetic tape, disk.

Retrievability: (a) All VA Compensation and Pension manual records are indexed by name and VA file number. (b) All automated records are indexed by name, VA file number, payee number and type of benefit.

Safeguards: Physical Security: Access to VA working spaces and claims folder storage areas is restricted to VA employees on a "need to know" basis. Generally, VA file areas are locked after normal duty hours and are protected from outside access by the Federal Protective Service. Employee file records and file records of public figures or otherwise sensitive files are stored in separate locked files. Strict control measures are enforced to ensure that disclosure is limited to a "need to know" basis.

Retention and disposal: Individual case folders and records are retained indefinitely.

System manager(s) and address: DIRECTOR, COMPENSATION AND PENSION SERVICE (21), VA Central Office, Washington, D.C. 20420.

Notification procedure: 1. Individuals seeking information concerning the existence of a record pertaining to themselves must submit a written request or apply in person to the nearest VA regional office. Addresses for VA regional offices and centers may be found in VA Appendix 1 at the end of this document.

2. All inquiries must reasonably identify the benefit or system of records involved; i.e., Compensation and Pension. Inquiries should include the individual's full name, VA file number and return address. If the VA file number is not available, the following information should be forwarded, if known: Veteran's full name, branch of service, dates of service, service number, social security number, and date of birth.

Record access procedures: Veterans, beneficiaries, service organization personnel or other duly authorized representatives seeking information regarding access to and contesting of VA records may write, call or visit the nearest Veterans Administration regional office or center.

Contesting record procedures: (See Record Access Procedures above.)

Record source categories: 1. The claimant, his accredited representative or his fiduciary. 2. The service department. 3. VA hospitals and doctors, or private hospitals and doctors if written authorization is obtained from the claimant. 4. Training establishments. 5. Other Federal agencies. 6. County Clerks, Courts, and other third parties, when assistance is requested by claimant.

50VA22

System name: Veterans, Dependents, Beneficiaries and Armed Forces Personnel Education and Rehabilitation Record-VA.

System location: Education records are maintained at the VA regional offices, Records Processing Center and Federal Archives and Records Centers. Active records will generally be maintained by the regional office having jurisdiction over the area in which the claimant resides, and at the servicing Data Processing Center at Hines, Illinois with subsidiary accounts recivable records located at the Data Processing Center at St. Paul, Minnesota. Address locations are listed in VA Appendix 1 at the end of this document.

Categories of individuals covered by the system: 1. Veterans who have applied for VA educational benefits under Title 38, United State Code, Chapter 31 and 34.

2. Spouse or widow(er) who has applied for VA educational benefits under Title 38, United States Code, Chapter 35.

3. Children who have applied for VA educational benefits under Title 38, United States Code, Chapter 35.

4. Service members who have applied for VA educational benefits under Title 38, United States Code, Chapter 34.

5. Service members who have applied for VA educational benefits under Title 38, United States Code, Chapter 32.

Categories of records in the system: Active duty separation information, medical records relating to treatment in service, applications, education and training, marital status and dependency information, current payment data and educational status relative to VA benefits.

Counseling and rehabilitation records are also maintained as necessary.

Authority for maintenance of the system: Title 38, United States Code, Chapter 3, Section 210(c)(1) and Chapters 31, 32, 34, 35, and 36.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: 1. Transfer of payment information to the Treasury Department to ensure delivery of benefit checks to VA beneficiaries.

2. Transfer of information to collection agencies in order to conduct a credit check to determine the likelihood of success in a collection action against individuals who owe debts to the VA.

3. Further transfer of necessary collection information to the General Accounting Office, for use in procedures incident to obtaining a judgment against the individual.

4. Forwarding of computer generated VA forms to VA approved educational institutions in order to certify individual's reenrollment and allow payment.

5. In the event that a system of records maintained by this agency to carry out its functions indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, State local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto.

6. A record from this system of records may be disclosed as a "routine use" to a Federal, State or local agency maintaining civil, criminal or other relevant information, such as current licenses, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant or other benefits.

7. A record from this system of records may be disclosed to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter.

8. Transfer of information regarding the induction, reentrance and dismissal of a disabled veteran from the vocational rehabilitation program to inform the training establishment of the actions taken.

9. Written and oral disclosure to VA approved Vocational Rehabilitation Training Establishments regarding the extent and nature of a claimant's disabilities with respect to any limitations to be imposed on the vocational program to ensure that the trainee receives the maximum benefit from training. A vast amount of discretion with respect to each disclosure is practiced.

10. Transfer of statistical and other data to Federal, State and local government agencies and national health organizations to assist in the development of programs that will be beneficial to claimants, to protect their rights under law, and to assure that they are receiving all benefits to which they are entitled.

11. The transfer of payment information to officials of schools and training establishments having VA beneficiaries when it can be determined that such a request is part of a legitimate attempt to assist the veteran or other eligible person to ascertain that correct amounts were paid. However, such information will not be provided as a routine use to school officials when the request is clearly an attempt to seek assistance in collection attempts against the veteran or eligible person.

12. Transfer to schools and other training establishments of VA education forms for completion by school and subsequent submission to the VA for processing of education and vocational rehabilitation training claims.

13. Transfer of VA education letters and form letters to schools and other training establishments which may, by necessity, contain identifying data about a veteran or eligible person in order to obtain further information from the school necessary to discharge VA responsibilities toward the veteran or eligible person.

14. Transfer of identifying information, such as name, file number and address to a school or training establishment official in order to obtain information necessary to pay the veteran or eligible person correct amounts in an expedited manner. (An example of the above is a telephone call to an OJT establishment to find out the number of hours worked.)

15. Transfer of necessary information concerning veterans and other eligible persons to State and local agencies and prospective employers for employment and/or training.

16. A record containing the name(s) and address(es) of present or former members of the armed services and/or their dependents may be released from this system of records under certain circumstances: (1) To any non-profit organization if the release is directly connected with the conduct of programs and the utilization of benefits under Title 38, and (2) to any criminal or civil law enforcement governmental agency or instrumentality charged under applicable law with the protection of the public health or safety if a qualified representative of such organization, agency or instrumentality has made a written request that such name(s) or address(es) be provided for a purpose authorized by law; provided, further, that the record(s) will not be used for any purpose other than that stated in the request and that the organization, agency or instrumentality is aware of the penalty provision of 38 U.S.C. 3301(f).

17. Relevant information from this system of records, including the nature and amount of a financial obligation, may be disclosed as a routine use, in order to assist the Veterans Administration in the collection of unpaid financial obligations owed the VA, to a debtor's employing agency or commanding officer so that the debtor-employee may be counseled by his or her Federal employer or commanding officer. This purpose is consistent with 5 U.S.C. 5514, 4 CFR 102.5, and section 206 of Executive Order 11222 of May 8, 1965 (30 FR 6469).

18. Relevant information from this system of records, including available identifying data regarding the debtor, such as name of debtor, last known address of debtor, name of debtor's spouse, social security account number of debtor, VA insurance number, VA loan number, VA claim number, place of birth and date of birth of debtor, name and address of debtor's employer or firm and dates of employment, may be disclosed to other Federal agencies, State probate courts, State drivers license bureaus, and State automobile title and license bureaus as a routine use in order to obtain current address, locator and credit report assistance in the collection of unpaid financial obligations owed the U.S. This purpose is consistent with the Federal Claims Collection Act of 1966 (Pub. L. 89-508, 31 U.S.C. 951-953) and 4 CFR Parts 101-105.

19. A record from this system of records may be disclosed to a State unemployment compensation agency, in response to its request, to the extent required to determine eligibility for their benefit.

20. A record from this system of records may be disclosed to the following agencies relative to military, naval, or air service and as to both current and historical benefit payments made by the VA: Departments of the Army, Navy, and Air Force; Marine Corps; Department of Transportation (Coast Guard); Department of Health, Education, and Welfare, PHS (Public Health Service), Commissioned Corps; Department of Commerce, NOAA (National Oceanic and Atmospheric Administration), Commissioned Officer Corps.

21. A record from this system of records may be disclosed to a third party to the extent necessary in the development of a potential beneficiary's claim for VA benefits (i.e. individual identifiers and other similar identifying information).

22. Disclosure of VA records as deemed necessary and proper to accredited service organizations, agents and attorneys recognized under a power of attorney or declaration of representation to assist in the preparation, presentation and prosecution of claims.

23. A record from this system of records may be disclosed to a fiduciary (including those acting in a fiduciary capacity) recognized or appointed by VA to the extent necessary to fulfill the fiduciary's function.

24. A record containing medical history, diagnoses, findings, or treatment may be released from this system of records in response to a request from the superintendent of a State hospital for psychotic patients, a Commissioner or head of a State department of mental hygiene or head of a State, county, or city health department or any fee basis physician or institution in connection with authorized treatment as a VA beneficiary, provided that the name of the individual to whom the record pertains is given and that the information will be treated as confidential, as is customary in civilian professional medical practice.

25. Relevant information from this system of records may be disclosed, as a routine use: In the course of presenting evidence to a court, magistrate, or administrative tribunal, in matters of guardianship, inquests and commitments; to private attorneys representing veterans rated incompetent in conjunction with issuance of Certificates of Incompetency; and to probation and parole officers in connection with Court required duties.

26. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

27. The amount of pension, compensation, dependency and indemnity compensation, educational assistance allowance, retirement pay and subsistence allowance, of any beneficiary, may be released from

this system of records to any person who applies for such information.

28. To the Department of Justice and United States Attorneys in defense or prosecution of litigation involving the United States.

29. Disclosure may be made to NARA (National Archives and Records Administration) GSA (General Services Administration) in records management inspections conducted under authority of 44 U.S.C. 2904 and 2906.

30. Disclosure of medical record data, excluding name and address (unless name and address is furnished by the requester) for research purposes determined to be necessary and proper, to epidemiological and other research facilities approved by the Chief Medical Director.

31. In order to conduct Federal research necessary to accomplish a statutory purpose of an agency, at the written request of the head of the agency, or designee of the head of that agency, the name(s) and address(es) of present or former personnel of the Armed Services and/or their dependents may be disclosed (a) to a Federal department or agency or (b) directly to a contractor of a Federal department or agency. When a disclosure of this information is to be made directly to the contractor, the VA may impose applicable conditions on the department, agency and/or contractor to insure the appropriateness of the disclosure to the contractor.

32. Inquiry of record by research facilities to obtain data necessary to assist in medical studies on veterans for the Veterans Administration and other agencies, as approved by the Chief Medical Director provided that the name of the veteran and other pertinent identifying data is furnished by the requester.

33. Information from this system of records which directly affects payment or potential payment of benefits to contesting claimants, including parties claiming an apportioned share of benefits, may be coequally disclosed to each affected claimant upon request from that claimant in conjunction with the claim for benefits sought or received.

34. A record from this system of records may be released to the Social Security Administration, Bureau of Supplemental Security Income, as required for their determination of eligibility for or amounts of benefits, or to verify other information with respect thereto.

35. Information from selected VA records, to include name, Social Security number, date of birth, delimiting date and remaining entitlement of VA educational benefits, may be disclosed to the Department of Health, Education, and Welfare (DHEW) or contractor thereof for specific use by the Office of Education (OE) to validate information regarding entitlement to VA benefits which is submitted by applicants who request educational assistance grants from OE. Such information will not be used for any other purpose by DHEW or contractor thereof.

36. Information such as the name, social security number, current employment location, file number and nature and amount financial obligation may be disclosed to a debtor's Federal employing agency, the Department of Defense, military service departments, the Coast Guard, the Public Health Service, or to the National Oceanic and Atmospheric Administration upon its official request, so that a debtor-employee may be counseled by his or her Federal employer or commanding officer. This disclosure is made in order to assist the VA in the collection of unpaid financial obligations owed the VA and is consistent with 5 U.S.C. 5514, 4 CFR 102.5 and Section 206 of Executive Order 11222 of May 8, 1965 (30 FR 6469). Some of the information which may be disclosed under this routine use, such as a debtor's current Federal employment, is associated with a computer matching program.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper documents, microfilm, magnetic tape, disk.

Retrievability: (a) All VA education manual records are indexed by name and Va file number (b) All automated records are indexed by name, VA file number, payee number and type of benefit.

Safeguards: Physical Security: Access to VA working spaces and claims folder storage areas is restricted to VA employees on a "need to know" basis. Generally, VA file areas are locked after normal duty hours and are protected from outside access by the Federal Protective Service. Employee file records and file records of public figures or otherwise sensitive files are sorted in separate locked files. Strict control measures are enforced to ensure that disclosure is limited to a "need to know" basis.

Retention and disposal: Education Records: Individual case folders and automated records are retained indefinitely.

System manager(s) and address: DIRECTOR, EDUCATION AND REHABILITATION SERVICE (22), VA Central Office, Washington, D.C. 20420.

Notification procedure: 1. Individuals seeking information concerning the existence of a record pertaining to themselves must submit a written request or apply in person to the nearest VA regional office. Addresses for VA regional offices and centers may be found in VA Appendix 1 at the end of this document.

2. All inquiries must reasonably identify the benefit or system of records involved; i.e., Education. Inquiries should include the individual's full name, VA file number and return address. If the Va file number is not available, the following information should be forwarded, if known: Branch of service, dates of service, service number, social security number, and date of birth.

Record access procedures: Veterans, beneficiaries, service personnel or duly authorized representatives seeking information regarding access to and contesting of VA records may write, call or visit the nearest Veterans Administration regional office of center.

Contesting record procedures: See Record Access Procedures above.

Record source categories: Educational system records are obtained from: 1. The claimant. 2. The service department. 3. Training establishments. 4. State approving agencies. 5. Other Federal agencies. 6. County Clerks, Courts, other third parties, etc. upon request for assistance by claimant.

53VA00

System name:

Veterans Mortgage Life Insurance-VA.

System location:

Records (i.e., application, VA special grant cards and correspondence) are maintained at the VA Regional Office and Insurance Center, St. Paul, Minnesota, and the Data Processing Center, Hines, Illinois; records of premium and interest payments and records on death cases are maintained at the Bankers Life Insurance Company of Nebraska, Cotner and O Streets, Lincoln, Nebraska 68501. Address locations of VA facilities are listed at VA Appendix 1 at the end of this document.

Categories of individuals covered by the system:

Veterans (not including dependents) who have been granted a specially adapted housing grant under title 38, United States Code, Chapter 21.

Categories of records in the system:

Records (or information contained in records) include: (1) Applications for veterans mortgage life insurance (applications contain the following information: Veteran's name, address, social security number, VA file number, date of birth, address of mortgaged property, name and address of mortgagor, mortgage account number, rate of interest, original amount of mortgage, and current amount of mortgage, monthly payment amount, mortgage payment period); (2) VA Special Grant Cards (cards contain name, address, dates of military service, branch of service, method of separation, whether veteran has VMLI (Veterans Mortgage Life Insurance), name and address of lender, legal description and property address and improvements to such properties, date applied for disability compensation, date initial application submitted, and grant information, amount of grant approved or whether the grant was canceled); (3) payment premium records; (4) interest payment records; and (5) correspondence to and from the veteran.

Authority for maintenance of the system:

Title 38, United States Code, Chapter 3, section 210(c)(1); Title 38, United States Code, Chapter 21.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

1. The record of an individual who is covered by this system may be disclosed to a member of Congress or staff person acting for the member when the member or staff person requests the record on behalf of and at the request of that individual.

2. Any information in this system, except for the name and address of a veteran, which is relevant to a suspected violation or reasonably imminent violation of law, whether civil, criminal or regulatory in nature and whether arising by general or program statute or by regulation, rule or order issued pursuant thereto, may be disclosed to a Federal, State, local or foreign agency charged with the responsibility of investigating or prosecuting such violation, or charged with enforcing or implementing the statute, rule, regulation or order issued pursuant thereto.

3. The name and address of a veteran, which is relevant to a suspected violation or reasonably imminent violation of law, whether civil, criminal or regulatory in nature and whether arising by general or program statute or by regulation, rule or order issued pursuant

thereto, may be disclosed to a Federal agency charged with the responsibility of investigating or prosecuting such violation, or charged with enforcing or implementing the statute, regulation, rule or order issued pursuant thereto, in response to its official request.

4. The name and address of a veteran, which is relevant to a suspected violation or reasonably imminent violation of law concerning public health or safety, whether civil, criminal or regulatory in nature and whether arising by general or program statute or by regulations, rule or order issued pursuant thereto, may be disclosed to any foreign, State or local governmental agency or instrumentality charged under applicable law with the protection of the public health or safety if a qualified representative of such organization, agency or instrumentality has made a written request that such name and address be provided for a purpose authorized by law.

5. The name and other identifying information and the amount of monthly premium payments to be deducted from VA benefits or to be paid by the veteran for a veteran's mortgage life insurance policy may be disclosed at the request of the veteran to the Bankers Life Insurance Company of Nebraska, Lincoln, Nebraska, in order to assist Bankers Life Insurance Company in ascertaining and crediting the correct monthly payments for an insured veteran.

6. Except for medical information, insurance contract information (e.g., name, address, and status of the account), any information in this system may be disclosed at the request of a veteran to an attorney acting under a declaration of representation, a VA-approved claims agent, an insurance agent, a trust officer, or to employees or members of an accredited service organization, or to the Red Cross so that these individuals or organizations can aid veterans in the preparation, presentation, or prosecution of claims under the laws administered by the VA. The name and address of a veteran will not, however, be disclosed to these individuals under this routine use if the veteran has not requested the assistance of an accredited service organization, claims agent, trust officer, the Red Cross or an attorney.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are stored on paper documents in manual account folders.

Retrievability:

All mortgage life insurance records are maintained by VA file number, date of birth and name as additional identifying data.

Safeguards:

All manual records at the VA Regional Office and Insurance Center are maintained in steel file cabinets and access to the files is limited to authorized personnel only. Information in these records is restricted to those authorized persons on a "need to know" basis.

Retention and disposal:

Inactive mortgage life insurance records are placed in a closed file and destroyed one year after closing. A record is determined inactive when any one of the following events occur: Mortgage paid in full, veteran's 70th birthday, termination of the veteran's ownership of the property securing the loan, payment of premiums discontinued by veteran, entire contract or agreement discontinued, or failure to timely submit required statement.

System manager(s) and address:

Director (00), VA Regional Office and Insurance Center, 5000 Wissahickon Avenue, Philadelphia, Pennsylvania 19101.

Notification procedure:

Any individual who wishes to determine whether a record is being maintained in this system under his or her name or other personal identifier, or wants to determine the contents of such record should submit a written request to the VA Regional Office and Insurance Center, St. Paul, Minnesota. The address for the VA Regional Office and Insurance Center may be found at Appendix 1. The inquirer should provide the veteran's name, VA file number and social security number and reasonably identify the benefit or system of records involved, i.e., Veterans Mortgage Life Insurance Records. If this information is not available, information concerning the lending institution, mortgage number of name and address of veteran involved should be furnished.

Record access procedures:

Individuals desiring access to, and contesting of VA records should write to the VA Regional Office and Insurance Center, St. Paul, Minnesota.

Contesting record procedures:

See Record access procedures above.

Record source categories:

Records are obtained from the veteran, lending institutions holding a veteran's mortgage, VA Loan Guaranty records, VA records, contractors remodeling or enlarging or adding construction to existing homes, relatives and other interested persons.

54VA136

System name:

Veteran's Spouse or Dependent Civilian Health and Medical Care Records–VA.

System location:

Paper and computer records are maintained at the CHAMPVA (Civilian Health and Medical Program of the Veterans Administration) Center, VA Medical Center, 1055 Clermont Street, Denver, CO 80220.

Categories of individuals covered by the system:

Eligible beneficiaries and all individuals who seek health care under Title 38, United States Code, section 613, including:

1. The spouse or child of a veteran who has a total disability, permanent in nature, resulting from a service-connected disability;

2. The surviving spouse or child of a veteran who died as a result of a service-connected disability, or who at the time of death had a total disability, permanent in nature, resulting from a service-connected disability;

3. The surviving spouse or child of a person who died in the active military, naval, or air service in the line of duty and not due to such person's own misconduct; and Who are not eligible for medical care under CHAMPUS (Civilian Health and Medical Program of the Uniformed Services) or Medicare.

4. The veteran sponsor of the spouse or child.

Categories of records in the system:

Records maintain in the system include medical benefit application and eligibility information concerning the spouse and/or dependent(s) and the veteran sponsor, correspondence concerning the individuals, and documents pertaining to claims for medical services and information related to claims processing and third party liability recovery actions taken by the VA and/or the OCHAMPUS which may include the name, address, and other identifying information concerning health care providers, amounts claimed and paid for the health care services, medical records, and treatment and payment dates. The record may include veteran, spouse and/or dependent identifying information (e.g., name, address, social security number, VA claims file number, date of birth) and military service information concerning the veteran sponsor (e.g., dates, branch and character of service, medical information).

Authority for maintenance of the system:

Title 38, United States Code, Chapter 3, section 210(c)(1), and Chapter 17, section 613.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

1. Disclosure of eligibility of entitlement to medical benefits to authorized health care providers under the law in order to assist the provider in obtaining reimbursement for the services rendered.

2. Transfer of statistical and other data to Federal, State, and local government agencies and national health organizations to assist in the development of programs that will be beneficial to health care recipients, to protect their rights under law, and to assure that they are receiving all health benefits to which they are entitled.

3. In the event that a system of records maintained by this agency to carry out is functions indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, State, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto.

4. A record from this system of records may be disclosed to a Federal agency, in the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter.

5. A record from this system of records may be disclosed as a "routine use" to a Federal, State or local agency maintaining civil, criminal or other relevant information, such as current licenses, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a

security clearance, the letting of a contract, or the issuance of a license, grant or other health, educational or welfare benefit.

6. Relevant information from this system of records, including the nature and amount of a financial obligation, may be disclosed as a routine use, in order to assist the Veterans Administration in the collection of unpaid financial obligations owed the VA, to a debtor's employing agency or commanding officer so that the debtor-employee may be counseled by his or her Federal employer or commanding officer. This purpose is consistent with 5 U.S.C. 5514, 4 CFR 102.5, and section 206 of Executive Order 11222 of May 8, 1965 (30 FR 6469).

7. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

8. Disclosure may be made to NARA (National Archives and Records Administration) GSA (General Services Administration) in records management inspections conducted under authority of 44 U.S.C. 2904 and 2906.

9. Any relevant information may be disclosed to attorneys, insurance companies, employers, and to courts, boards, or commissions; such disclosures may be made only to the extent necessary to aid the Veterans Administration in preparation, presentation, and prosecution of claims authorized under Federal, State, or local laws, and regulations promulgated thereunder.

10. Any information in this system may be disclosed to the United States Department of Justice or United States Attorneys in order for the foregoing parties to prosecute or defend litigation involving or pertaining to the United States.

11. Any information in this system may be disclosed to a Federal grand jury, a Federal court or a party in litigation, or a Federal agency or party to an administrative proceeding being conducted by a Federal agency, in order for the VA to respond to and comply with the issuance of a Federal subpoena.

12. Any information in this system may be disclosed to a State or municipal grand jury, a State or municipal court or a party in litigation, or to a State or municipal administrative agency functioning in a quasi-judicial capacity or a party to a proceeding being conducted by such agency, in order for the VA to respond to and comply with the issuance of a State or municipal subpoena; provided that any disclosure of claimant information made under this routine use must comply with the provisions of 38 CFR 1.511.

13. Any information concerning the claimant's indebtedness to the United States by virtue of a person's participation in a benefits program administered by the VA, including personal information obtained from other Federal agencies through computer matching programs, may be disclosed to any third party, except consumer reporting agencies, in connection with any proceeding for the collection of any amount owed to the United States. Purposes of these disclosures may be to assist the VA in collection of costs of services provided individuals not entitled to such services and to initiate legal actions for prosecuting individuals who willfully or fraudulently obtain Title 38 benefits without entitlement. This disclosure is consistent with 38 U.S.C. 3301(b)(6).

14. Any relevant information may be disclosed to the Department of Defense, Office of Civilian Health and Medical Program of the Uniformed Services (OCHAMPUS) and OCHAMPUS fiscal intermediaries, and the Defense Eligibility Enrollment Reporting System (DEERS) to the extent necessary to determine eligibility for CHAMPVA or CHAMPUS benefits, to develop and process CHAMPVA or CHAMPUS claims, and to develop cost recovery actions for claims involving individuals not eligible for the services or claims involving potential third party liability.

15. The name and address of a veteran or dependent, and other information as is reasonably necessary to identify such individual, may be disclosed to a consumer reporting agency for the purpose of locating the individual or obtaining a consumer report to determine the ability of the individual to repay an indebtedness to the United States arising by virtue of the individual's participation in a benefits program administered by the VA, provided that the requirements of 38 U.S.C. 3301(g)(2) have been met.

16. The name and address of a veteran or dependent, other information as is reasonably necessary to identify such individual, including personal information obtained from other Federal agencies through computer matching programs, and any information concerning the individual's indebtedness to the United States by virtue of the person's participation in a benefits program administered by the VA may be disclosed to a consumer reporting agency for purposes of assisting in the collection of such indebtedness, provided that the provision of 38 U.S.C. 3301(g)(4) have been met.

17. In response to an inquiry about a named individual from a member of the general public, disclosure of information may be made from this system of records to report the amount of VA monetary benefits being received by the individual. This disclosure is consistent with 38 U.S.C. 3301(c)(1).

18. The name and address of a veteran or dependent may be disclosed to another Federal agency or to a contractor of that agency, at the written request of the head of that agency or designee of the head of that agency for the purpose of conducting government research necessary to accomplish a statutory purpose of that agency.

19. Any information in this system relevant to a claim of a veteran or dependent, such as the name, address, the basis and nature of a claim, amount of benefit payment information, medical information and military service and active duty separation information may be disclosed at the request of the claimant to accredited service organizations, VA approved claims agents and attorneys acting under a declaration of representation so that these individuals can aid claimants in the preparation, presentation and prosecution of claims under the laws administered by the VA. The name and address of a claimant will not, however, be disclosed to these individuals under this routine use if the claimant has not requested the assistance of an accredited service organization, claims agent or an attorney.

20. Any information in this system including medical information, the basis and nature of claim, the amount of benefits and personal information may be disclosed to a VA Federal fiduciary or a guardian ad litem in relation to his or her representation of a claimant only to the extent necessary to fulfill the duties of the VA Federal fiduciary or the guardian ad litem.

21. The individual's name, address, social security number and the amount (excluding interest) of any indebtedness which is waived under 38 U.S.C. 3102, compromised under 4 CFR Part 103, otherwise forgiven, or for which the applicable statute of limitations for enforcing collection has expired, may be disclosed to the Treasury Department, Internal Revenue Service, as a report of income under 26 U.S.C. 61(a)(12).

22. The name of a veteran or dependent, other information as is reasonably necessary to identify such individual, and any other information concerning the individual's indebtedness by virtue of a person's participation in a benefits program administered by the VA, may be disclosed to the Treasury Department, Internal Revenue Service, for the collection of Title 38, U.S.C. benefit overpayments, overdue indebtedness, and/or costs of services provided to an individual not entitled to such services, by the withholding of all or a portion of the person's Federal income tax refund.

Policies and practices for storing, retrieving, accessing, retaining and disposing of records in the system:

Storage:

Records are stored in paper folders, magnetic discs, and magnetic tape.

Retrievability:

Paper records are retrieved by name or VA claims file number or social security number of the veteran sponsor. Computer records are retrieved by name or social security number of the the veteran sponsor, spouse, and/or dependent, or VA claims file number of the veteran sponsor.

Safeguards:

Records are stored in locked file cabinets or locked rooms. Generally, file areas are locked after normal duty hours and the premises are protected from outside access by Federal Protective Service or other security personnel. Access to working spaces and record storage areas is restricted to VA employees on a "need-to-know" basis. Access to the computer room is generally limited by appropriate locking devices and restricted to authorized VA employees and vendor personnel. ADP peripheral devices are generally placed in secure areas (areas that are locked or have limited access) or are otherwise protected. Information in the computer system may be accessed by authorized VA employees by a series of individually unique passwords/codes.

Retention and disposal:

Records are maintained and disposed of in accordance with records disposition authority approved by the Archivist of the United States.

System manager(s) and address: DIRECTOR, MEDICAL ADMINISTRATION SERVICE (136), VA Central Office, Washington, D.C. 20420.

Notification procedure:

An individual who wishes to determine whether a record is being maintained in this system under his or her name or other personal identifier, or wants to determine the contents of such record, should submit a written request or apply in person to the Director, CHAMPVA Center, VA Medical Center, 1055 Clermont Street, Denver, Colorado 80220. Inquiries should include the veteran sponsor's full name and social security and VA claims file numbers, and the spouse or dependent's name, social security number and return address.

Record access procedures:

An individual who seeks acess to records maintained under his or her name in this system may write or visit the Director, CHAMPVA Center.

Contesting record procedures: (See Record Access Procedures above.)

Record source categories:

The veteran sponsor, spouse and/or dependent, military service departments, private medical facilities and health care professionals, Department of Defense, Office of Civilian Health and Medical Program of the Uniform Services and CHAMPUS fiscal intermediaries, DoD Defense Eligibility Enrollment Reporting System (DEERS), other Federal agencies, VA regional offices, and Department of Veterans Benefits automated record systems.

55VA26

System name:

Loan Guaranty Home, Condominium and Manufactured Home Loan Applicant Records, Specially Adapted Housing Applicant Records, and Vendee Loan Applicant Records—VA.

System location:

Records are maintained at the VA Central Office, the regional offices, medical and regional office centers, VA offices and VA data processing centers. These records generally will be maintained by the regional office, medical and regional office center or VA office having jurisdiction over the geographic area in which the property securing a VA guaranteed, insured or direct loan or on which a specially adapted housing grant has been issued and is located at the Servicing Data Processing Centers at Hines, Illinois; Austin, Texas; and St. Paul, Minnesota. Records may be temporarily transferred between field stations or to VA Central Office for necessary appeals, reviews, or quality control reviews. Address locations are listed in VA Appendix 1 at the end of this document.

Categories of individuals covered by the system:

The following categories of individuals will be covered by this system:(1) Disabled veterans who have applied for and received specially adapted housing assistance under title 38, United States Code, chapter 21; (2) veterans, their spouses or unmarried surviving spouses who have applied for and received VA housing credit assistance under title 38, United States Code, chapter 37; (3) person(s) applying to purchase VA owned properties (vendee loans); (4) transferee owners of properties encumbered by a VA-guaranteed, insured, direct or vendee loan (e.g., individuals who have assumed a VA-guaranteed loan and those who have purchased property directly from the VA); and (5) individuals other than those identified above who may have applied for loan guaranty benefits.

Categories of records in the system:

Records (or information contained in records) may include the following: (1) Military service information from a veteran's discharge certificate (DD Form 214, 215) which specifies name, service number, date of birth, rank, period of service, length of service, branch of service, pay grade, and other information relating to a veteran's military service (e.g., character of service, assigned separation reason code, whether a veteran is out of the service); (2) medical records containing specific information regarding a veteran's physical disability (e.g., blindness, paraplegic condition, loss of limbs) which is used to determine eligibility and need for specially adapted housing. Adjudication records relating to: (a) Medical determinations by the VA that a veteran is eligible and needs specially adapted housing; or (b) VA determinations on whether a veteran who has received an other than honorable discharge should be eligible for VA credit assistance benefits; (3) applications for certificates of eligibility (these applications generally contain information from a veteran's military service records except for character of discharge); (4) applications for FHA veterans' low-downpayment loans (these applications generally contain information from a veteran's military service records including whether or not a veteran is in the service); (5) applications for a guaranteed or direct loan, applications for release of liability, applications for substitutions of VA entitlement and applications for specially adapted housing (these applications generally contain information relating to employment, income, credit, personal data; e.g., social security number, marital status, number and identity of dependents; assets and liabilities at financial institutions, profitability data concerning business of self-employed individuals, information relating to an individual veteran's loan account and payment history on a VA-guaranteed, direct, or vendee loan on an acquired property, medical information when specially adapted housing is sought, and information regarding whether a veteran owes a debt to the United States) and may be accompanied by other supporting documents which contain the above information; (6) applications for the purchase of a VA acquired property (e.g., vendee loans—these applications generally contain personal and business information on a prospective purchaser such as social security number, credit, income, employment history, payment history, business references, personal information and other financial obligations and may be accompanied by other supporting documents which contain the above information); (7) loan instruments including deeds, notes, installment sales contracts, and mortgages; (8) property management information; e.g., condition and value of property, inspection reports, certificates of reasonable value, correspondence and other information regarding the condition of the property (occupied, vandalized), and a legal description of the property; (9) information regarding VA loan servicing activities regarding default, repossession and foreclosure procedures, assumability of loans, payment of taxes and insurance, filing of judgments (liens) with State or local authorities and other related matters in connection with active and/or foreclosed loans; and (10) information regarding the status of a loan (i.e., approved, pending or rejected by the VA).

Authority for maintenance of the system:

Title 38, United States Code, chapter 3, section 210(c)(1); title 38, United States Code, chapters 21 and 37.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

1. The record of an individual who is covered by this system may be disclosed to a member of Congress or staff person acting for the member when the member or staff person requests the record on behalf of and at the request of that individual.

2. Any information in this system, except for the name and address of a veteran, which is relevant to a suspected violation or reasonably imminent violation of law, whether civil, criminal or regulatory in nature and whether arising by general or program statute or by regulation, rule or order issued pursuant thereto, may be disclosed to a Federal, State, local or foreign agency charged with the responsibility of investigating or prosecuting such violation, or charged with enforcing or implementing the statute, rule, regulation or order issued pursuant thereto.

3. The name and address of a veteran, which is relevant to a suspected violation or reasonably imminent violation of law, whether civil, criminal or regulatory in nature and whether arising by general or program statute or by regulation, rule or order issued pursuant thereto, may be disclosed to a Federal agency charged with the responsibility of investigating or prosecuting such violation, or charged with enforcing or implementing the statute, regulation, rule or order issued pursuant thereto, in response to its official request.

4. The name and address of a veteran, which is relevant to a suspected violation or reasonably imminent violation of law concerning public health or safety, whether civil, criminal or regulatory in nature and whether arising by general or program statute or by regulation, rule or order issued pursuant thereto, may be disclosed to any foreign, State or local government agency or instrumentality charged under applicable law with the protection of the public health or safety if a qualified representative of such organization, agency or instrumentality has made a written request that such name and address be provided for a purpose authorized by law.

5. Any information in this system, such as the name and address of a veteran or the veteran's spouse, and the property address may be disclosed to credit reporting agencies, companies extending credit, depository institutions, utility companies, investors, insurance companies, governmental agencies, lenders, and employers to enable such parties to provide the VA with information regarding income, credit, assets and liabilities information on applicants, mortgagors, or obligors and to provide the VA with information regarding the status of obligations, payment records, employment histories, assets for closing fees and other assets and liabilities.

6. Information on the application for a guaranteed or direct loan, and on the certificate of reasonable value and information verifying an applicant's employment and/or amount of deposit in a financial institution, may be disclosed to a prospective mortgagee proposing to make a guaranteed loan on the veteran applicant's behalf.

7. Information regarding the status (i.e., approved, pending, or rejected) or an application for VA loan benefits or for a loan account and the reasons for rejection may be disclosed to a prospective lender. When the VA has rejected a loan application, the information disclosed may include information from another VA record such as a debt which the veteran owes to the United States or information from a claims file relating to a veteran's ability to discharge an obligation.

8. Only the fact that the loan has been approved, rejected, or is pending may be disclosed to a seller, a spouse of a seller, or the spouse of the veteran-applicant who is an actual party in interest to the guaranteed, insured or direct loan transaction in order to inform such party of the status of the loan application. However, a statement of the reason for rejection of the loan may also be provided to the spouse of the veteran-applicant, if the spouse is a joint applicant for the loan or would be jointly liable on the loan.

9. Any information on the application for a VA-acquired property (vendee loan) concerning a prospective purchaser may be disclosed to a broker aiding in the sale of a VA-acquired property in order that the broker may assist the prospective purchaser in completing his or her application. Such information may include an explanation of specific loan document discrepancies or specific information on income or credit.

10. Information on the status (i.e., the payment record), of a guaranteed, insured, direct, or VA-acquired property (vendee) loan account(s) may be disclosed to persons or organizations extending credit or providing services or other benefits to the obligor, or persons or organizations considering the extension of credit, services or other benefits to the potential obligor provided the name, address, or other information necessary to identify the obligor is given beforehand by the requester.

11. The name and address of an obligor (e.g., an individual who has obtained a VA-guaranteed loan or purchased a VA property), and the account number (insurance, tax number) may be disclosed to hazard insurance companies and real estate taxing authorities to obtain billings and to authorize payments of such obligations as they become due from the direct and vendee (portfolio) loan escrow accounts.

12. Information as to the acceptability or nonacceptability of a prospective purchaser preparing to assume liability to VA under a mortgage contract or as to the acceptability or nonacceptability of a prospective purchaser preparing to substitute loan guaranty entitlement for the party presently obligated may be disclosed to parties presently liable on a VA loan, loan guaranty or loan insurance agreement. Generally, the reason(s) for nonacceptability of the prospective loan assumer (e.g., poor credit history, insufficent income and/or debts owed the U.S.) may also be disclosed to parties presently liable on a VA loan, loan guaranty or loan insurance agreement in order to inform the parties presently liable of the reasons for the nonacceptability.

13. Information on the default status of a delinquent loan account (e.g., amount of payments in arrears, number of months in arrears, what efforts the VA has taken to service the loan, condition of the property, repayment schedule, and total amount of debt) may be disclosed to prior owners remaining contingently liable for indebtedness to permit prior owners to take necessary action(s) to protect their interest where loan liquidation is indicated and to prevent a possible debt to the Government which may be placed against the prior owner.

14. Any information in this system such as current obligor, prior obligors, debt outstanding, current credit reports containing an obligor's name and address and date(s) and cause of the default, and loan account information (e.g., loan account number, property condition, legal description, date loan issued, amount of loan and amount in arrears) may be disclosed to the U.S Department of Justice or United States Attorneys, in order for the Department of Justice or U.S. Attorneys to liquidate a defaulted loan by judicial process, and take title on the foreclosed property in accordance with State law. Any information in this system may also be disclosed to the Department of Justice or U.S. Attorneys in order for the foregoing parties to prosecute or defend litigation involving or pertaining to the United States.

15. Loan account information (e.g., loan account number, property condition, legal description of property, date loan issued, amount of loan and amount in arrears), current credit reports containing name and address of an obligor and the cause and date(s) of default may be disclosed to the General Accounting Office (GAO) to enable the GAO to pursue necessary collection activities and obtain a judgment against the obligor(s).

16. Any information in a direct or vendee loan account record may be disclosed to active investors purchasing or considering the purchase of VA direct or vendee loans from VA or from a previous investor. Such information will be furnished to active prospective investors to provide a basis for their submitting an offer to purchase loans and to actual investors in order that they may establish loan accounts on purchased loans. Such information may also be disclosed to financial advisors to assist VA in developing strategies for marketing these loans, and to investment bankers, bond rating agencies, other government agencies, private mortgage insurance companies, bonding companies, master servicers, and others involved in the marketing or sale of vendee loans, including legal counsel, accountants and auditors for such entities.

17. Any information in this system, including the nature and amount of a financial obligation, may be disclosed to a debtor's Federal employing agency or commanding officer so that the debtor-employee may be counseled by his or her Federal employer or commanding officer and to assist in the collection of unpaid financial obligations owed the U.S. This purpose is consistent with 5 U.S.C. 5514, 4 CFR 102.5, and section 206 of Executive Order 11222 of May 8, 1965 (30 FR 6469).

18. Any information in this system may be disclosed to a guardian ad litem in relation to the guardian's representation of a veteran in any legal or administrative proceeding so long as the disclosure is for the benefit of the veteran.

19. Any information in this system such as available identifying information regarding the debtor(s), name of debtor(s) spouse, social security account number of debtor(s), VA insurance number(s), VA loan number(s), VA claim number(s), place(s) of birth and date(s) of birth of debtor(s), name(s) and address(es) of debtor(s) employer(s), and dates of employment may be disclosed to other Federal agencies, State probate courts, State drivers license bureaus, and State automobile title and license bureaus in order for the VA to obtain current name, address, locator and credit report assistance in the collection of unpaid financial obligations owed to the United States. This purpose is consistent with the Federal Claims Collection Act of 1966 (Pub. L. 89–508, 31 U.S.C. 951–953 and 4 CFR Parts 101–105), and the disclosure is authorized by 38 U.S.C. 3301(b)(6).

20. Any information in this system, such as a loan applicant's or a defaulted obligor's (i.e., a defaulted obligor is an individual that has not performed one or more of the required obligations under the terms of the loan instruments) name and address, property address, balance of debt, amount of debt owed per month, loan account number, credit reports and reasons for notice to quit, may be disclosed to fee attorneys, fee appraisers, management brokers, process servers, title companies, and abstractors for the purposes of loan approval or loan termination of direct or vendee loans by judicial or nonjudicial means, to obtain possession of VA property in cases of default or foreclosure, to issue and post Demands for Possession or Notices to Quit, to file judgments (liens) in accordance with State and local law and to carry out all other necessary VA program responsibilities.

21. An obligor's social security number and other information regarding the filing of judgments (liens) may be disclosed to appropriate State and local authorities in order to conform to State and local law requirements and to assist the VA and State and local authorities in identifying VA judgment debtors on State and local judgment records. This disclosure is consistent with 38 U.S.C. 3301(b)(6).

22. Any information in this system relating to the adjudication of incompetency of a veteran either by a court of competent jurisdiction or by the VA may be disclosed to a lender or prospective lender extending credit or proposing to extend credit on behalf of a veteran in order for the VA to protect incompetent veterans from entering into unsound financial transactions which might deplete the resources of the veteran and to protect the interests of the Government giving credit assistance to a veteran.

23. Any information in this system may be disclosed to a Federal Grand jury, a Federal court or a party in litigation, or a Federal agency or party to an administrative proceeding being conducted by a Federal agency, in order for the VA to respond to and comply with the issuance of a Federal subpoena.

24. Any information in this system may be disclosed to a State or municipal court or a party in litigation; or to a State or municipal grand jury, a State or municipal administrative agency functioning in a quasi-jurdicial capacity or a party to a proceeding being conducted by such agency, in order for the VA to respond to and comply with the issuance of a State or municipal subpoena; provided, that any disclosure of claimant information made under this routine use must comply with the provisions of 38 CFR 1.511.

25. Any information concerning the veteran's indebtedness to the United States by virtue of a person's participation in a benefits program administered by the VA, including personal information obtained from other Federal agencies through computer matching programs, may be disclosed to any third party, except consumer reporting agencies, in connection with any proceeding for the collection of any amount owed to the United States. Purposes of these disclosures may be (a) to assist the VA in collection of title 38 benefit overpayments, overdue indebtedness, and/or costs of services provided individuals not entitled to such services, and (b) to initiate legal actions for prosecuting individuals who willfully or fraudulently obtained title 38 benefits without entitlement. This disclosure is consistent with 38 U.S.C. 3301(b)(6).

26. The name and address of an obligor, other information as is reasonably necessary to identify such person, including personal information obtained from other Federal agencies through computer matching programs, and any information concerning such person's delinquency or default on a loan made or guaranteed by the VA may be disclosed to a consumer reporting agency for purposes of reporting delinquencies, defaults and indebtedness and assisting in the collection of such indebtness, provided that the provisions of 38 U.S.C. 3301(g)(4) have been met.

27. Any information in this system, except for the name and address of a veteran, may be disclosed to a Federal agency in order for the VA to obtain information relevant to the making, insuring, or guaranteeing of a loan under chapter 37 of title 38 U.S.C. The name and address of a veteran may be disclosed to a Federal agency under this routine use if they are required by the Federal agency to respond to the VA inquiry.

28. The name of a veteran, or other beneficiary, other information as is reasonably necessary to identify such individual, and any other information concerning the individual's indebtedness by virtue of a person's participation in a benefits program administered by the VA, may be disclosed to the Treasury Department, Internal Revenue Service, for the collection of Title 38, U.S.C. benefit overpayments, overdue indebtedness, and/or costs of services provided to an individual not entitled to such services, by the withholding of all or a portion of the person's Federal income tax refund.

29. Any information in the system may be disclosed to the Department of the Treasury, Internal Revenue Service, where required by law, including the borrower's name, address, social security or taxpayer identification number, amount of interest paid, and informaiton relating to any abandonment or foreclosure of a property.

30. Any information on a property which has been acquired by VA such as loan number, property address, property survey, title limitations/policy, termite inspections, existing warranties, repairs made by VA and items still requiring repair, and dues payable to and services provided by homeowner or condominum associations may be disclosed to prospective purchasers and their representatives in order to assist VA in the timely disposal of its acquired preperties. Such information may include the name of the purchaser and purchaser's sales agent, price and terms of the successful offeror's, along with the reason(s) for selecting such offer over any other competing offer.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

VA-guaranteed, insured, direct and vendee loan records are maintained in individual folders on paper documents and on automated storage media (i.e, microfilm, microfiche, magnetic tape and magnetic disks.)

Retrievability:

All VA loan applications and loan records are indexed by name and VA loan file number in the local VA office having jurisdiction over the geographic area in which the property is located. Automated records are indexed by a file number, field station and county code number and lender identification number.However, an individual loan record in automated format may only be retrieved by name or loan number.

Safeguards:

Access to VA working spaces and record file storage areas is restricted to VA employees on a "need to know" basis. Generally, VA file areas are locked after normal duty hours and are protected from outside access by the Federal Protective Service or other VA security personnel. Loan and property security instruments are stored in separate fire resistant locked files. VA employee loan file records and other files which, in the opinion of VA, are, or may become, sensitive are stored in separate locked files.

Information in the system may be accessed from authorized terminals in the VA telecommunications network. Terminal locations include VA Central Office and regional offices. Access to terminals is by authorization controlled by the site security officer. The security officer is assigned responsibility for privacy-security measures, especially for review of violations logs, information logs and control of password and badge readers and audible alarms. Electronic keyboard locks are activated on security errors. Also, beginning in 1986, sensitive files will be established using the social security numbers of the VA Department of Veterans Benefits employees and other prominent individuals to prevent indiscriminate access to their automated records.

At the data processing centers, identification of magnetic tape and disks containing data is rigidly enforced using labeling techniques. Automated storage media which are not in use are stored in tape libraries which are secured in locked rooms. Access to programs is controlled at three levels: Programming, auditing and operations. Access to data processing centers is generally restricted to center employees, custodial personnel, Federal Protective Service and other security personnel. Access to computer rooms is restricted to authorized operational personnel through electronic locking devices. All other persons gaining access to computer rooms are escorted.

Retention and disposal:

Records in individualized case folders concerning active VA guaranteed or insured loans are retained at the VA servicing facility for up to three years and forwarded to the Federal Archives and Records Center (FARC) where they are retained up to thirty-three years and then destroyed. Active direct loan case folders are retained at the VA servicing facility until the case becomes inactive; e.g., existing loan balance is paid in full.

Inactive guaranteed and direct loan folders are forwarded to the FARC annually, retained for five years and then destroyed. Vendee loan records being maintained in case folders are kept at the VA servicing facility until five years after the case becomes inactive and are then destroyed. Specially adapted housing (SAH) records are maintained either at VA Central Office (VACO) and/or the VA servicing facility. Once SAH records are closed, SAH records at VACO are maintained for one year and then sent to the FARC where they are retained for thirty years and then destroyed. Closed SAH records maintained at regional offices are maintained for ten years and then destroyed. Generally, automated records (e.g., computer lists, discs and microfiche) are maintained for up to five years and then destroyed. Destruction of records is accomplished by shredding, burning and/or erasure.

System manager(s) and address:

Director, Loan Guaranty Service (26), VA Central Office, Washington, D.C. 20420.

Notification procedure:

An individual who wishes to determine whether a record is being maintained in this system under his or her name or other personal identifier or wants to determine the contents of such record should submit a written request or apply in person to the nearest Veterans Administration regional office or center. Addresses for VA regional offices and centers may be found in VA Appendix 1 at the end of this document. All inquiries must reasonably identify the benefit or system of records involved, i.e.; Loan Guaranty. Inquiries should include the individual's full name, VA file number or loan number. If the VA file or loan number is not available, then as much of the following information as possible should be forwarded: Address of the property secured by a VA-guaranteed, insured or portfolio loan, owner or former owners of the property, name of lender and lender's loan number, branch of service, service number or social security number. Some of the records in this system are exempt from the notification requirement under 5 U.S.C. 552a(k). To the extent that records in this system of records are not subject to exemption, they are subject to notification. A determination as to whether an exemption applies shall be made at the time a request for notification is received.

Record access procedures:

An individual who seeks access to or wishes to contest records maintained under his or her name in this system may write, call or visit the nearest Veterans Administration regional office or center. Address locations are listed in VA Appendix 1 at the end of this document. However, some of the records in this system are exempt from the record access and contesting requirements under 5 U.S.C. 552a(k). To the extent that records in this system of records are not subject to exemption, they are subject to access and contest. A determination as to whether an exemption applies shall be made at the time a request for access or contest is received.

Contesting record procedures:

(See Record access procedures above.)

Record source categories:

The VA records in this system are obtained from the applicant, lenders, brokers and builder/sellers, an applicant's credit sources, depository institutions and employers, hazard insurance companies, taxing authorities, title companies, fee personnel, other VA records, other Federal, State and local agencies, and other parties of interest involving VA-guaranteed, insured, vendee or direct loans or specially adapted housing.

Systems exempted from certain provisions of the act:

The Administrator of Veterans Affairs has exempted this system of records from the following provisions of the Privacy Act of 1974, as permitted by 5 U.S.C. 552a(k)(2).

5 U.S.C. 552a(c)(3)

5 U.S.C. 552a(d)
5 U.S.C. 552a(e)(1)
5 U.S.C. 552a(e)(4)(G), (H) and (I)
5 U.S.C. 552a(f)

Reasons for exemptions: The exemption of information and material in this system fo records is necessary in order to accomplish the law enforcement functions of the Loan Guaranty Service to prevent subjects of internal audit investigations for potential fraud and abuse in the VA Loan Guaranty Program from frustrating the investigatory process, to fulfill commitments made to protect the confidentiality of sources, to maintain access to sources of information and to avoid endangering these sources.

56VA119

System name: Automated Medication Processing Records—VA, 56VA119.

System location:

Computerized records will be maintained at the following computer site locations: Boston VAMC, New York VAMC, San Juan VAMC, Washington VAMC, Richmond VAMC, Atlanta VAMC, Birmingham VAMC, Lexington VAMC, Tampa VAMC, Hines Medical Computer Support Center, Austin Data Processing Center (DPC), Omaha VAMC, Salt Lake City VAMC, Los Angeles DPC, San Francisco VAMC and Seattle VAMC. Appendix 3 list the names and addresses of the facilities that will have direct, on-line access to the computerized records. (Generally, each computer site serves the VA Facilities in its VA medical district.) The first facilities are scheduled to have access starting in July 1981. All are scheduled to have access by January 1985. Until the above locations become operational, the Los Angeles DPC will serve the Brentwood, Loma Linda, Long Beach, Sepulveda, and Wadsworth VAMC's, as well as the Los Angeles and Santa Barbara Outpatient Clinics (OPCs); the St. Paul DPC will serve the Minneapolis VAMC and St. Paul OPC; and the Hines DPC will serve the Chicago West Side VAMC.

Categories of individuals covered by the system:

The following categories of individuals will be covered by the System: (1) Inpatient and outpatient veterans, excluding dependents, receiving medication from pharmacies; (2) health care providers (e.g., physicians, podiatrists, and dentists) prescribing medication; and (3) pharmacy personnel dispensing medications.

Categories of records in the system:

Records may include (1) veteran identification information such as name, social security number, address, sex, and age; (2) veteran medication profile information such as medication name, patient identification, medication quantity, prescriber, prescriber's Drug Enforcement Agency (DEA) number, medication dosage and medication administration instructions; (3) prescriber identification information such as name, DEA number, address, type of VA appointment, speciality, and phone number; (4) pharmacy dispensing information such as dispensing pharmacist identification, to whom dispensed, place of dispensing and the name and quantity of the medication dispensed; (5) daily pharmacist productivity information such as pharmacist identification, date, facility number, pharmacy identification, various work categories, and the associated work time in each category; and (6) medication receiving information such as pharmacist identification, date, facility number, pharmacy identification, manufacturers' name and address, medication name, quantity and lot number, and cost.

Authority for maintenance of the system:

Title 38, United States Code, Sections 610, 611, 612, and 4101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

1. The record of an individual who is covered by this system may be disclosed to a member of Congress or staff person acting for the member when the member or staff person requests the record on behalf of and at the request of that individual.

2. Any information in this system, except for the name and address of a veteran, which is relevant to a suspected violation or reasonably imminent violation of law, whether civil, criminal or regulatory in nature and whether arising by general or program statute or by regulation, rule or order issued pursuant thereto, may be disclosed to a Federal, State, local or foreign agency charged with the responsibility of investigating or prosecuting such violation, or charged with enforcing or implementing the statute, rule, regulation or order issued pursuant thereto.

3. The name and address of a veteran which is relevant to a suspected violation or reasonably imminent violation of law, whether civil, criminal or regulatory in nature and wheter arising by general or program statute or by regulation, rule or order issued pursuant thereto, may be disclosed to a Federal agency charged with the responsibility of investigating or prosecuting such violation, or charged with the enforcing or implementing the statute, regulation, rule or order issued pursuant thereto, in response to its official request.

4. The name and address of a veteran which is relevant to a suspected violation or reasonably imminent violation of law concerning public health or safety, whether civil, criminal or regulatory in nature and whether arising by general or program statute or by regulation, rule or order issued pursuant thereto, may be disclosed to any foreign, State or local government agency or instrumentality charged under applicable law with the protection of the public health or safety if a qualified representative of such organization, agency or instrumentality has made a written request that such name and address be provided for a purpose authorized by law.

5. Any information in this system including the name and address of a veteran may be disclosed to any nonprofit organization if the release is directly connected with the conduct of programs and the utilization of benefits under title 38 (such disclosures include computerized lists of names and addresses).

6. Any information in this system may be disclosed in response to a request from a health care provider in direct connection with treatment for a veteran provided the name of the individual to whom the record pertains is given and the information will be treated as confidential, as is customary in civilian professional medical practice.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are maintained on magnetic tape and disk.

Retrievability:

Records are retrievable by either the Patient's Social Security Number, or Prescriber's Identification Number, or Pharmacist Identification Code. Such numbers are obtained from other agency records containing the name of these individuals.

Safeguards:

Access to the VA Data Processing Centers is generally restricted to authorized Federal employees and authorized representatives of vendors. Access to the computer rooms within the DPC's and VA Medical Centers is further restricted to especially authorized Federal employees and vendor personnel. Protection is provided by alarm systems as well as guard service.

Information in the system may be accessed from remote terminals via a telecommunications network maintained by the VA on dedicated lines. The system recognizes authorized users by a health care facility identifier transmitted as a part of each data message.

The areas housing the telecommunications terminals are secured by double locked doors. During those periods when pharmacy personnel are present in the areas housing the terminal (viewing screen and printer) devices, only the Professional Staff Officer-of-the-Day and the VAMC Security Officer (at certain facilities) will possess keys or combination for gaining access through the double door security. Access to terminal devices areas is restricted to Federal employees on a "need to know" basis.

Retention and disposal:

Records are maintained on-line on disk for thirteen (13) months after the last recorded activity. They are then put onto tape in a recallable off-line history status for thirty-six (36) months at the computer site locations. Disposal is accomplished by erasure at the computer location sites.

System manager(s) and address: Director, Pharmacy Service (119), VA Central Office, 810 Vermont Avenue, N.W., Washington, D.C. 20420.

Notification procedure:

An individual who wishes to determine whether a record in this system is being maintained by the VA Medical Care Facility where the care was rendered under his or her personal identifier or wishes to determine the contents of such records should submit a written request or apply in person and submit their full name, social security or other identifying number, approximate date(s) of medical care, and the location of the Health Care Facility involved, to the Director, Veterans Administration Medical Care Facility (119) where the care was rendered.

Record access procedures: An individual who seeks access to or wishes to contest records maintained under his or her personal indentifier may write, call or visit the Director, Veterans Adminstration Medical Care Facility (119) where the care was rendered.

Contesting record procedures:

(See Records access procedures above.)

Record source categories:

Patient's medical prescription (part of the Patient Consolidated Medical Record portion of the VA Medical Records System), medication dispensing records, medication refill/renewal requests, pharmacy inventory receiving/dispensing documents, VA Medical Care facility staff lists, and VA fee basis staff lists.

57VA125

System name: Voluntary Service Records-VA.

System location: Records are maintained at each of the VA health care facilities and data processing centers. Active records are retained at the facility where the individual has volunteered to assist the administrative and professional personnel and at the data processing centers. Address locations are listed in VA Appendix 1, "Addresses of Veterans Administration Facilities" published September 7, 1976 (41 FR 37718).

Categories of individuals covered by the system: Non-affiliated volunteers and members of voluntary service organizations; welfare, service, veterans, fraternal, religious, civic, industrial, labor, and social groups or clubs which voluntarily offer the services of their organizations to patients through VA Voluntary Service under Title 38, United States Code, Section 213.

Categories of records in the system: Administrative records containing personal information about the individual making application to become a volunteer in a VA health care facility. Information relating to the individual medical history, membership in service organization, qualifications, restrictions and preferences of duty and availability to schedule time of service.

Authority for maintenance of the system: Title 38, United States Code, Section 213.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

1. In the event that a system of records maintained by this agency to carry out its functions indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, State, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto.

2. To confirm volunteer service, duty schedule, and assignments to the Bureau of Unemployment, service organizations, insurance firms, office of personnel of the individual's full-time employment; to assist in the development of the Veterans Administration history of the volunteer and his/her assignments; and, to confirm voluntary hours for on-the-job accidents, and for recognition awards.

3. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

4. Disclosure may be made to NARA (National Archives and Records Administration) GSA (General Services Administration) in records management inspections conducted under authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: (a) Paper documents; (b) X-ray; (c) punch cards; (d) magnetic tapes; (e) magnetic disk packs.

Retrievability: (a) All volunteer applications are filed by name and social security number or pseudo SSN and cross-referenced under organization they represent; (b) Medical histories and X-rays by name and social security number or pseudo SSN.

Safeguards: Physical Security: Access to VA working space and medical record storage areas and data processing centers is restricted to VA employees on a "need to know" basis. Generally, VA file areas are locked after normal duty hours and are protected from outside access by the Federal Protective Service. Employee file records of public figures or otherwise sensitive medical record files are stored in separate locked files. Access to the ARS network equipment is restricted since it is in the communications center of the facility. Strict control measures are enforced to ensure that disclosure is limited to a "need to know" basis.

Retention and disposal: The individual volunteer's record of service is maintained by the Veterans Administration health care facility and data processing centers as long as he or she is living and actively participating in the VAVS program, or until he or she irrevocably removes himself or herself from further participation in the VAVS program, or is removed from the VAVS program for cause.

System manager(s) and address: DIRECTOR, VOLUNTARY SERVICE (125) Veterans Administration, VA Central Office, Washington, D.C. 20420.

Notification procedure: Individuals seeking information concerning the existence and content of a volunteer's service record pertaining to themselves must submit a written request or apply in person to the VA health care facility where their voluntary service was accomplished. All inquiries must reasonably identify the portion of the volunteer's service folder and approximate the dates of service to the facility. Inquiries should include the volunteer's name, social security number or pseudo SSN, organization represented, date of birth, last address while serving as a volunteer to the VA.

Record access procedures: Volunteers, dependents, survivors or duly authorized representatives seeking information regarding access to and contesting of VA Voluntary Service records may contact the Chief, Voluntary Service, Veterans Administration health care facility where individual was a voluntary worker.

Contesting record procedures: See Record access procedures above.

Record source categories: 1. The volunteer, his/her family. 2. Civic and service organization. 3. Private physician. 4. VA health care facility.

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System name:

Compensation, Pension, Education and Rehabilitation Records-VA.

System location:

Records are maintained at the VA regional offices, the VA Records Processing Center, St. Louis, Missouri and the Data Processing Center at Hines, Illinois, with subsidiary accounts receivable records located at the Data Processing Center at St.Paul, Minnesota. Active records are generally maintained by the regional office having jurisdiction over the domicile of the claimant. Address locations are listed in VA Appendix at the end of this document. The automated individual employee productivity records are temporarily maintained at the VA data processing facility serving the office in which the employee is located. The paper record is maintained at the VA regional office having jurisdiction over the employee who processed the claim.

Categories of individuals covered by the system:

1. Veterans who have applied for compensation for service-connected disability under 38 U.S.C. Chapter 11.

2. Veterans who have applied for nonservice-connected disability under 38 U.S.C. Chapter 23.

3. Veterans entitled to burial benefits under 38 U.S.C. Chapter 15.

4. Surviving spouses and children who have claimed pension based on nonservice-connected death of a veteran under 38 U.S.C. Chapter 15.

5. Surviving spouses and children who have claimed pension based on service-connected death of a veteran under 38 U.S.C. Chapter 11.

6. Surviving spouses and children who have claimed dependency and indemnity compensation for service-connected death of a veteran under 38 U.S.C. Chapter 13.

7. Parents who have applied for death compensation based on service-connected death of a veteran under 38 U.S.C. Chapter 11.

8. Parents who have applied for dependency and indemnity compensation for service-connected death of a veteran under 38 U.S.C. Chapter 13.

9. Veterans who have applied for VA educational benefits under 38 U.S.C. 31, 32, and 34.

10. Spouses, surviving spouses and children of veterans who have applied for VA educational benefits under 38 U.S.C. Chapter 35.

11. Service members who have applied for educational benefits under 38 U.S.C. Chapters 34 and 35.

12. Service members who have contributed money from their military pay to the Post-Vietnam Era Veterans Education Account under 38 U.S.C. Chapter 32.

13. Individuals who have applied for title 38 benefits but who do not meet the requirements under 38 U.S.C. to receive such benefits.

14. Veterans, service members, spouses, surviving spouses and dependent children who have applied for benefits under the Educational Assistance Test program under sections 901 and 903 of Pub. L. 96-342.

15. Veterans who apply for training and employers who apply for approval of their programs under the provisions of the Emergency Veterans' Job Training Act of 1983, Pub. L. 98-77.

16. Veterans, service members and eligible reservists who apply for benefits under 38 U.S.C. Chapter 30.

17. Eligible members of the Selected Reserve who apply for benefits under 10 U.S.C. Chapter 106.

18. Any VA employee who generates or finalizes adjudicative actions using the TARGET computer processing.

Categories of records in the system:

The record, or information contained in the record, may include identifying information (e.g., name, address, social security number); military service and active duty separation information (e.g., name, service number, date of birth, rank, sex, total amount of active service, branch of service, character of service, pay grade, assigned separation reason, whether veteran was discharged with a disability, served in Vietnam Conflict, reenlisted, received a Purple Heart of other military decoration); payment information (e.g., veteran payee name, address, dollar amount of readjustment service pay, amount of disability or pension payments number of nonpaydays, any amount of indebtedness (accounts receivable) arising from title 38 U.S.C. benefits and which are owed to the VA); medical information (e.g., medical and dental treatment in the Armed Forces including type of service-connected disability, medical facilities or by VA health care personnel or received from private hospitals and health care personnel relating to a claim for VA disability benefits or medical or dental treatment); personal information (e.g., martial status, name and address of dependents, occupation, amount of education of a veteran or a dependent, dependent's relationship to veteran); education benefit information (e.g., information arising from utilization or training benefits such as a veteran trainee's induction, reentrance or dismissal from a program or progress and attendance in an education or training program); applications for compensation, pension, education and rehabilitation benefits and training which may contain identifying information, military service and active duty separation information, payment information, medical and dental information, personal and education benefit information relating to a veteran or beneficiary's incarceration in a penal institution (e.g., name of incarcerated veteran or beneficiary, claims file number, name and address of penal institution, date of commitment, type of offense, scheduled release date, veteran's date of birth, beneficiary relationship to veteran and whether veteran or beneficiary is in a work release or half way house program, on parole or has been released from incarceration).

The VA employee's Target Access Card number, the number and kind of actions generated and/or finalized by each such employee, the compilation of cases returned for each employee.

Authority for maintenance of the system:

Title 38, United States Code, section 210(c) and Chapters 11, 13, 15, 31, 34, 35, and 36.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

1. The record of an individual who is covered by this system may be disclosed to a member of Congress or staff person acting for the member when the member or staff person requests the record on behalf of and at the request of that individual.

2. Any information in this system may be disclosed to a Federal agency, upon its official request, to the extent that it is relevant and necessary to that agency's decision regarding: The hiring, retention or transfer of an employee; the issuance of a security clearance, the letting of a contract, or the issuance or continuance of a license, grant or other benefit given by that agency. However, in accordance with an agreement with the U.S. Postal Service, disclosures to the U.S. Postal Service for decisions concerning the employment of veterans will only be made with the veteran's prior written consent.

3. Any written information in this system may be disclosed to a State or local agency, upon official request, to the extent that it is relevant and necessary to that agency's decision on: The hiring, retention or transfer of an employee, the issuance of a security clearance, the letting of a contract, or the issuance or continuance of a license, grant or other benefit by that agency; provided, that if the information pertains to a veteran, the name and address of the veteran will not be disclosed unless the name and address is provided first by the requesting State or local agency.

4. Any information in this system, except for the name and address of a veteran, which is relevant to a suspected violation or reasonably imminent violation of law, whether civil, criminal or regulatory in nature and whether arising by general or program statute or by regulation, rule or order issued pursuant thereto, may be disclosed to a Federal, State, local or foreign agency charged with the responsibility of investigating or prosecuting such violation, or charged with enforcing or implementing the statute, rule, regulation or order issued pursuant thereto.

5. The name and address of a veteran, which is relevant to a suspected violation or reasonably imminent violation of law, whether civil, criminal or regulatory in nature and whether arising by general or program statute or by regulation, rule or order issued pursuant thereto, may be disclosed to a Federal agency charged with the responsibility of investigation or prosecuting such violation or charged with enforcing or implementing the statute, regulation, rule or order issued pursuant thereto, in response to its official request.

6. The name and address of a veteran, which is relevant to a suspected violation or reasonably imminent violation of law concerning public health or safety, whether civil, criminal or regulatory in nature and whether arising by general or program statute or by regulation, rule or order issued pursuant thereto, may be disclosed to any foreign, State or local governmental agency or instrumentality charged under applicable law with the protection of the public health or safety if a qualified representative of such organization, agency or instrumentality has made a written request that such name and address be provided for a purpose authorized by law.

7. The name, address, entitlement code (e.g., compensation or pension), period(s) of service, sex, and date(s) of discharge may be disclosed to any nonprofit organization if the release is directly connected with the conduct of programs and the utilization of benefits under title 38 U.S.C. Disclosures may be in the form of a computerized list.

8. Any information in this system, except for the name and address of a veteran, may be disclosed to a Federal agency in order for the VA to obtain information relevant to the issuance of a benefit under title 38 U.S.C. The name and address of a veteran may be disclosed to a Federal agency under this routine use if they are required by the Federal agency to respond to the VA inquiry.

9. Any information in this system may be disclosed in connection with any proceeding for the collection of an amount owed to the United States by virtue of a person's participation in any benefit program administered by the Veterans Administration when in the judgment of the Administrator, or official generally delegated such authority under standard agency delegation of authority rules (38 CFR 2.6), such disclosure is deemed necessary and proper, in accordance with 38 U.S.C. 3301(b)(6).

10. The name and address of a veteran, and other information as is reasonably necessary to identify such veteran, may be disclosed to a consumer reporting agency for the purpose of locating the veteran, or, obtaining a consumer report to determine the ability of the veteran to repay an indebtedness to the United States arising by virtue of the veteran's participation in a benefits program administered by the VA, provided that the requirements of 38 U.S.C. 3301(g)(2) have been met.

11. The name and address of a veteran, other information as is reasonably necessary to identify such veteran, including personal information obtained from other Federal agencies through computer matching programs, and any information concerning the veteran's indebtedness to the United States by virtue of the person's participation in a benefits program administered by the VA may be disclosed to a consumer reporting agency for purposes of assisting in the collection of such indebtedness, provided that the provision of 38 U.S.C. 3301(g)(4) have been met.

12. Any information in this system, including available identifying information regarding the debtor, such as name of debtor, last known address or debtor, VA insurance number, VA loan number, VA claim number, place of birth, date of birth of debtor, name and address of debtor's employer or firm and dates of employment may be disclosed, under this routine use, except to consumer reporting agencies, to a third party in order to obtain current name, address, locator, and credit report in connection with any proceeding for the collection of an amount owed to the United States by virtue of a person's participation in any VA benefit program when in the judgment of the Administrator such disclosure is deemed necessary and proper. This purpose is consistent with the Federal Claims Collection Act of 1966 (Pub. L. 89-508, 37 U.S.C. 951-953 and 4 CFR Parts 101-105 and 38 U.S.C. 3301(b)(6).

13. Any information in this system, including the nature and amount of a financial obligation, may be disclosed to a debtor's employing agency or commanding officer so that the debtor-employee may be counseled by his or her Federal employer or commanding officer and to assist in the collection of unpaid financial obligations owed the VA. This purpose is consistent with 5 U.S.C. 5514, 4 CFR 102.5, and section 206 of Executive Order 11222 of May 8, 1965 (30 FR 6469).

14. Payment information may be disclosed to the Department of the Treasury, in accordance with its official request, to permit delivery of benefit checks to veteran-payees.

15. Military service and active duty separation information, and identifying information may be disclosed to a State unemployment compensation agency to the extent required to determine eligibility for its benefits, provided the name and address of the individual to whom the record pertains are provided by the State agency. The purpose for this disclosure is consistent with 5 U.S.C. 8523.

16. Medical information may be disclosed in response to a request from the superintendent of a State hospital for psychotic patients, a

commissioner or head of a State department of mental hygiene, or a head of a State, county or city health department or any fee basis physician or sharing institution in direct connection with authorized treatment for a veteran provided the name of the individual to whom the record pertains is given and the information will be treated as confidential, as is customary in civilian professional medical practice.

17. The name, address, VA file number, effective date of compensation or pension, current and historical benefit pay amounts for compensation or pension, service information, date of birth, competency payment status, incarceration status, and social security number of veterans and their surviving spouses may be disclosed to the following agencies upon their official request: Department of Defense, Defense Manpower Data Center; Marine Corps; Department of Transportation (Coast Guard); PHS (Public Health Service), NOAA (National Oceanic and Atmospheric Administration), Commissioned Officer Corps in order for these departments and agencies and VA to reconcile the amount and/or waiver of service, department and retired pay. These records may also be disclosed as a part of an ongoing computer matching program to accomplish these purposes. This purpose is consistent with 10 U.S.c. 684, 38 U.S.C. 3101, 38 U.S.C. 3104 and 38 U.S.C. 3301.

18. The amount of pension, compensation, dependency and indemnity compensation, educational assistance allowance, retirement pay and subsistence allowance of any veteran identified to the VA may be disclosed to any person who applies for such information.

19. Identifying, personal, payment and medical information may be disclosed to a Federal, State, or local government agency at the request of a veteran in order to assist the veteran and insure that all of the title 38 U.S.C. or other benefits to which the veteran is entitled are received. This information may also be disclosed without a request from the veteran, to a Federal agency, upon its official request or to a State or local agency provided the name and address of the veteran is given beforehand by the State or local agency in order to assist the veteran in obtaining a non-title 38 U.S.C. benefit to which the veteran is entitled.

20. Any information in this system which directly affects payment or potential payment of benefits to contesting claimants, including parties claiming an apportioned share of benefits, may be coequally disclosed to each affected claimant upon request from that claimant in conjunction with the claim for benefits sought or received.

21. Any information in this system such as identifying information, nature of a claim, amount of benefit payments, percentage of disability and personal information, may be disclosed to the Social Security Administration, Bureau of Supplemental Security Income, upon its official request, in order for that agency to determine eligibility regarding amounts of social security benefits, or to verify other information with respect thereto.

22. Identifying information in this system may be disclosed at the request of a veteran to a third party having information relevant to a claim, such as an employer or school, in order to obtain information from the third party to the extent necessary to develop a veteran's claim for VA benefits.

23. Medical data (excluding the name and address of a veteran unless the name and address are furnished by the requestor) may be disclosed to epidemiological and other research facilities approved by the Chief Medical Director to obtain data from those facilities necessary to assist in medical studies on veterans for the Veterans Administration or for any research purposes determined to be necessary and proper by the Chief Medical Director.

24. The name(s) and address(es) of a veteran may be disclosed to another Federal agency or to a contractor of that agency, at the written request of the head of that agency or designee of the head of that agency for the purpose of conducting government research necessary to accomplish a statutory purpose of that agency.

25. Any information in this system relevant to a veteran's claim such as the name, address, the basis and nature of a claim, amount of benefit payment information, medical information and military service and active duty separation information may be disclosed at the request of the veteran to accredited service organizations, VA-approved claims agents and attorneys acting under a declaration of representation so that these individuals can aid veterans in the preparation, presentation and prosecution of claims under the laws administered by the VA. The name and address of a veteran will not, however, be disclosed to these individuals under this routine use if the veteran has not requested the assistance of an accredited service organization, claims agent or an attorney.

26. Identifying and payment information may be disclosed, upon the request of a Federal agency, to a State or local government agency, to determine a beneficiary's eligibility under programs provided for under Federal legislation and for which the requesting Federal agency has responsibility. These records may also be disclosed as a part of an ongoing computer matching program to accomplish these purposes. This purpose is consistent with 38 U.S.C. 3301.

27. Any information in this system such as the amount of benefit or disability payments and medical information may be disclosed in the course of presenting evidence to a court, magistrate, or administrative authority, in matters of guardianship, inquests, and commitments, to private attorneys representing veterans rated incompetent in conjunction with issuance of Certificates of Incompetency, and to probation and parole officers in connection with court-required duties.

28. Any information in this system including medical information, the basis and nature of claim, the amount of benefits and personal information may be disclosed to a VA Federal fiduciary or a guardian ad litem in relation to his or her representation of a veteran only to the extent necessary to fulfill the duties of the VA Federal fiduciary or the guardian ad litem.

29. Any information in this system may be disclosed to the United States Department of Justice or United States Attorneys in order for the foregoing parties to prosecute or defend litigation involving or pertaining to the United States.

30. Any information in this system may be disclosed to a Federal grand jury, a Federal court or a party in litigation, or a Federal agency or party to an administrative proceeding being conducted by a Federal agency, in order for the VA to respond to and comply with the issuance of a Federal subpoena.

31. Any information in this system may be disclosed to a State or municipal grand jury, a State or municipal court or a party in litigation, or to a State or municipal administrative agency functioning in a quasi-judicial capacity or a party to a proceeding being conducted by such agency, in order for the VA to respond to and comply with the issuance of a State or municipal subpoena; provided, that any disclosure of claimant information made under this routine use must comply with the provisions of 38 CFR 1.511.

32. Any information in this system including the name, social security number, date of birth, delimiting date and remaining entitlement of VA educational benefits, may be disclosed to the ED (Department of Education), upon its official request, or contractor thereof, for specific use by the ED to validate information regarding entitlement to VA benefits which is submitted by applicants who request educational assistance grants from the ED. Such information will not be used for any other purpose by the ED or contractor thereof.

33. VA educational forms and letters which contain identifying information about a veteran may be disclosed at the request of the veteran to a VA-approved education or training establishment to assist the veteran in the completion of claims forms or for the VA to obtain further information from the educational or training establishments as may be necessary for the VA to properly process the veteran trainee's claim or to monitor the trainee's progress.

34. Identifying and payment information may be disclosed to a VA-approved educational or training establishment at the request of the veteran in order for the VA to obtain sufficient information necessary to pay the veteran or the educational or training establishment the correct monetary amounts in an expeditious manner. However, this information will not be provided under this routine use to an educational or training establishment when the request is clearly an attempt by that establishment to seek assistance in collection attempts against the veteran.

35. Identifying information and information regarding the induction, reentrance and dismissal of a disabled veteran from a vocational rehabilitation program may be disclosed at the request of the veteran to a VA-approved vocational rehabilitation training establishment to insure that the trainee receives the maximum benefit from training.

36. Identifying information and information regarding the extent and nature of a veteran's disabilities with respect to any limitations to be imposed on the veteran's vocational programs may be disclosed at the request of the veteran to a VA–approved vocational rehabilitation training establishment to insure that the trainee receives the maximum benefit from training.

37. Information regarding the type and amount of training/education received, and the name and address of a veteran, may be disclosed at the request of a veteran to local and State agencies and to prospective employers in order to assist the veteran in obtaining employment or further training.

38. The name, claims file number and any other information relating to a veteran's or beneficiary's incarceration in a penal institution and information regarding a dependent's right to a special apportionment of the incarcerated individual's VA benefit payment may be disclosed to those dependents who may be eligible for entitlement to such apportionment in accordance with 38 U.S.C. 504, 1682, 1780, and 3113.

39. The name, claims file number and any other information relating to a veteran or beneficiary who may be incarcerated in a penal

institution may, pursuant to an arrangement, be disclosed to penal institutions or to correctional authorities in order to verify information concerning the veteran's or beneficiary's incarceration status. The disclosure of this information is necessary to determine that individual's continuing eligibility as authorized under 38 U.S.C. 504, 1682, 1780 and 3113.

40. Names and addresses, and other identifying data including the Social Security number, of surviving spouses, children and parents of deceased veterans may be released from this system of records to the Department of Defense (DOD) upon its official request in order for DOD to identify individuals eligible for health care benefits administered by the DOD, or to collect or verify information necessary for DOD facility planning, personnel studies, capitalization budgeting and post exchange, commissary and housing studies.

41. Identifying infomation including names and addresses, entitlement code, payee social security number, file number, payee number, regional office number, income for VA pension-determination purposes and pension net award may be released to the Department of Agriculture upon its official request for the purpose of a matching program designated USDA/OIG-6 for verification by the Department of Agriculture of applicants' eligibility for food stamps to reduce unauthorized payments in the food stamp program, and to collect debts owed to the United States Government. This anti-fraud matching program is being performed pursuant to the Department of Agriculture's Inspector General authority under Pub. L. 95-452, section 4(a), to detect and prevent fraud and abuse.

42. Any information concerning the veteran's indebtedness to the United States by virtue of a person's participation in a benefits program administered by the VA, including personal information obtained from other Federal agencies through computer matching programs, may be disclosed to any third party. except consumer reporting agencies, in connection with any proceeding for the collection of any amount owed to the United States. Purposes of these disclosures may be to (a) assist the VA in collection of title 38 benefit overpayments overdue indebtedness, and/or costs of services provided individuals not entitled to such services, and (b) initiate legal actions for prosecuting individuals who willfully or fraudulently obtain title 38 benefits without entitlement. This disclosure is consistent with 38 U.S.C. 3301(b)(6).

43. Identifying information, except for the name and address of a veteran, may be disclosed to a State agency for the purpose of conducting a computer match to determine if income and employment data are being properly reported to the VA and to detect the unwarranted payment of benefits under title 38 U.S.C.

44. Identifying, disability, and award (type, amount and reasons for award) information may be released to the DOL (Department of Labor) in order for the DOL to conduct a computer matching program against the 'Office of Workers' Compensation Programs Federal Employees Compensation File, DOL/ESA-13,' published in 46 FR 12357 on February 13, 1981. This match will permit the DOL to verify a person's eligibility for DOL payments as well as to detect situations where recipients may be erroneously receiving concurrent multiple payments from the DOL and the VA, to identify areas where legislative and regulatory amendments directed toward preventing overpayments are needed, and to collect debts owned to the United States Government. This matching program is performed pursuant to the DOL Inspector General's authority under Pub. L. 95-452, section 4(a) to detect and prevent fraud and abuse. This disclosure is consistent with 38 U.S.C. 3301(b)(3).

45. The beneficiary's name, address, social security number and the amount (excluding interest) of any indebtedness waived uner 38 U.S.C. 3102, or compromised under 4 CFR Part 103 may be disclosed to the Treasury Department, Internal Revenue Service, as a report of income under 26 U.S.C. 61(a)(12).

46. Identifying information, including social security number, concerning veterans and the dependents of veterans, except for the name and address, may be disclosed to a Federal, State, County or Municipal agency for the purpose of conducting computer matches to obtain information to validate the entitlement of a veteran or a dependent of a disabled or deceased veteran, who is receiving or has received veterans benefits under Title 38, United States Code. The name and address of veterans may also be disclosed to a Federal agency under this routine use if required by the Federal agency in order to provide information.

47. Identifying information, including the initials and abbreviated surname, the social security number, the date of birth and coding indicating the category of the individual's records, the degree of disability, the benefit program under which benefits program under which benefits are being paid and the computed amount of VA benefits for a calendar year may be released to the Department of the Treasury, Internal Revenue Service (IRS) in order for IRS to conduct a computer matching program against the Internal Revenue Service's Forms 1040, Schedule R, Credit for the Elderly and the Permanently and Totally Disabled. This match will permit IRS to determine the eligibility for and the proper amount of Elderly and Disabled Credits claimed on IRS Form 1040, Schedule R. This matching program is performed pursuant to the provisions of Internal Revenue Code Section 7602. This disclosure is consistent with 38 U.S.C. 3301(b)(3).

48. Identifying information, such as name, social security number, VA claim number, date and place of birth, etc., in this system may be disclosed to an employer or school having information relevant to a claim in order to obtain information from the employer or school to the extent necessary to determine that eligibility for VA compensation or pension benefits continues to exist or to verify that there has been an overpayment of VA compensation or pension benefits. Any information in this system also may be disclosed to any of the above-entitled individuals or entities as part of ongoing computer matching programs to accomplish these purposes.

49. The name of a veteran, or other beneficiary, other information as is reasonably necessary to identify such individual, and any other information concerning the individual's indebtedness by virtue of a person's participation in a benefits program administered by the VA, may be disclosed to the Treasury Department, Internal Revenue Service, for the collection of Title 38, U.S.C. benefit overpayments, overdue indebtedness, and/or costs of services provided to an individual not entitled to such services, by the withholding of all or a portion of the person's Federal income tax refund.

50. Veterans'addresses which are contained in this system of records may be disclosed to the Department of Defense Manpower Data Center, upon its official request, for military recruiting command needs, Department of Defense civilian personnel offices' mobilization studies and mobilization information, debt collection, and Individual Ready Reserve (IRR) Units' locator services.

51. The name, address, VA file number, date of birth, date of death, social security number, and service information may be disclosed to the Defense Manpower Data Center. The Department of Defense will use this information to identify retired veterans and dependent members of their families who have entitlement to Department of Defense benefits but who are not identified in the Department of Defense Enrollment Eligibility Reporting System (DEERS) program and to assist in determining eligibility for Civilian Health and Medical Program of the Uniformed Services (CHAMPUS) benefits. This purpose is consistent with 38 U.S.C. 3301. These records may also be disclosed as part of an ongoing computer matching program to accomplish this purpose.

52. The name, address, VA file number, social security number, sex of veteran, date(s) of birth of the veteran and dependents, current benefit pay amounts for compensation or pension, pay stlatus, check amount, aid and attendance status, veteran and spouse annual income amounts and type and combined degree of disability will be disclosed to the Department of Health and Human Services. The Social Security Administration will use the data in the administration of the supplemental security income (SSI) payment system as prescribed by Pub. L. 92-603. These records may also be disclosed as part of an ongoing computer matching program to accomplish these purposes. This purpose is consistent with 38 U.S.C. 3301.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records (or information contained in records) are maintained on paper documents in claims file folders, (e.g., "C" file folders, educational file folders and vocational rehabilitation file folders) and on automated storage media (e.g., microfilm, microfiche, magnetic tape and magnetic disks). Such information may be accessed through a data telecommunications terminal system designated the Target System. Target terminal locations include VA Central Office, regional offices, some VA medical health care facilities, U.S. Army Finance and Accounting Center, Navy Finance Center, Marine Corps Finance Center, Air Force Accounting and Finance Center, U.S. Coast Guard Pay and Personnel Center. Information relating to receivable accounts owed to the VA, denominated the Centralized Accounts Receivable System (CARS), is maintained on magnetic tape, microfiche and microfilm. CARS is accessed through a data telecommunications terminal system at St. Paul, Minnesota.

Retrievability:

Authorized service finance center employees will have read only access to the portions of the data base containing information relevant to the reconciliation of the amount and/or waiver of service department or retired pay for individuals currently receiving or entitled to receive these payments.

Safeguards:

Access to service finance centers is limited to authorized employees. The centers are protected by armed guards. Access to terminals within each center is limited to those employees who need access to the data to perform their assigned duties.

2. Target System Security: (a) Usage of the Target terminal equipment is protected by key locks, magnetic badge readers and audible alarms. Electronic keyboard locks are activated on security errors.

(b) At the data processing centers, identification of magnetic tape and disks containing data is rigidly enforced using labeling techniques. Automated storage media which are not in use are stored in tape libraries which are secured in locked rooms. Access to programs is controlled at three levels: Programming, auditing and operations.

Retention and disposal:

Individual claims file folders and the compensation, pension, rehabilitation and education claims records contained therein are retained at the servicing regional office for the life of the veteran. At the death of the veteran, these records are sent to the Federal Records Center (FRC), maintained by the FRC for 75 years and thereafter destroyed. Rehabilitation and education counseling records are maintained until the exhaustion of a veteran's maximum entitlement or upon the exceeding of a veteran's delimiting date of eligibility (generally, ten or twelve years from discharge or release from active duty), whichever occurs first, and then destroyed. Automated storage media containing temporary working information are retained until a claim is processed to determination. All other automated storage media is retained and disposed of in accordance with disposition authorization approved by the Archivist of the United States. Employee productivity records are maintained for two years after which they are destroyed by shredding or burning.

System manager(s) and address:

Director: Compensation and Pension Service (21), Director, Vocational Rehabilitation and Counseling Service (22), VA Central Office, Washington, D.C. 20420.

Notification procedure:

An individual who wishes to determine whether a record is being maintained in this system under his or her name or other personal identifier, or wants to determine the contents of such record, should submit a written request or apply in person to the nearest VA regional office or center. Address locations are listed in VA Appendix 1 at the end of this document. VA employees withing to inquire whether the system of records contains employee productivity information about themselves should contact their supervisor at the regional office of employment.

Record access procedures:

Individuals seeking information regarding access to and contesting of VA records may write, call or visit the nearest Veterans Administration regional office. Address locations are listed in VA Appendix 1.

Contesting record procedures:

(See Record access procedures above.)

Record source categories:

The veteran, dependents and other beneficiaries of the veteran, accredited service organizations, VA-supervised fiduciaries (i.e., VA Federal fiduciaries, court-appointed fiduciaries), military service departments, VA medical facilities and physicians, private medical facilities and physicians, education and rehabilitation training establishments, State and local agencies, other Federal agencies, State, local and county courts and clerks, Federal, State and local penal institutions and correctional facilities, other third parties and other VA records.

59VA31

System name: Employee ADP Training Records-VA.

System location: Records are maintained at the Department of Data Management, Central Office, Veterans Administration and the VA data processing centers. Address locations are listed in VA Appendix 1, "Address of Veterans Administration Facilities" published September 7, 1976.

Categories of individuals covered by the system: Personnel currently employed at Veterans Administration Central Office and VA data processing centers who participate in ADP training.

Categories of records in the system: Records that ensure the proper reporting of completed employee ADP training to the employee personnel folder. Records such as enrollment lists, examinations, and instructor evaluations of students that are created in the administration of in-house training programs. Records created in the administration of ADP proficiency evaluations used to determine training needs.

Authority for maintenance of the system: Title 5, United States Code, Section 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

1. In the event that a system of records maintained by this agency to carry out its functions indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, State, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto.

2. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

3. A record from this system of records may be disclosed as a "routine use" to a Federal, State or local agency maintaining civil, criminal or other relevant enforcement information, or other pertinent information, such as current licenses, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant or other benefit.

4. A record from this system of records may be disclosed to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter.

5. Disclosure may be made to NARA (National Archives and Records Administration) GSA (General Services Administration) in records management inspections conducted under authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper documents.

Retrievability: By course name, date, or employee name.

Safeguards: Physical Security: Maintained under lock and key in file cabinets or desk drawers. Access to files is restricted to authorized training personnel.

Retention and disposal: Records are maintained and destroyed in accordance with approved VA records control schedules.

System manager(s) and address: CHIEF, TRAINING AND STANDARDS DIVISION, Department of Data Management, Veterans Administration Central Office, Washington, D.C. 20420.

Notification procedure: A VA Central Office employee seeking information on records related to ADP training or proficiency evaluation results may make inquiry at the office of the Chief, ADP Training and Standard Division, Department of Data Management. A VA data processing center employee seeking information on records related to ADP training or proficiency evaluation results may make inquiry through the station training coordinator or authorized training personnel.

Record access procedures: A VA Central Office employee may contact the office of the Chief, Training and Standards Division, Department of Data Management. A VA data processing center employee may contact the station training coordinator or authorized training personnel.

Contesting record procedures: (See Record Access Procedures above.)

Record source categories: From the enrollment of an employee in an ADP training course or from the participation of an employee in an ADP proficiency evaluation.

60VA23

System name: Repatriated American Prisoners of War-VA.

System location: Records are maintained at the VA regional offices, VA Central Office, all health care facilities and the Data Processing Center at Austin, Texas. Address locations are listed in VA Appendix 1 at end of this document.

Categories of individuals covered by the system: Individuals who are repatriated prisoners of war, including but not limited to those of World War II; Korean Conflict; Vietnam Era; Pueblo Crisis; the members of the group known as Civilian Employees, Pacific Naval Air Bases, who actively participated in the defense of Wake Island

and were determined to be eligible for veterans' benefits under Pub. L. 95-202; and those determined by the VA to have been held as prisoners of war during peacetime.

Categories of records in the system: Personal identification information related to the POW experience and identifying data, e.g., name, Social Security number, file number, service number, date of birth, date of death (if applicable), period of service, branch of service, entitlement code, aid and attendance or household status, number of service-connected disabilities, number of days internal as a POW, place of internment and hospital discharge data.

Authority for maintenance of the system: Section 102, Pub. L. 96-22, June 13,1979; 38 U.S.C. 612; Pub. L. 97-37, August 14, 1981; 38 U.S.C. 101. 221. 312. 610 and 612; and 38 U.S.C. 210(c)(1).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

1. The record of an individual who is covered by this system may be disclosed to a member of Congress or staff person acting for member when the member or staff person requests the record on behalf of and at the request of that individual.

2. Any information in this system relevant to a veteran's claim such as the name, military service information and the number of days interned as a POW may be disclosed at the request of the veteran to accredited service organizations, VA-approved claims agents and attorneys acting under a declaration of representation so that these individuals can aid veterans in the preparation, presentation and prosecution of claims under the laws administered by the VA. The name of a veteran will not, however, be disclosed to these individuals under this routine use if the veteran has not requested the assistance of an accredited service organization, claims agent or an attorney.

3. Any information in this system may be disclosed to the Office of the Secretary of Defense, International Security Affairs (POW/MIA), upon their official request, in order to aid the Department in verifying the status of individuals who were prisoners of war or missing in action and/or in determining their most recent location.

4. Any information in this system may be disclosed to NARA (National Archives and Records Administration), upon their official request, in order that NARA may produce extracts to perform statistical analysis; reconstruct military personnel records information; and respond to inquiries from the general public.

5. Any information in this system (excluding the name of a veteran unless the name is furnished by the requestor) may be disclosed to epidemiological and other research facilities approved by the Chief Medical Director to obtain data from those facilities necessary to assist in medical studies on veterans for the Veterans Administration or for any research purposes determined to be necessary and proper by the Chief Medical Director.

6. The name(s) of a veteran may be disclosed to another Federal agency or to a contractor of that agency at the written request of the head of that agency for the purpose of conducting government research necessary to accomplish a statutory purpose of that agency.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained on magnetic tape and microfiche.

Retrievabilty: The magnetic tape is indexed by the veteran's service, VA file or Social Security number. The microfiche is indexed by the veteran's name with secondary verification by the veteran's service, VA file or Social Security number.

Safeguards:

1. Access to the basic file in the Austin DPC (Data Processing Center) is restricted to authorized VA employees and vendors. Access to the computer room where the magnetic tape is located within the DPC is further restricted to specifically authorized employees and is protected by an alarm system, the Federal Protective Service, and other VA security personnel.

2. Access to microfiche listing and readers is restricted to authorized VA employees on a "need to know" basis. The microfiche is stored in protected drawers and protected from outside use by the Federal Protective Service.

Retention and disposal: Records are maintained on magnetic tape and microfiche and are retained and disposed of in accordance with disposition and authorization approved by the Archivist of the United States.

System manager(s) sand address: Director, Administrative Service (23), VA Central Office, 810 Vermont Avenue, NW, Washington, D.C. 20420.

Notification procedure: Any individual who wishes to determine whether a record is being maintained in this system under his or her name or other personal identifier, or wants to determine the contents of such record should submit a written request or apply in person to the nearest VA regional office or medical center. Addresses for these offices may be found in VA Appendix 1 at the end of this document. Inquiries should include as much of the following information as possible: The veteran's full name, VA file number, service number and Social Security number.

Record access procedures: Individuals seeking information regarding access to and contesting of VA records in this system may write, call or visit the nearest VA regional office of medical center.

Contesting record procedures: See Record access procedures above.

Record source categories: The Department of Defense, National Archives and Records Administration, and VA records such as the Patient Treatment File, the Veterans and Beneficiary Indentification and Records Locator Subsystem, and Veterans, Dependents and Beneficiaries Compensation Pension records.

61VA136

System name: Dental Services for Former Prisoners of War–VA.

System location: All health care facilities and VA Central Office. Address locations for VA facilities are listed in VA Appendix 1 at 42 FR 49762.

Categories of individuals covered by the system: Veterans of World War II, the Korean conflict, or the Vietnam era who were held as prisoners of war for a period of not less than 6 months.

Categories of records in the system: Personal identification information related to the POW experience and identifying data, e.g., name, Social Security Number, claim number, service number, date of birth, data of death (if applicable), period of service, branch of service, entitlement code, aid and attendance or housebound status, number of service-connected disabilities, and number of days incarcerated as a POW.

Authority for maintenance of the system: Section 102, Pub. L. 96–22, June 13, 1979, as codified in 38 U.S.C., section 612.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: None.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Microfiche listings.

Retrievability: Indexed by veterans name with secondary verification by SSN (Social Security number) or service number.

Safeguards: Access to the microfiche listing and readers is restricted to authorized VA employees on a need-to-know basis. The microfiche is maintained in protected drawers and protected from outside access by the Federal Protective Service.

Retention and disposal: Microfiche listings will be retained until such time as the purpose for which they were established has been served.

System manager(s) and address: Director, Medical Administration Service (136), VA Central Office, Washington, DC, 20420.

Notification procedure: An individual seeking information concerning the existence of record pertaining to him/herself should submit a written request or apply in person to the Director, Medical Administration Service (136), VA Central Office, Washington, DC 20420. Inquiries should include the individual's full name and identification number (SSN, service, or claim).

Record access procedures: Same as above.

Contesting record procedures: Same as above.

Record source categories: VA system of records 60VA07, Veterans Administration Repatriated American Prisoners of War.

62VA08

System name: Resident Engineer Assignment System, 62VA08.

System location: Records are maintained in the Office of Construction, Central Office, Veterans Administration, Washington, D.C., 20420.

Categories of individuals covered by the system: Resident Engineers and their clerical staff currently employed by the Veterans Administration Central Office and assigned to nationwide construction site supervision responsibilities.

Categories of records in the system: Records include information such as station assignment, last relocation date, states in which licensed, area or preference, address, family, grade and last promotion date, employment date, and VA experience. Only records that permit efficient scheduling assignments of Resident Engineers and their clerical staff to construction sites and that will maximize utilization of these personnel with a minimum of relocations will be maintained.

Authority for maintenance of the system: Title 5 U.S.C. Section 301, Title 38 U.S.C., Sections 210(c), 219.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: None.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: (a) Magnetic tape at the VA Central Office.

(b) Paper documents at the VA Central Office.

Retrievability: Records are indexed by name of the employee and filed alphabetically.

Safeguards: Physical Security: Maintained under lock and key in file cabinets. Access to files is restricted to Resident Engineer assignment officials on a need to know basis. The file area is locked after duty hours and protected from unauthorized access by the Federal Protective Service.

Retention and disposal: Records are maintained for the duration of employment of the Resident Engineers and clerical staff. When the employee leaves the Office of Construction the records are destroyed in accordance with approved VA standards.

System manager(s) and address: Director, Information Systems Staff, Office of Construction, Veterans Administration, Washington, D.C. 20420.

Notification procedure: An individual seeking information concerning the existence of records or the contents of records on him or her must furnish a written request or apply in person at the Office of the Director, Resident Engineer Staff, Office of Construction, Veterans Administration, Washington, D.C. 20420. The individual must reasonably identify the system of records and provide his or her full name.

Record access procedures: Same as above.

Contesting record procedures: Same as above.

Record source categories: Questionnaires completed by Resident Engineers and their clerical staff, and from present Resident Engineer staff assignment records.

63VA05

System name: Grievance Records, 63VA05.

System location: These records are located in personnel or designated offices in the Veterans Administration (VA) in which the grievances were filed.

Categories of individuals covered by the system: Current or former VA employees who have submitted grievances with the agency in accordance with Part 771 of OPM Regulations (5 CFR Part 771); VA Personnel Manual MP-5, Part I, Chapter 771, and Part II, Chapter 8; or a negotiated procedure.

Categories of records in the system: The system contains records relating to grievances filed by agency employees under Part 771 of OPM Regulations and VA Personnel Manual MP-5, Part I, Chapter 771, and Part II, Chapter 8. These case files contain all documents related to the grievance, including statements of witnesses, reports of interviews and hearings, examiner's findings and recommendations, a copy of the original and final decision, and related correspondence and exhibits. This system includes files and records of internal grievance and arbitration systems that may be established through negotiations with recognized labor organizations.

Authority for maintenance of the system: 5 U.S.C. 1302, 3301, 3302, E.O. 10577, 3 CFR 1954–1958 Comp. p218, E.O. 10987, 3 CFR 1959–1963 Comp. p519, 38 U.S.C. 4108 and 4115, agency employees, for personal relief in a matter of concern or dissatisfaction which is subject to the control of agency management.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: These records and information in these records may be used:

1. To disclose pertinent information to the appropriate Federal, State, or local agency responsible for investigating, prosecuting, enforcing, or implementing a statute, rule, regulation, or order, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation.
2. To disclose information to any source from which additional information is requested in the course of processing a grievance, to the extent necessary to identify the individual, inform the source of the purpose(s) of the request and identify the type of information requested.
3. To disclose information to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the conducting of a security or suitability investigation of an individual, the classifying of jobs, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to requesting the agency's decision on the matter.
4. To provide information to a congressional office from the record of an individual in response to an inquiry from that congressional office made at the request of that individual.
5. To disclose information to another Federal agency or to a court when the Government is party to a judicial proceeding before the court.
6. By the National Archives and Records Administration (General Services Administration) in records management inspections conducted under authority of 44 U.S.C. 2904 and 2906.
7. By the agency maintaining the records or the OPM in the production of summary descriptive statistics and analytical studies in support of the function for which the records are collected and maintained, or for related work force studies. While published statistics and studies do not contain individual identifiers, in some instances, the selection of elements of data included in the study may be structured in such a way as to make the data individually identifiable by inference.
8. To disclose information to officials of the Merit Systems Protection Board, including the Office of the Special Counsel, the Federal Labor Relations Authority and its General Counsel, or the Equal Employment Opportunity Commission when requested in performance of their authorized duties.
9. To disclose in response to a request for discovery or for appearance of a witness, information that is relevant to the subject matter involved in a pending judicial or administrative proceeding.
10. To provide information to officials of labor organizations reorganized under the Civil Service Reform Act when relevant and necessary to their duties of exclusive representation concerning personnel policies, practices, and matters affecting work conditions.
11. Records from this system of records may be disclosed to a Federal Agency or to a State or local government licensing board and/or to the Federation of State Medical Boards or a similar nongovernment entity which maintains records concerning individuals' employment histories or concerning the issuance, retention or revocation of licenses, certifications, or registration necessary to practice an occupation, profession or specialty , in order for the Agency to obtain information relevant to an Agency decision concerning the hiring, retention or termination of an employee or to inform a Federal Agency or licensing boards or the appropriate nongovernment entities about the health care practices of a terminated, resigned or retired health care employee whose professional health care activity so significantly failed to conform to generally accepted standards of professional medical practice as to raise reasonable concern for the health and safety of patients in the private sector or from another Federal Agency. These records may also be disclosed as part of an ongoing computer matching program to accomplish these purposes.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: These records are maintained in file folders.

Retrievability: These records are retrieved by the names of the individuals on whom they are maintained.

Safeguards: These records are maintained in lockable metal filing cabinets to which only authorized personnel have access.

Retention and disposal: These records are disposed of three years after closing of the case. Disposal is by shredding or burning.

System manager(s) and address: Officials maintaining the system—Personnel Officer at station where employed (see Appendix 1 for local addresses). Official responsible for policies and procedures—Assistant Administrator for Personnel (05), VA Central Office, 810 Vermont Avenue, NW, Washington, D.C. 20420.

Record access procedures. It is required that individuals submitting grievances be provided a copy of the record under the grievance process. They may, however, contact the agency personnel or designated office where the action was processed regarding the existence of such records on them. They must furnish the following information for their records to be located and identified:

a. Name.
b. Date of birth.
c. Approximate date of closing of the case and kind of action taken.
d. Organizational component involved.

Contesting record procedures: It is required that individuals submitting grievances be provided a copy of the record under the grievance process. However, after the action has been closed, an individual may request access to the official copy of the grievance file by contacting the agency personnel or designated office where the action was processed.

Individuals must provide the following information for their records to be located and identified:

a. Name.
b. Date of birth.
c. Approximate date of closing of the case and kind of action taken.
d. Organizational component involved.

Individuals requesting access must also follow the VA's Privacy Act regulations regarding access to records and verification of identity (38 CFR 1.577).

Contesting record procedures: Review of requests from individuals seeking amendment of their records which have been the subject of a judicial or quasi-judicial action will be limited in scope. Review of amendment requests of these records will be restricted to determining if the record accurately documents the action of the agency ruling on the case, and will not include a review of the merits of the action, determination, or finding.

Individuals wishing to request amendment to their records to correct factual errors should contact the agency personnel or designated office where the grievance was processed. Individuals must furnish the following information for their records to be located and identified:

a. Name.
b. Date of birth.
c. Approximate date of closing of the case and kind of action taken.
d. Organizational component involved.

Individuals requesting amendment must also follow the VA Privacy Act regulations regarding amendment to records and verification of identity (38 CFR 1.577).

Record source categories: Information in this system of records is provided:

a. By the individual on whom the record is maintained.
b. By testimony of witnesses.
c. By agency officials.
d. From related correspondence from organizations or persons.

64VA116

System name: Vietnam Veterans Readjustment Counseling Program—Va.

System location: (a) Counseling Folder: Maintained at each individual center (called Vet Centers) and at VA medical centers providing readjustment counseling throughout the country. The locations of all Vet Centers and VA medical centers providing readjustment counseling are listed in VA Appendix 2 . Certain information extracted from the counseling folder is maintained at the St. Paul, Minnesota, VA Data Processing Center (DPC).

(b) Client Information File: Certain information extracted from the counseling folder is maintained at the St. Paul, Minnesota, VA Data Processing Center (DPC).

Categories of individuals covered by the system: Individuals who request Vietnam veterans readjustment counseling, and/or receive readjustment counseling, including veterans, family members, or other counselees who are eligible.

Categories of records in the system: (a) Counseling Folder: All written notes, forms, applications, and documentation deemed necessary to provide continuity of care by the counselors and/or program officials. This would include all information collected for the computerized data base.

(b) Client Information File: Unique veteran identification number, team or medical center number, marital status, birth date, service dates, branch of service, whether served in Vietnam, service connection, types of problems, severity of problems, actions to be taken, source of action, status of action, number of contacts that day, and other statistical information about services provided that veteran.

Authority for maintenance of the system:

Section 103, Pub. L. 96–22, June 13, 1979.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

None.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: (a) Counseling Folder: Paper documents stored in file folders.

(b) Client Information File: Stored on magnetic tapes.

Retrievability: (a) Counseling Folder: Filed or indexed alphabetically by last name or unique Client Number.

(b) Client Information File: Indexed by Vet Center or Station Number in conjunction with unique Client Number.

Safeguards: (a) Counseling Folder: Access to records at Vet Centers will be controlled by Vet Center staff during working hours. During other hours, records will be maintained in locked file cabinets. In high crime areas, Vet Center offices are equipped with alarm systems. Access to readjustment counseling records at VA medical centers will be restricted to the Outreach counseling staff on a need-to-know basis.

(b) Client Information File: The file area at the DPC is locked after duty hours and the building is protected from unauthorized access by the Federal Protective Service.

Retention and disposal: (a) Counseling Folder: The records will be retained at the Outreach Center or medical center of origin and VA Central Office for approximately three years after the date of last activity and/or after termination of the Outreach program, whichever is later. Destruction will be by shredding.

(b) Client Information File: Maintained for the duration of the program. Destruction will be by erasing the tapes.

65VA122

System name:

Community Placement Program-VA, 65VA122.

System location:

Records are maintained at each VA health care facility; the VA Data Processing Center (DPC), 1615 East Woodward Street, Austin, Texas 78772; and at VA Central Office, 810 Vermont Avenue, NW, Washington, D.C. 20420. Addresses for the VA health care system are listed in VA Appendix I at the end of this document.

Categories of individuals covered by the system:

Individuals who operate a Community Placement facility approved for placement of VA beneficiaries; VA beneficiaries in Community Placement facilities.

Categories of records in the system:

The record, or information contained in the record, may include personal identification information with data on the Community Placement facility, name of operator, address, phone number, name of veterans receiving care in these homes, a statement as to whether the veterans' medical conditions have been rated as service-connected or nonservice-connected, the veterans' social security numbers and the names, addresses and phone numbers of the veterans' next-of-kin; overall data regarding diagnoses of veterans in the facility, date the facility was last approved for participation, statement regarding whether or not the home is required to be licensed by the state and/or local government, copies of correspondence exchange between the VA and the persons interested in applying for participation in the Community Placement Program.

Authority for maintenance of the system:

Title 38, U.S.C. 210(c), 610 and 4101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

1. The record of an individual who is covered by this system may be disclosed to a member of Congress or staff person acting for the member when the member of staff person requests the record on behalf of and at the request of that individual.

2. Any information in this system may be disclosed to a Federal agency, upon its official request, to the extent that it is relevant and necessary to that agency's decision regarding the hiring, retention or transfer of an employee, the issuance of a security clearance, the letting of a contract, or the issuance or continuance of a license, grant or other benefit given by that agency. However, in accordance with an agreement with the U.S. Postal Service, disclosures to the U.S. Postal Service for decisions concerning the employment of veterans, will only be made with the veteran's prior written consent.

3. Any information in this system may be disclosed to a State or local agency, upon its official request, to the extent that it is relevant and necessary to that agency's decision on the hiring, transfer or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance or continuance of a license, grant or other benefit by that agency; provided that, if the information requested pertains to a veteran, the name and/or address of the veteran will not be disclosed unless the name and/or address is provided first by the requesting State or local agency.

4. Any information in this system may be disclosed to a Federal, State or local governmental agency maintaining civil or criminal violation records, or other pertinent information such as prior employment history, prior Federal employment background investigations, and personal or educational background at the request of the veteran in order for the VA to obtain information releveant to the hiring, transfer or retention of an employee, the letting of a contract,

the granting of a security clearance, or the issuance of a grant or other benefit.

5. Any information in this system, except for the name and address of a veteran, which is relevant to a suspected violation or reasonably imminent violation of law, whether civil, criminal or regulatory in nature and whether arising by general or program statute or by regulation, rule or order issued pursuant thereto, may be disclosed to a Federal, State, local or foreign governmental agency charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, rule, regulation or order issued pursuant thereto.

6. The name and address of a veteran, which is relevant to a suspected violation or reasonably imminent violation of law, whether civil, criminal or regulatory in nature and whether arising by general or program statute or by regulation, rule or order issued pursuant thereto, may be disclosed to a Federal agency charged with the responsibility of investigating or prosecuting such violation, or charged with enforcing or implementing the statute, regulation, rule or order issued pursuant thereto, in response to its official request.

7. The name and address of a veteran, which is relevant to a suspected violation or reasonably imminent violation of law concerning public health or safety, whether civil, criminal or regulatory in nature and whether arising by general or program statute or by regulation, rule or order issued pursuant thereto, may be disclosed to any foreign, State or local governmental agency or instrumentality charged under applicable law with the protection of the public health or safety if a qualified representative of such organization, agency or instrumentality has made a written request that such name and address be provided or a purpose authorized by law.

8. Any information in this system including the name and address of a veteran may be disclosed to any nonprofit organization if the release is directly connected with the conduct of programs and the utilization of benefits under Title 38 U.S.C. (such disclosures include computerized lists of names and addresses.)

9. Any information in this system may be disclosed to a Federal agency, except for the name and address of a veteran, in order for the VA to obtain information relevant to the issuance of a benefit under Title 38 U.S.C. The name and address of a veteran may be disclosed to a Federal agency under this routine use if they are required by the Federal agency to respond to the VA inquiry.

10. Any information in this system may be disclosed to a Federal grand jury, a Federal court or a party in litigation, or a Federal agency or party to an administrative proceeding being conducted by a Federal agency, in order for the VA to respond to and comply with the issuance of a Federal subpoena.

11. Any information in this system may be disclosed to a State or municipal grand jury, a State or municipal court or a party in litigation, or to a State or municipal administrative agency functioning in a quasi-judicial capacity or a party to a proceeding being conducted by such agency, in order for the VA to respond to and comply with the issuance of a State or municipal subpoena; provided, that any disclosure of claimant information made under this routine use must comply with the provisions of 38 CFR 1.511.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are maintained on magnetic tapes which are stored at the Austin DPC, and paper documents (printouts) are maintained at VA Central Office and the health care facilities.

Retrievability:

Information can be retrieved by the use of veteran's name, social security number and by facility operator's name and location.

Safeguards:

Access to the basic file in the Austin DPC is restricted to authorized VA employees and vendors. Access to the computer room where the basic file is maintained within the DPC is further restricted to authorized VA employees and vendor personnel on a "need to know" basis and is protected from unauthorized access by an alarm system, the Federal Protective Service and VA security personnel. Access to paper documents at Central Office and VA health care facilities is restricted to authorized VA employees.

Retention and disposal:

Working magnetic tapes at the DPC are disposed of as soon as the purpose for which they were established has been served. Paper documents are to be retained and disposed of in accordance with authorization approved by the Archivist of the United States.

Notification procedure:

Any individual who wishes to determine whether a record is being maintained in this system under his/her or other personal identifier, or wants to determine the contents of such record should submit a written request or apply in person to the Chief, Social Work Service (122) at the appropriate VA health care facility. Addresses for these offices may be found in VA Appendix I at the end of this document. Inquiries should include the individual's full name and identification number (social security number).

Record access procedures:

Individuals seeking information regarding access to and contesting of VA records in this system may write, call or visit the nearest appropriate health care facility.

Contesting record procedures:

(See Record Access Procedures above).

Record source categories:

Information contained in the records is obtained from individuals requesting participation in the Community Placement Program; the patient, family members or accredited representative, and friends, employers or other third parties when otherwise unobtainable from the patient or his family; various automated clinical and managerial systems providing support at selected VA health care facilities; and the patient Consolidated Medical Records sections of the VA Medical Records System.

66VA53

System name:

Inspector General Complaint Center Records—VA (66VA53).

System location:

Veterans Administration, Office of Assistant Inspector General for Policy, Planning and Resources (53), Washington, D.C. 20420.

Categories of individuals covered by the system:

The following categories of individuals will be covered by the system: Subjects of complaints and complainants. Subjects and complainants may be employees or third parties (e.g., occasionally, a veteran, beneficiary or private citizen). Complainants are individuals who have reported the possible existence of an activity constituting a violation of law, rules or regulations, or mismanagement, gross waste of funds, abuse of authority or a substantial and specific danger to the public health and safety.

Categories of records in the system:

Records (or information continued in records) in this system may include: (1) The name, home and work address and phone number of the complainant; (2) name of the subject of the complaint; and (3) the location and nature of the alleged wrongdoing. The records may also include: (1) Documentation and evidence from the complainant, and (2) correspondence between the Assistant Inspector General for Policy, Planning and Resources (53) and other components of the Office of the Inspector General, agency departments, and the complainant.

Authority for maintenance of the system:

Title 38, United States Code, Section 210(c)(1); and Title 5, United States Code, Appendix 1, Section 7 (a) and (b) (The Inspector General Act of 1978, Pub. L. 95-452).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

1. The record of an individual who is covered by this system may be disclosed to a member of Congress or staff person acting for the member when the member or staff person requests the record on behalf of and at the request of that individual.

2. Any information in this system, except the name and address of a veteran, which is relevant to a suspected violation or reasonably imminent violation of law, whether civil, criminal or regulatory in nature and whether arising by general or program statute or by regulation, rule or order issued pursuant thereto, may be disclosed to a Federal, State, local or foreign agency charged with the responsibility of investigating or prosecuting such violation, or charged with enforcing or implementing the statute, rule, regulation or order issued pursuant thereto.

3. The name and address of a veteran, which is relevant to a suspected violation or reasonably imminent violation of law, whether civil, criminal or regulatory in nature and whether arising by general or program statute or by regulation, rule or order issued pursuant thereto, may be disclosed to a Federal agency charged with the responsibility of investigating or prosecuting such violation, or charged with enforcing or implementing the statute, regulation, rule or order issued pursuant thereto, in response to its official request.

4. The name and address of a veteran, which is relevant to a suspected violation or reasonably imminent violation of law concerning public health or safety, whether civil, criminal or regulatory in nature and whether arising by general or program statute or by regulation, rule or order issued pursuant thereto, may be disclosed to

any foreign, State or local governmental agency or instrumentality charged under applicable law with the protection of the public health or safety if a qualified representative of such organization, agency or instrumentality has made a written request that such name and/or address is provided for a purpose authorized by law.

5. Any information in this system may be disclosed to a Federal grand jury, a Federal court or a party in litigation, or a Federal agency or party to an administrative proceeding being conducted by a Federal agency, in order for the VA to respond to and comply with the issuance of a Federal subpoena.

6. Any information in this system may be disclosed to a State or municipal grand jury, a State or municipal court or a party in litigation, or to a State or municipal administrative agency functioning in a quasi-judicial capacity or a party to a proceeding being conducted by such an agency, in order for the VA to respond to and comply with the issuance of a State or municipal subpoena; Provided, That any disclosure of claimant information made under this routine use must comply with the provisions of 38 CFR 1.511.

7. Any information in this system may be disclosed to the Office of Special Counsel, upon its official request, when required for the Special Counsel's review of the complainant's allegations of prohibited personnel practices.

8. Records from this system of records may be disclosed to a Federal Agency or to a State or local government licensing board and/or to the Federation of State Medical Boards or a similar nongovernment entity which maintains records concerning individuals' employment histories or concerning the issuance, retention or revocation of licenses, certifications, or registration necessary to practice an occupation, profession or specialty , in order for the Agency to obtain information relevant to an Agency decision concerning the hiring, retention or termination of an employee or to inform a Federal Agency or licensing boards or the appropriate nongovernment entities about the health care practices of a terminated, resigned or retired health care employee whose professional health care activity so significantly failed to conform to generally accepted standards of professional medical practice as to raise reasonable concern for the health and safety of patients in the private sector or from another Federal Agency. These records may also be disclosed as part of an ongoing computer matching program to accomplish these purposes.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are maintained in numbered individual file folders, on computer disks, tapes and printouts.

Retrievability:

The file folders are numbered and are individually retrievable by means of the case numbers or indexed in the computer by the names of the complainants and subjects of the complaints.

Safeguards:

Access to the file folders and computerized information is restricted to authorized personnel on a need-to-know basis. The file room and cabinets are locked after duty hours and the building is protected by building guards and the Federal Protective Service. Computerized case tracking information will be maintained in a private library accessible only to authorized users. Access to the computerized information will be limited to VA employees on a "need-to-know" basis by means of passwords and authorized user identification codes. Computer system documentation will be maintained in a secure environment in the Office of Inspector General, VA Central Office. Physical access to printouts and data terminals will be limited to authorized personnel in Office of Inspector General.

Retention and disposal:

Records will be maintained and disposed of in accordance with a records disposition authority approved by the Archivist of the United States.

System manager(s) and address:

Assistant Inspector General for Policy, Planning and Resources (53), Veterans Administration Central Office, Washington, D.C., 20420.

Notification procedure:

An individual who wishes to determine whether a record is being maintained by the Assistant Inspector General for Policy, Planning and Resources, under his or her name in this system or wishes to determine the contents of such records should submit a written request to the Assistant Inspector General for Policy, Planning and Resources (53). However, a majority of records in this system are exempt from the notification requirements under 5 U.S.C. 552a (j) and (k). To the extent that records in this system or records are not subject to exemption, they are subject to notification. A determination as to whether an exemption applies shall be made at the time a request for notification is received.

Record access procedures:

An individual who seeks access to or wishes to contest records maintained under his or her name in this system may write or call the Assistant Inspector General for Policy, Planning and Resources (53). However, a majority of records in this system are exempt from the records access and contesting requirements under 5 U.S.C. 552a (j) and (k). To the extent that records in this system of records are not subject to exemption, they are subject to access and contest. A determination as to whether an exemption applies shall be made at the time a request for access or contest is received.

Contesting record procedures:

(See records access procedures above.)

Record source categories:

Information is obtained from employees, third parties (e.g., on occasion a veteran, beneficiary or third party), the General Accounting Office, Veterans Administration records, congressional and federal offices.

Systems exempted from certain provisions of the act:

Under 5 U.S.C. 552a(j)(2), the head of any agency may exempt any system of records within the agency from certain provisions of the Privacy Act if the agency or component that maintains the system performs as its principal function any activities pertaining to the enforcement of criminal laws. The Inspector General Act of 1978, Pub. L. No. 95–452, mandates the Inspector General to recommend policies for and to conduct, supervise and coordinate activities in the Veterans Administration and between the Veterans Administration and other Federal, State and local governmental agencies with respect to: (1) The prevention and detection of fraud in programs and operations administered or financed by the Veterans Administration and (2) the identification and prosecution of participants in such fraud. Under the Act, whenever the Inspector General has reasonable grounds to believe there has been a violation of Federal criminal law, the Inspector General must report the matter expeditiously to the Attorney General.

This system of records has been created in major part to support the criminal law-related activities assigned by the Inspector General to the Assistant Inspector General for Investigations. These activities constitute a principal function of the Inspector General's Complaint Center staff.

In addition to principal functions pertaining to the enforcement of criminal laws, the Inspector General may receive and investigate complaints and allegations from various sources concerning the possible existence of activities constituting noncriminal violations of law, rules or regulations; mismanagement; gross waste of funds; abuses of authority or substantial and specific danger to the public health and safety. This system of records also exists to support inquiries by the Assistant Inspectors General for Auditing and for Policy, Planning and Resources into these noncriminal violations.

Based upon the foregoing, the Administrator of Veterans Affairs has exempted this system of records, to the extent that it encompasses information pertaining to criminal law-related activities, from the following provisions of the Privacy Act of 1974, as permitted by 5 U.S.C. 552a(j)(2):

5 U.S.C. 552a(c) (3) and (4)
5 U.S.C. 552a(d)
5 U.S.C. 552a(e) (1), (2) and (3)
5 U.S.C. 552a(e)(4) (G), and (H) and (I)
5 U.S.C. 552a(e) (5) and (8)
5 U.S.C. 552a(f)
5 U.S.C. 552a(g)

The Administrator of Veterans Affairs has also exempted this system of records to the extent that it does not encompass information pertaining to criminal law-related activities under 5 U.S.C. 552a(j)(2) from the following provisions of the Privacy Act of 1974, as permitted by 5 U.S.C. 552a(k)(2):

5 U.S.C. 552a(c)(3)
5 U.S.C. 552a(d)
5 U.S.C. 552a(e)(1)
5 U.S.C. 552a(e)(4) (G), (H) and (I)
5 U.S.C. 552a(f)

Reasons for exemptions: The exemption of information and material in this system of records is necessary in order to accomplish the law enforcement functions of the Office of Inspector General; e.g., to prevent subjects of investigations from frustrating the investigatory process by discovering the scope and progress of an investigation, to prevent the disclosure of investigative techniques, to fulfill commitments made to protect the confidentiality of sources, to maintain access to sources of information and to avoid endangering these sources and law enforcment personnel.

67VA30

System name:

PROS/KEYS User Permissions Data Base–VA.

System location:

Hard copy records are maintained in the Office of Information Systems and Telecommunications, Directorate for Operations Management, ADP Support Staff, Interactive Support Division (32C), VA Central Office, Washington, DC 20420. Magnetic records are maintained by the Veterans Administration Data Processing Center, 1615 East Woodward Street, Austin, Texas 78772.

Categories of individuals covered by the system:

Veterans Administration employees and authorized vendors who have requested and been granted access to the resources of the VA Data Processing Center, Austin, Texas.

Categories of records in the system:

Records (or information contained in the records) may include: (1) Names of individuals who have requested and and been granted access to the resources of the VA Data Processing Center, Austin, Texas; (2) the individuals' job title and Veterans Administration employee number or Social Security numbers; (3) the individual's office address and phone number; (4) information relating to data file and computer system access permissions.

Authority for maintenance of the system:

Title 38, United States Code, 210(c).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

1. To disclose pertinent information to the appropriate Federal, State, or local agency responsible for investigating, prosecuting, enforcing, or implementing a statute, rule, regulation, or order, where the disclosing agency becomes aware of an indication of a violation or potention violation of civil or criminal law or regulation.

2. To disclose information to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the conducting of a security or suitability investigation of an individual, the classifying of jobs, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to requesting the agency's decision on the matter.

3. To provide information to a congressional office from the record of an individual in response to an inquiry from that congressional office made at the request of that individual.

4. To disclose information to another Federal agency or to a court when the Government is party to a judicial proceeding before the court.

5. By the National Archives and Records Administration in records management inspections conducted under authority of 44 U.S.C. 2904 and 2906.

6. To disclose information to officials of the Merit Systems Protection Board, including the Office of the Special Counsel, the Federal Labor Relations Authority and its General Counsel, or the Equal Employment Opportunity Commission when requested in performance of their authorized duties.

7. To disclose in response to a request for discovery or for appearance of a witness, information that is relevant to the subject matter involved in a pending judicial or administrative proceeding.

8. Any information in this system may be disclosed to a Federal grand jury, Federal court or a party in litigation, or a Federal agency or party to an administrative proceeding being conducted by a Federal agency, in order for the VA to respond to and comply with the issuance of a Federal subpoena.

9. Any information in this system may be disclosed to a State or municipal grand jury, a State or municipal court or a party in litigation, or to a State or municipal administrative agency functioning in a quasi-judicial capacity or a party to a proceeding being conducted by such an agency, in order for the VA to respond to and comply with the issuance of a State or municipal subpoena; provided, that any disclosure of informaiton made under this routine use must comply with the provisions of 38 CFR 1.511.

Policies and practices for storing, retrieving, accessing, retaining and disposing of records in the system:

Storage:

The Office of Information Systems and Telecommunications, Directorate for Operations Management, ADP Support Staff, Interactive Support Division (32C), VA, VA Central Office, Washington, DC 20420 retains original signed copies of requests for system and data file permissions. These documents are retained in a locked filing cabinet with a one hour burn rating. Data files supporting theautomated system are stored in a secured area located at the Veterans Administration Data Processing Center, 1615 East Woodward Street, Austin, Texas 78772. Data files are stored on magnetic disk and, for archival purposes, on magnetic tape.

Retrievability:

Paper records are maintained in alphabetical order by the last name of the requester. Access to the automated system is via computer terminal. Standard security precautions are used to prohibit access to only authorized personnel.

Safeguards:

Paper records are maintained in a manned room during working hours. During non-working hours, there is limited access to the building with visitor control by security personnel; the room where the paper records are kept is locked, and the filing cabinets is secured with a built-in combination lock. Access to the records is on a need-to-know basis only. The automated system is protected by a generalized system security facility and by specific security techniques used within the application that accesses the data file. Access to the system is controlled by both the Interactive Support Division (32C) and the Austin Data Processing Center staff responsible for remote user support (200/40).

Retention and disposal:

Records will be maintained and disposed of in accordance with the records disposal authority approved by the Archivist of the United States.

System manager(s) and address:

Office of the Director (30), Office of Information Systems and Telecommunications, VA Central Office, Washington, DC 20420.

Notification procedure:

An individual who wishes to determine whether a record is being maintained by the Office of Information Systems and Telecommunications under his or her name or other personal identifier or who wants to determine the contents of such records should submit a written request or apply in person to the Office of the Director (30).

Record access procedures:

An individual who seeks access or wishes to contest records maintained under his or her name or other personal identifier may write or call or visit the Office of the Director.

Contesting record procedures:

See Record Access Procedures above.

Record source categories:

Individuals who have applied for and been granted access permissions to the resources of the Austin Data Processing Center.

68VA05

System name:

VA Employee Counseling Services Program Records.

System location:

These records are located at VA facilities (See Appendix 1) and at other Federal, State, or local government or private sector agencies or institutions which have agreements with the VA to provide counseling to VA employees or family members with alcohol, drug or emotional or personal health problems.

Categories of individuals covered by the system:

Categories of individuals who may be covered by the system include current or former VA employees or immediate family members of VA employees who have been counseled or otherwise treated regarding alcohol or drug abuse or for personal or emotional health problems.

Categories of records in the system:

The records (or information contained in records) may include records and documents related to employee visits to counselors, diagnosis, recommended treatment, prognosis, results of treatment, and other notes or records of discussions held by a program counselor with the employee, employee's family members or supervisors. Records in this system may also contain documentation of treatment at a Federal, State, local government, private agencies, or institutions which have agreements with the VA to provide counseling to VA employees or family members with alcohol, drug or personal or emotional health problems.

Authority for maintenance of the system:

5 U.S.C. 7901, 21 U.S.C. 1101, 42 U.S.C. 4541 and 4561 and 44 U.S.C. 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

1. Any information in this system may be disclosed to approved third parties for the purpose of conducting scientific research, management audits, financial audits, or program evaluations; however, such third parties may not identify, directly or indirectly, any individual patient or subject in any report of such research, audit or evaluation, or otherwise disclose patient or subject identities in any manner.

2. Any information in this system may be disclosed to the Department of Justice, or, when appropriate, to other Federal agencies, in order for the VA or another Federal agency to defend any claims against the United States arising from the treatment or counseling of an employee or family member with alcohol, drug, emotional or personal health problems.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

These records are maintained on paper documents in file folders.

Retrievability:

These records are retrieved by the names of the individuals on whom they are maintained.

Safeguards:

These records are maintained in locked file cabinets with access limited to the program Counselor or Coordinator.

Retention and disposal:

Records are maintained for three years after the employee's last contact with the Counselor, or for three years after the employee's separation or transfer, whichever comes first. Records are destroyed by shredding or burning.

System manager(s) and address:

Assistant Deputy Administrator for Personnel & Labor Relations (05), 810 Vermont Avenue, NW., Washington, D.C. 20420.

Notification procedure:

VA employees or family members wishing to inquire whether this system of records contains information about them should contact the VA Employee Alcoholism and Drug Abuse or Counseling Services Program Counselor or Coordinator who arranged for counseling or treatment. Individuals must furnish their name and date of birth for their records to be located and identified.

Record access procedures:

VA employees or family members wishing to request access to records pertaining to them should contact the VA Employee Alcoholism and Drug Abuse or Counseling Services Program Counselor or Coordinator who arranged for counseling or treatment. Individuals must furnish their name and date of birth for their records to be located and identified.

An individual must also follow the VA's Privacy Act regulations and procedures regarding verification of identity and amendment of records.

Contesting record procedures:

VA employees or family members wishing to request amendment to these records should contact the Program Counselor or Coordinator who arranged for counseling or treatment. Individuals must furnish their name and date of birth for their records to be located and identified.

An individual must also follow the VA's Privacy Act regulations and procedures regarding verification of identity and amendment of records.

Record source categories:

Information in this system of records comes from the individual to whom it applies, the supervisor of the employee, if the employee was referred by a supervisor for counseling, the Program Counselors or Coordinators who recorded counseling sessions, and therapists or institutions providing treatment.

69VA114

System name:

Ionizing Radiation Registry-VA.

System location:

Records are maintained at the VA Data Processing Center, Austin, Texas 78772 and VA Central Office, Washington, DC 20402.

Categories of individuals covered by the system:

Veterans who may have been exposed to ionizing radiation while on active military duty, either at the testing of a nuclear device between 1945 and 1962, or during the American occupation of Hiroshima or Nagasaki, Japan, between September 11, 1945, and July 1, 1946, and who (1) apply for hospital or nursing home care under Title 38 United States Code, Chapter 17; (2) file a claim for compensation under Title 38 United States Code, Chapter 11; or (3) dies and is survived by a spouse, child, or parent who files a claim for dependency and indemnity compensation under Title 38 United States Code, Chapter 13.

Categories of records in the system:

Records (or information contained in the records) in the system may include identifying information (e.g., name, address, telephone number, social security number, military service number, VA claim number, date of birth); information related to medical examination or treatment (e.g., location of VA medical facility where examination was performed or treatment provided, treatment dates, medical conditions treated or noted on examination, information describing any birth defects in the natural children of the veteran); information concerning VA claims for compensation on the basis of a disability which may be associated with the exposure to ionizing radiation; and, information related to the estimate of the dose of radiation to which the veteran was exposed while on active military duty. The system includes copies of computer files from the military departments that include exposure measurements for military personnel.

Authority for maintenance of the system:

Sec. 232 of Pub. L. 99-576.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

1. The record of an individual who is covered by this system may be disclosed to a member of Congress or staff person acting for the member when the member or staff person requests the record on behalf of and at the request of that individual.

2. Disclosure of VA records as deemed necessary and proper to accredited service organizations, agents, and attorneys recognized under a power of attorney or declaration of representation to assist in the preparation, presentation, and prosecution of claims.

3. A record containing the name(s) and address(es) of present or former members of the armed services and/or their dependents may be released from this system of records under certain circumstances: (1) To any nonprofit organization if the release is directly connected with the conduct of programs and the utilization of benefits under Title 38, and (2) to any criminal or civil law enforcement governmental agency or instrumentality charged under applicable law with the protection of the public health or safety if a qualified representative of such organization, agency or instrumentality has made a written request that such name(s) or address(es) be provided for a purpose authorized by law; provided, further, that the record(s) will not be used for any purpose other than that stated in the request and that the organization, agency or instrumentality is aware of the penalty provision of 38 U.S.C. 3301(f).

4. Disclosure of information, excluding name and address, (unless name and address is furnished by the requester) for research purposes determined to be necessary and proper, to epidemiological and other research facilities approved by the Chief Medical Director.

5. In order to conduct Federal research necessary to accomplish a statutory purpose of an agency, at the written request of the head of the agency, or designee of the head of that agency, the name(s) and address(es) of present or former personnel of the Armed Services and/or their dependents may be disclosed (a) to a Federal department or agency or (b) directly to a contractor of a Federal department or agency. When a disclosure of this information is to be made directly to the contractor, the VA may impose applicable conditions on the department, agency, and/or contractor to insure the appropriateness of the disclosure to the contractor.

6. Disclosure may be made to the NARA (National Archives and Records Administration) in records management inspections conducted under authority of 44 U.S.C. 2904 and 2906.

7. Any information in this system may be disclosed to a Federal grand jury, a Federal court or a party in litigation, or a Federal agency or party to an administrative proceeding being conducted by a Federal agency, in order for the VA to respond to and comply with the issuance of a Federal subpoena.

8. Any information in this system may be disclosed to a State or municipal grand jury, a State or municipal court or a party in litigation, or to a State or municipal administrative agency functioning in a quasi-judicial capacity or a party to a proceeding being

conducted by such agency, in order for the VA to respond to and comply with the issuance of a State or municipal subpoena; provided, that any disclosure or claimant information made under this routine use must comply with the provisions of 38 CFR 1.511.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records (or information contained in records) are maintained on paper documents, microfilm, microfiche, magnetic tape and magnetic disks.

Retrievability:

Records are indexed by name and social security number.

Safeguards:

Access to records in the VA Central Office is only authorized to VA personnel on a " need-to-know" basis. Records are maintained in manned rooms during working hours. During nonworking hours, there is limited access to the building with visitor control by security personnel. Information in the computer file at the Austin VA Data Processing Center may be accessed and updated by authorized VA Central Office personnel via modem. Access is limited to authorized employees by individually unique access code which are changed periodically. Access to the VA Data Processing Center is generally restricted to center employees, custodial personnel, Federal Protective Service and other security personnel. Access to computer rooms is restricted to authorized operational personnel through electronic locking devices. All other persons gaining access to computer rooms are escorted.

Retention and disposal:

Records will be maintained and disposed of in accordance with records disposition authority approved by the Archivist of the United States.

System manager(s) and address:

Director, Radiology Service (114), Veterans Administration Central Office, Washington, DC 20420.

Notification procedures:

An individual who wishes to determine whether a record is being maintained in this system under his or her name or other personnel identifier, or wants to determine the contents of such record, should submit a written request or apply in person to the Director, Radiology Service (114). Inquiries should include the veteran's name, social security number and return address.

Record access procedures:

An individual who seeks access to records maintained under his or her name in this system may write or visit the Director, Radiology Service (114).

Contesting record procedures:

See Record Access Procedures above.

Record source categories:

VA patient medical records, various automated record systems providing clinical and managerial support to VA health care facilities, the veteran, family members, and records from the Department of Veterans Benefits, Department of Defense, Defense Nuclear Agency of the Department of Defense, Department of the Army, Department of the Air Force, Department of the Navy, and other Federal agencies.

71VA53

System name:

Office of Inspector General Management Information System, 71VA53.

System location:

Office of Inspector General (53D), Management Information Staff, Veterans Administration, 810 Vermont Avenue, NW., Washington, D.C. 20420, and the Computer Sciences Corporation Infonet Time-sharing System, Beltsville, Maryland.

Categories of individuals covered by the system:

The following category of individuals will be covered by the system: All personnel assigned to Office of Inspector General including auditors, investigators and administrative support staff.

Categories of records in the system:

Records (or information contained in records) may include: (1) Individual's name; (2) social security number; (3) date of birth; (4) service computation date; (5) career status; (6) assigned station; (7) job series; (8) education; (9) grade; (10) evaluation due date; (11) assignments; (12) travel; (13) experience; (14) training; and (15) audit and investigation case tracking data (e.g., case number, budgeted and actual staff days, target and completion dates, findings and results).

Authority for maintenance of the system:

Title 38, U.S.C., Section 210 and Pub. L. 95-452, sections 4, 5, and 6.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

None.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Active records are stored on magnetic disk, with backup active records and inactive records maintained on magnetic tape. Records are also stored on computer printouts.

Retrievability:

Records are retrieved by social security number or name.

Safeguards:

Records will be maintained in a private library accessible only to authorized users. Access to records will be limited to VA employees on a "need-to-know" basis by control of passwords and authorized user identification codes. Computer system documentation will be maintained in a secure environment in the Office of Inspector General, Va Central Office. Physical access to printouts and data terminals will be limited to authorized personnel in both Office of Inspector General, VA Central Office and field offices.

Retention and disposal:

Records will be maintained and disposed of in accordance with records disposition authority approved by the Archivist of the United States.

System manager(s) and address:

Chief, Management Information Staff (53D), Office of Inspector General, VA Central Office, 810 Vermont Avenue, NW, Washington, D.C. 20420.

Notification procedure:

Individuals seeking information concerning the existence of records or the contents of records on him or her must furnish a written request or apply in person to the Assistant Inspector General for Policy, Planning and Resources, VA Central Office, 810 Vermont Avenue, NW., Washington, D.C. 20420.

Record access procedures:

(See Notification procedure).

Contesting record procedures:

(See Notification procedure).

Record source categories:

Official personnel folder; other personnel documents; activity supervisors; individual applications and forms; audit, investigation, and report standard forms.

73VA14

System name:

Health Professional Scholarship Program—VA.

System location:

Active records will be maintained at the Office of Academic Affairs (O/AA), Department of Medicine and Surgery, Veterans Administration Central Office (VACO), 810 Vermont Avenue, NW., Washington, D.C. 20420, and the Data Processing Center, Veterans Administration, 1615 East Woodward Street, Austin, TX 78772. Complete records will be maintained only at the VACO address.

Categories of individuals covered by the system:

Individuals who apply for and are awarded scholarships under the provisions of the Veterans Administration Health Professional Scholarship Program in the fields of medicine, osteopathy and nursing.

Categories of records in the system:

Records (or information contained in records) in this system may include: Personal identification information related to the application material, to award processes, to employment, and to obligated service, such as (1) name, (2) address, (3) telephone number, (4) social security number, (5) award amounts, (6) obligated service incurred; and payment information such as name and address of the educational institution or any amount of indebtedness (accounts receivable) arising from the scholarship and owed to the VA.

Authority for maintenance of the system:

Title 38, U.S.C. 210(c), 4141-4146 and 4118.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

1. The record of an individual who is covered by this system may be disclosed to a member of Congress or staff person acting for the member when the member or staff person requests the record on behalf of and at the request of that individual.

2. Any information in this system may be disclosed to a Federal, State or local agency, upon its official request, to the extent that it is relevant and necessary to that agency's decision on: The hiring, transfer or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance or continuance of a license, grant or other benefit by that agency.

3. Any information in this system may be disclosed to a Federal, State or local agency maintaining civil or criminal violation records, or other pertinent information such as prior employment history, prior Federal employment background investigations, and personal or educational background in order for the VA to obtain information relevant to the hiring, transfer or retention of an employee, the letting of a contract, the granting of a security clearance, or the issuance of a grant or other benefit.

4. Any information in this system may be disclosed to a Federal agency in order to determine if an applicant has an obligation for service under another Federal program, thus rendering the applicant ineligible for a VA scholarship. (38 U.S.C. 4142(a)(4)).

5. Any information in this system pertaining to individuals eligible for scholarships may be disclosed to educational institutions in order to assist in the administration of this program.

6. Award payment information may be disclosed to the Treasury Department to permit delivery of scholarship-related checks to students and to educational institutions.

7. Any information in this system, including available identifying information regarding the debtor, such as name, place of birth, and date of birth of the debtor may be disclosed under this routine use to Federal, State or consumer reporting agencies in order to obtain current name, address, locator and credit report in connection with any proceeding for the collection of an amount owed to the United States by virtue of an individual's participation in the VA Health Professional Scholarship Program.

8. Any information in this system may be disclosed to the Department of Justice (DOJ), including U.S. Attorneys, in order for the VA to respond to pleadings, interrogatories, orders or inquiries from the DOJ, and to supply the DOJ with information in any phase of litigation or in any case or controversy involving the VA.

9. Any information in this system may be disclosed to educational institutions, previous employers or individuals providing references to verify the authenticity of the application.

10. Records from this system of records may be disclosed to a Federal Agency or to a State or local government licensing board and/or to the Federation of State Medical Boards or a similar non-government entity which maintains records concerning individuals' employment histories or concerning the issuance, retention or revocation of licenses, certifications, or registration necessary to practice an occupation, profession or specialty , in order for the Agency to obtain information relevant to an Agency decision concerning the hiring, retention or termination of an employee or to inform a Federal Agency or licensing boards or the appropriate nongovernment entities about the health care practices of a terminated, resigned or retired health care employee whose professional health care activity so significantly failed to conform to generally accepted standards of professional medical practice as to raise reasonable concern for the health and safety of patients in the private sector or from another Federal Agency. These records may also be disclosed as part of an ongoing computer matching program to accomplish these purposes.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are maintained on magnetic tape and computer printouts at the VA Data Processing Center, and in file folders, computer printouts and word processor software at VACO.

Retrievability:

Records are retrievable by use of the award number, social security number and the name of the individual.

Safeguards:

Access to the basic file in the Austin Data Processing Center (DPC) is restricted to authorized VA employees and vendors. Access to the computer room where the magnetic tape is located within the DPC is further restricted to specifically authorized employees and is protected by an alarm system, the Federal Protective Service and other VA security personnel. Records at VA Central Office will be kept in locked files and made available only to authorized personnel on a need-to-know basis. During non-working hours the file is locked and the building is protected by the Federal Protective Service.

Retention and disposal:

Records will be maintained and disposed of in accordance with records disposition authority approved by the Archivist of the United States.

System manager(s) and address:

Assistant Chief Medical Director for Academic Affairs (14), Department of Medicine and Surgery, VA Central Office, 810 Vermont Avenue, NW, Washington, D.C. 20420.

Notification procedure:

Any individual who wishes to determine whether a record is being maintained in this system under his or her name or other personal identifier, or wants to determine the contents of such records should submit a written request or apply in person to the Assistant Chief Medical Director for Academic Affairs (14), Department of Medicine and Surgery, VA Central Office, 810 Vermont Avenue, NW, Washington, D.C. 20420.

Record access procedures:

Individuals seeking information regarding access to and contesting of VA records in this system may write, call or visit the Assistant Chief Medical Director for Academic Affairs (14), Department of Medicine and Surgery, VA Central Office, 810 Vermont Avenue, NW, Washington, D.C. 20420.

Contesting record procedures:

See Records access procedures above.

Record source categories:

Information contained in the records is obtained from the individual, references given in application material, educational institutions, VA medical facilities, the VA DPC, other Federal agencies, State agencies and consumer reporting agencies.

75 VA001B

System name:

Secretary's Official Correspondence Records (75VA001B).

System location:

Records are maintained in the Office of the Secretary, Executive Secretariat (001B), VA Central Office, Washington, D.C. 20420 with copies located in various other offices throughout Department of Veterans Affairs (VA) Central Office and field stations. (Address locations are listed in VA Appendix 1 at the end of this document). The Office of Administration, Safety and Office Support Services (03) keeps records on magnetic media.

Categories of individuals covered by the system:

Individual citizens (veteran and nonveteran), VA employees, organizations, agencies of Federal, state and local governments, and public officials who have sent correspondence to VA.

Categories of records in the system:

Records (or information contained in records) may include: (1) Names of individuals (e.g. private citizens, veterans, public officials, organizations); (2) writers' Social Security number and/or veterans' claim number (3) inquiries or correspondence sent to the Secretary of Veterans Affairs by individuals; (4) information pertinent to decisions or responses given by the Secretary, administration heads or staff office directors; and (5) copies of the decisions or responses of the Secretary ,administration heads or staff office directors.

Authority for maintenance of the system:

Title 38, United States Code, 210(c).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

1. The records of an individual who is covered by this system may be disclosed to a member of Congress or staff person acting for the member when the member or staff person requests the record on behalf of and at the request of that individual.

2. Any information in this system from correspondence or inquiries sent to the Secretary of Veterans Affairs may be disclosed to Federal or state agencies at the request of the correspondent or inquirer in order for those agencies to help the correspondent with his or her problem. The information disclosed may include the name and address of the correspondent or inquirer and details concerning the nature of the problem specified in the correspondence.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records of inquiries and correspondence are maintained on paper documents in individual file folders in the Office of the Secretary. Data filessupporting the automated system are stored in a secured area on magnetic disk and tape.

Retrievability:

Records are maintained in alphabetical order by last name of the individual correspondent. When appropriate, records are also filed alphabetically by name of member of Congress representing the correspondent. Access to the automated system is via terminals located in the secured area referred in SAFEGUARDS. Standard security precautions are used to prohibit access to only authorized personnel.

Safeguards:

Records are maintained in a manned room during working hours. During nonworking hours, there is limited access to the building with visitor control by security personnel, and the room where the records are kept is locked. Access to the records is only authorized to VA personnel on a "need-to-know" basis.

Retention and disposal:

In the Office of the Secretary, records retrieved by last name of members of Congress are retained in the Secretary's Office for one current year then retired to inactive storage in VA and Federal Archives and Records Center for ten years. All other records in this system are retained in VA for five years then retired to the Washington National Records Center where they are retained for 20 years. Thereafter, they are offered to National Archives for accessioning. After five years automated files are maintained indefinitely on a history file in the correspondence tracking system.

System manager(s) and address:

Office of the Secretary, Executive Secretariat (001B), VA Central Office, Washington, D.C. 20420.

Notification procedure:

An individual who wishes to determine whether a record is being maintained by the Office of the Secretary (001B) under his or her name or other personal identifier or wants to determine the contents of such records should submit a written request or apply in person to Executive Secretariat (001B).

Record access procedures:

An individual who seeks access to or wishes to contest records maintained under his or her name or other personal identifier may write or call or visit the Executive Secretariat.

Contesting record procedures:

(See Records Access Procedures above.)

Record source categories:

Individuals (veterans, nonveterans,) attorneys, employees, members of Congress, local and state officials and various private and public organizations.

76VA05

System name:

General Personnel Records (Title 38)–VA.

System location:

Active records are maintained at the Veterans Administration (VA) Central Office, 810 Vermont Avenue, NW., Washington, DC 20420, VA field facilities, and the VA Data Processing Center, 1615 East Woodward Street, Austin, Texas 78772. The inactive records are retired to the National Personnel Records Center, 111 Winnebago Street, St. Louis, Missouri 63118.

Categories of individuals covered by the system:

Current and former employees appointed under 38 U.S.C. Chapter 73 to the occupations identified in 38 U.S.C. 4103, 4104(1), and 4104(3); individuals in those occupations who are appointed under 38 U.S.C. 4114; and residents appointed under 38 U.S.C. 4114(b). This includes employees such as non-physician facility Directors, physicians, dentists, podiatrists, optometrists, nurses, nurse anesthetists, physician assistants, expanded-function dental auxiliaries, certified respiratory therapy technicians, registered respiratory therapists, licensed physical therapists, and licensed practical or vocational nurses. Current and former employees appointed under 38 U.S.C. Chapter 75 in the Veterans Canteen Service are also covered.

Categories of records in the system:

Records in this system are official personnel files reflecting work experience, licensure, credentials, educational level achieved, and specialized education or training occurring outside of Federal service; records reflecting Federal service and documenting work experience, education, training, and/or award received while employed, and all other information relating to qualifications; records containing information about past and present positions held, grades, salaries, duty station locations, and notices of all personnel actions such as appointments, transfers, reassignments, details, promotions, demotions, reductions-in-force, resignations, separations, suspensions, approval of disability retirement applications, retirements, and removals; records regarding career development and counseling(s); recruitment and employment files; promotion, upward mobility, and conversion files; suitability files; computer printouts from an automated personnel system; records reflecting enrollment or declination of enrollment in the Federal Employees' Group Life Insurance Program and Federal Employees' Health Benefits programs as well as forms showing designation of beneficiary; records documenting findings and recommendations of reviewing Boards; certifications of outside professional activities; records relating to Government-sponsored training or participation in VA or other programs designed to broaden an employee's work experience and/or for purposes of advancement; performance appraisals or proficiency reports, supporting documentation, written recommendations for performance-based actions, statements made by the employee regarding an appraisal/proficiency report given, and any recommendations made based on them; records are documents on the processing of adverse actions and actions based on inaptitude, inefficiency, misconduct or disqualification during probation, any notice of proposed action, materials relied on by the VA to support the reasons in the notice, replies by the employee, statements of witnesses, hearing notices, reports, and decisions made.

Authority for maintenance of the system:

38 U.S.C. Chapter 3, Section 210(c)(1), Chapters 73 and 75.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

1. To disclose information to the Office of Personnel Management for the Central Personnel Data File.

2. To disclose information to Government training facilities (Federal, State, and local) and to non-Government training facilities (private vendors of training course or programs, private schools, etc.) for training purposes.

3. To disclose information to educational institutions on appointment of a recent graduate to a position in the Federal service, and to provide colleges and university officials with information about their students working under programs necessary to a student's obtaining credit for the experience gained.

4. To disclose information to: The Department of Labor, Social Security Administration, Department of Defense, Federal agencies that have special civilian employee retirement programs; or a national, state, county, municipal, or other publicly recognized charitable or income security administration agency (e.g., state unemployment compensation agencies), where necessary to adjudicate a claim under the retirement, insurance or health benefits programs of the Office of Personnel Management or an agency cited above, or to an agency to conduct an analytical study or audit of benefits being paid under such programs.

5. To disclose to the Office of Federal Employees' Group Life Insurance, information necessary to verify election, declination, or waiver of regular and/or optional life insurance coverage or eligibility for payment of a claim for life insurance.

6. To disclose to health insurance carriers contracting with the Office of Personnel Management to provide a health benefits plan under the Federal Employees Health Benefits Program, information necessary to identify enrollment in a plan, to verify eligibility for payment of a claim for health benefits, or to carry out the coordination or audit of benefit provisions of such contracts.

7. To disclose information to a Federal, State, or local agency for determination of an individual's entitlement to benefits in connection with Federal Housing Administration programs.

8. To consider and select employees for incentive awards and other honors and to publicize those granted. This may include disclosure to other public and private organizations, including news media, which grant or publicize employee awards or honors.

9. To consider employees for recognition through administrative and quality step increases and to publicize those granted. This may include disclosure to other public and private organizations, including new media, which grant or publicize employee recognition.

10. To disclose information to officials of labor organizations recognized under 5 U.S.C. Chapter 71 when relevant and necessary to their duties of exclusive representation concerning personnel policies, practices, and matter affecting working conditions.

11. To disclose pertinent information to the appropriate Federal (including offices of Inspector General), State, or local agency responsible for investigating, prosecuting, enforcing, or implementing a statute, rule, regulation, or order, where the VA becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation.

12. To disclose information to any source when necessary to obtain information relevant to a conflict-of-interest investigation or determination.

13. To disclose information to any source from which additional information is requested (to the extent necessary to identify the individual, inform the source of the purposes(s) of the request, and to identify the type of information requested), when necessary to obtain

information relevant to an Agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the conducting of a security or suitability investigation of an individual, the letting of a contract, or the issuance of a license, grant, or other benefits.

14. To disclose to an agency in the executive, legislative, or judicial branch, or the District of Columbia's Government in response to its request, or at the initiation of the VA information in connection with the hiring of an employee, the issuance of a security clearance, the conducting of a security or suitability investigation of an individual, the letting of a contract, the issuance of a license, grant, or other benefits by the requesting agency, or the lawful statutory, administrative, or investigative purpose of the agency to the extent that the information is relevant and necessary to the requesting agency's decision.

15. To disclose information to private sector (i.e., non-Federal, State, or local governments) agencies, organizations, boards, bureaus, or commission (e.g., the Joint Commission on Accreditation of Healthcare Organizations). Such disclosures may be made only when: (1) The records are properly constituted in accordance with VA requirements; (2) the records are accurate, relevant, timely, and complete; and, (3) the disclosure is in the best interests of the Government (e.g., to obtain accreditation or other approval rating). When cooperation with the private sector entity, through the exchange of individual records, directly benefits the VA's completion of its mission, enhances personnel management functions, or increases the public confidence in the VA's or the Federal Government's role in the community, then the Government's best interests are served. Further, only such information that is clearly relevant and necessary for accomplishing the intended uses of the information as certified by the receiving private sector entity is to be furnished.

16. To disclose information to the Office of Management and Budget at any stage in the legislative coordination and clearance process in connection with private relief legislation as set forth in OMB Circular No. A-19.

17. To provide information to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of the individual.

18. To disclose information to another Federal agency, to a court, or a party in litigation before a court or in an administrative proceeding being conducted by a Federal agency, either when the Government is a party to a judicial proceeding or in order to comply with the issuance of a subpoena. Information is also made available pursuant to a court order directing production of personnel records.

19. To disclose, in response to a request for discovery or for appearance of a witness, information that is relevant to the subject matter involved in a pending judicial or administrative proceeding.

20. To disclose information to the National Archives and Records Administration (NARA) for records management inspections conducted under authority of 44 U.S.C. 2904 and 2906.

21. To disclose to persons engaged in research and survey projects information necessary to locate individulas for personnel research or survey response, and to produce summary descriptive statistics and analytical studies in support of the function for which the records are collected and maintained, or for related work force studies. While published statistics and studies do not contain individual identifiers, in some instances, the selection of elements of data included in the study may be structured in such a way as to make the data individually identifiable by inference.

22. To provide an official of another Federal agency information needed in the performance of official duties related to reconciling or reconstructing data files in support of the functions for which the records were collected and maintained.

23. When an individual to whom a record pertains is mentally incompetent or under other legal disability, information in the individual's record may be disclosed to any person who is responsible for the care of the individual to the extend necessary to ensure payment of benefits to which the individual is entitled.

24. To disclose to the VA-appointed representative of an employee all notices, determinations, decisions, or other written communications issued to the employee in connection with an examination ordered by the VA under medical evaluation (formerly fitness-for-duty) examination procedures or Agency-filed disability retirement procedures.

25. To disclose to a requesting agency, organization, or individual the home address and other relevant information on those individuals who, it is reasonably believed, might have contacted an illness, been exposed to, or suffered from a health hazard while employed in the Federal work force.

26. To disclose to the Department of Defense specific civil service employment information required under law on individuals identified as members of the Ready Reserve, to ensure continuous mobilization readiness of Ready Reserve units and members.

27. To disclose information to the Department of Defense, National Oceanic and Atmospheric Administration, U.S. Public Health Service, and the U.S. Coast Guard needed to effect any adjustments in retired or retained pay required by the dual compensation provisions of section 5532 of Title 5, United States Code.

28. To disclose information to officials of the Merit Systems Protection Board, including the Office of the Special Counsel, when requested in connection with appeals, special studies of the civil service and other merit systems, review of rules and regulations, investigation of alleged or possible prohibited personnel practices, and such other functions, promulgated in 5 U.S.C. 1205 and 1206, or as may be authorized by law.

29. To disclose information to the Equal Employment Opportunity Commission when requested in connection with investigations of alleged or possible discrimination practices, examination of Federal affirmative employment programs, compliance with the Uniform Guidelines on Employee Selection Procedures, or other functions vested in the Commission by the President's Reorganization Plan No. 1 of 1978.

30. To disclose information to the Federal Labor Relations Authority (including its General Counsel) when requested in connection with investigation and resolution of allegations of unfair labor practices, in connection with the resolution of exceptions to arbitrator awards when a question of material fact is raised and matters before the Federal Service Impasses Panel.

31. To disclose to prospective non-Federal employers, the following information about a specifically identified current or former employee: Tenure of employment; civil service status; length of service in the VA and the Government; and when separated, the date and nature of action as shown on the Notification of Personnel Action—Standard Form 50 (or authorized exception).

32. Records from this system of records may be disclosed to a State or local government licensing board and/or to the Federation of State Medical Boards or a similar non-government entity which maintains records concerning individual's employment histories or concerning the issuance, retention or revocation of licenses or registrations necessary to practice an occupation, profession or specialty, in order for the Agency to obtain information determined relevant to an Agency decision concerning the hiring, retention or termination of an employee or to inform licensing boards or the appropriate non-government entities about the health care practices of a terminated, resigned or retired health care employee whose professional health care activity so significantly failed to conform to generally accepted standards of professional medical practice as to raise reasonable concern for the health and safety of private sector patients.

33. To disclose information to a State or local government entity which has the legal authority to make decisions concerning the issuance, retention or revocation of licenses, certifications or registrations required to practice a health care profession, when requested in writing by an investigator or supervisory official of the licensing entity for the purpose of making a decision concerning the issuance, retention or revocation of the license, certification or registration of a named health care professional.

34. To disclose relevant information to the Department of Justice and United States Attorneys in defense or prosecution of litigation involving the United States, and to Federal agencies upon their request in connection with review of administrative tort claims filed under the Federal Tort Claims Act, 28 U.S.C. 2672.

35. To disclose information including the name, social security number, date of birth, sex, annual salary, service computation date of basic active service date, separation or retirement date, veteran's preference, retirement status, occupational series, position occupied, work schedule (full-time, part-time, or intermittent), Agency identifier, geographic location (duty station location), standard metropolitan statistical area, special program identifier, and submitting office number of all Federal employees to agencies participating in the "Federal Employee Receiving Government Assistance" Matching Program conducted by the President's Council on Integrity and Efficiency to help eliminate fraud and abuse in the benefit program administered by agencies within the Federal Government and to collect debts and overpayments owed to the Federal Government.

36. To disclose to requesting States (and, upon specific VA approval, by those States to local governments) information including the name, social security number, date of birth, sex, annual salary, separation or retirement date, retirement status, occupational series, position occupied, work schedule (full-time, part-time, intermittent), Agency identifier, geographic location (duty station location), standard metropolitan statistical area, special identifier, and submitting office number of Federal employees for use in computer matching to help eliminate fraud and abuse in the benefit programs administered by the States and to collect debts and over-payments owed to those governments and their components.

37. To disclose hiring, performance, or other personnel-related information to any facility with which there is, or there is proposed to be, an affiliation, sharing agreement, contract, or similar arrangement, for purposes of establishing, maintaining, or expanding any such relationship.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper documents, microfilm, magnetic tape, disk.

Retrievability:

Both paper and automated records are retrieved by name, birth date, social security number, or identification number of the individual on whom they are maintained.

Safeguards:

Access to VA working and storage areas is restricted to VA employees on a "need to know" basis; strict control measures are enforced to ensure that disclosure to these individuals is also based on this same principle. VA file areas are locked after normal duty hours and are protected from outside access by the Federal Protective Service.

Access to the VA Data Processing Center is restricted to authorized VA employees and authorized representatives of vendors. Access to the computer rooms within the data processing center is further restricted to especially authorized VA personnel and vendor personnel. Access to computerized records is limited through use of access codes and entry logs. Additional protection is provided by electronic locking devices, alarm systems, and guard service.

Exchange of data from the system between the data processing center and the VA health care facilities is by use of the VADATS telecommunications network. Access to the VADATS network equipment is restricted since it is in the communications center of each facility. Strict control measures are enforced to ensure that disclosure is limited to a "need to know" basis.

Retention and disposal:

Records are maintained and disposed of in accordance with the records disposition authorities found in General Records Schedule 1 and VA Records Control Schedule 10-1, except where otherwise required to be retained for a longer period of time.

System manager(s) and address:

Director, Office of Personnel and Labor Relations (05), Veterans Administration, 810 Vermont Avenue, NW., Washington, DC 20420.

Notification procedure:

Individuals wishing to inquire whether this system of records containing information about them should contact the local VA facility at which they are or were employed. It is necessary that the following information be furnished in order that the appropriation records may be located and identified: Full name(s); date of birth; social security number; and signature. To facilitate records identification, former employees must also provide the name of their last duty station, if different than last employing facility, and approximate dates of employment.

Record access procedures:

(See Notification Procedure.)

Contesting record procedures:

Current employees wishing to request amendment of their records should contact the Personnel Officer of their current installation. Former employees should contact the Director, Office of Personnel and Labor Relations. (See System Manager(s) and Address.) Individuals must furnish the following information for their records to be located and identified: Full name(s); date of birth; social security number; and signature. To facilitate records identification, former employees must also provide the name of their last employing facility and approximate dates of employment.

Record source categories:

Information in this system of records is provided by the individual employee; examining physicians; educational institutions; VA officials and other individuals or entities, e.g., job references and supporting statements; testimony of witnesses; and correspondence from organizations or persons, e.g., licensing boards.

Appendix 1: Addresses of Veterans Administration Facilities

Alabama AL
VA Medical Center, 700 South 19th St., Birmingham, Alabama 35233
Mobile National Cemetery, 1202 Virginia St., Mobile, Alabama 36604
VA Outpatient Clinic Substation, 2451 Fillingim St., Mobile, Alabama 36617 (MAIL: VAMC, Biloxi, MS 39531)
VA Regional Office, 474 South Court St., Montgomery, Alabama 36104
VA Medical Center, 215 Perry Hill Rd., Montgomery, Alabama 36109
VA Medical Center, Tuscaloosa, Alabama 35404
VA Medical Center, Tuskegee, Alabama 36083
Fort Mitchell National Cemetery, Phenix City, Alabama (MAIL: NCAO, Atlanta, GA 30308)
Alaska AK
VA Regional Office and Outpatient Clinic, 235 East 8th Ave., Anchorage, Alaska 99501
Sitka National Cemetery, P.O. Box 1065, Sitka, Alaska 99835
Fort Richardson National Cemetery, HQ Infantry, 172D Brigade, AFCT-CM-M, Fort Richardson, Alaska 99505
Arizona AZ
VA Regional Office, 3225 North Central Ave., Phoenix, Arizona 85012
VA Center Medical Center and Domiciliary, Prescott, Arizona 86301
VA Medical Center, Seventh St. & Indian School Rd., Phoenix, Arizona 85012
Prescott National Cemetery, VAMC, Prescott, Arizona 86313
VA Medical Center, Tucson, Arizona 85723
Arkansas AR
VA Medical Center, Fayetteville, Arkansas 72701
Fayetteville National Cemetery, 700 Government Ave., Fayetteville, Arkansas 72701
Fort Smith National Cemetery, 522 Garland Ave. and South 6th St., Fort Smith, Arkansas 72901
VA Regional Office, 1200 West 3rd St., Little Rock, Arkansas 72201
VA Medical Center, 300 East Roosevelt Rd., Little Rock, Arkansas 72206
Little Rock National Cemetery, 2523 Confederate Blvd., Little Rock, Arkansas 72206
California CA
VA Supply Depot, Federal Service Center, Bldg. 701, 5600 Rickenbacker Rd., Bell, California 90201
VA Medical Center, 2615 East Clinton Ave., Fresno, California 93703
VA Medical Center, Livermore, California 94550
Jerry L. Pettis Memorial Veterans Medical Center, 11201 Benton St., Loma Linda, California 92357
VA Medical Center, 5901 East Seventh St., Long Beach, California 90822
VA Regional Office, Federal Bldg., 1100 Wilshire Blvd., Los Angeles, California 90024
VA Public and Consumer Affairs Regional Office, P.O. Box 84041, 11301 Wilshire Blvd., Los Angeles, California 90073
VA Data Processing Center, Federal Bldg., West Lost Angele 11000 Wilshire Blvd., Los Angeles, California 90024
VA Medical Center and Domiciliary, West Los Angeles, California 90073
VA Outpatient Clinic, 425 South Hill St., Los Angeles, California 90013
Los Angeles Regional Office of Audit, Wilshire and Sawtelle Blvd., Bldg. 258, Room 330. Los Angeles, California 90013
Los Angeles Regional Office of Investigations, P.O. Box 84102, Los Angeles, California 90073
Los Angeles National Cemetery, 950 S. Sepulveda Blvd., Los Angeles, California 90049
VA Medical Center, 150 Muir Road, Martinez, California 94553
VA Outpatient Clinic Substation, 1515 Clay St., Okland, California 94612
VA Medical Center, 3801 Miranda Ave., Palo Alto, California 94304
Golden Gate National Cemetery, 1300 Sneath Lane, San Bruno, California 94066
Fort Rosecrans National Cemetery, Point Loma, P.O. Box 6237, San Diego, California 92106
Riverside National Cemetery, 22495 Van Buren Blvd., Riverside, California 92508
VA Regional Office, 2022 Camino Del Rio North, San Diego, California 92108
VA Medical Center, 3350 La Jolla Village Drive, San Diego, California 92161
VA Outpatient Clinic, 2022 Camino Del Rio North, San Diego, California 92108
VA Regional Office, 211 Main St., San Francisco, California 94105
VA Medical Center, 4150 Clement St., San Francisco, California 94121

San Francisco National Cemetery, Presidio of San Francisco, P.O. Box 29012, San Francisco California 94129

VA Outpatient Clinic Substation, 315 Camiro Del Remedia, 691 A-OC, P.O. Box 6863, Santa Barbara, California 93105

VA Medical Center, Sepulveda, California 91343

Colorado CO

VA Regional Office, 44 Union Blvd., P.O. Box 25126, Denver, Colorado 80225

VA Medical Center, 1055 Clemont St., Denver, Colorado 80220

VA Prosthetics Distribution Center, Denver Federal Center, Denver, Colorado 80225

Veterans Canteen Service Field Office, Denver Federal Center, Box 25345, Denver, Colorado 80225

National Cemetery Area Office, 44 Union Blvd., Box 25126, Denver, Colorado 80225

Fort Logan National Cemetery, 3698 South Sheridan Blvd., Denver, Colorado 80235

VA Medical Center, Fort Lyon, Colorado 81038

Fort Lyon National Cemetery, VAMC, Fort Lyon, Colorado 81038

VA Medical Center, Grand Junction, Colorado 81501

Connecticut CT

VA Regional Office, 450 Main St., Hartford, Connecticut 06103

Hartford Regional Office of Audit, 450 Main St., Hartford, Connecticut 06103

Hartford Regional Office of Investigations, 450 Main St., Hartford, Connecticut 06103

VA Medical Center, 55 Willard Ave., Newington, Connecticut 06111

VA Medical Center, West Spring St., West Haven, Connecticut 06516

Delaware DE

VA Medical and Regional Office Center, 1601 Kirkwood Highway, Wilmington, Delaware 19805

District of Columbia DC

VA Central Office, 810 Vermont Ave., NW, Washington, D.C. 20420

VA Satellite Service Center, 811 Vermont Ave., Washington, D.C. 20420

VA Public and Consumer Affairs Regional Office, 810 Vermont Ave., NW, Washington, D.C. 20420

VA Congressional Liaison, Room B-328, Rayburn House Office Bldg., Washington, D.C. 20515

VA Regional Office, 941 N. Capitol St., NE, Washington, D.C. 20421

VA Medical Center, 50 Irving St., NW, Washington, D.C. 20422

VA Central Dental Laboratory, 50 Irving St., NW, Washington, D.C. 20422

Florida FL

VA Medical Center and Domiciliary, Bay Pines, Florida 33504

Bay Pines National Cemetery, VAMC, Bay Pines, Florida 33504

VA Outpatient Clinic, P.O. Box 13594, St. Petersburg, Florida 33733

VA Outpatient Clinic Substation, 2070 Carrell Rd., Fort Myers, Florida 33901

VA Medical Center, Archer Road, Gainesville, Florida 32602

VA Outpatient Clinic Substation, St. Luke's Professional Bldg., 1833 Blvd., Jacksonville, Florida 32206

VA Medical Center, Lake City, Florida 32055

VA Medical Center, 1201 Northwest 16th St., Miami, Florida 33125

VA Outpatient Clinic Substation, Port of Palm Beach, Executive Plaza, 301 Broadway, Rivera Beach, Florida 33404

VA Outpatient Clinic Substation, 5599 North Dixie Highway,, Oakland Park, Florida 33334

VA Outpatient Clinic Substation, 83 W. Columbia St., Orlando, Florida 32806

Barrancas National Cemetery, Naval Air Station, Pensacola, Florida 32508

St. Augustine National Cemetery, 104 Marine St., St. Augustine, Florida 32084

VA Regional Office, 144 First Ave. South, P.O. Box 1437, St. Petersburg, Florida 33731

VA Office, Post Office and Courthouse Bldg., 311 West Monroe St., Jacksonville, Florida 32201

VA Office, Room 100, 51 Southwest First Ave., Miami, Florida 33130

VA Medical Center, 13000 North 30th St., Tampa, Florida 33612

Georgia GA

VA Regional Office, 730 Peachtree St., NE, Atlanta, Georgia 30365

Veterans Canteen Service Field Office, 730 Peachtree St., NE, Atlanta, Georgia 30365

VA National Cemetery Area Office, 730 Peachtree St., NE, Atlanta, Georgia 30365

Atlanta Regional Office of Audit, 730 Peachtree St., NE, Suite 700, Atlanta, Georgia 30365

Atlanta Regional Office of Investigations, 730 Peachtree St., NE, Atlanta, Georgia 30365

VA Medical Center, 2460 Wrightsboro Rd. (10), Augusta, Georgia 30910

VA Medical Center, 1670 Clairmont Road, Decatur, Georgia 30033

VA Medical Center and Domiciliary, Dublin, Georgia 31021

Marietta National Cemetery, 500 Washington Ave., Marietta, Georgia 30060

Hawaii HI

VA Regional Office and Outpatient Clinic, 300 Ala Moana Blvd., Honolulu, Hawaii 96813

National Memorial Cemetery of the Pacific, 2177 Puowaina Drive, Honolulu, Hawaii 96813

Idaho ID

VA Medical Center, Fifth and Fort Sts., Boise, Idaho 83702

VA Regional Office, Federal Bldg. & U.S. Courthouse, 550 West Fort St., Box 044, Boise, Idaho 83724

Illinois IL

Chicago Regional Office of Audit, Lock Box 66302, AMF O'Hare, Hines, Illinois 60666

Chicago Regional Office of Investigations, Lock Box 66319, AMF O'Hare, Hines, Illinois, 60666

Alton National Cemetery, 600 Pearl St., Alton, Illinois 62003

VA Regional Office, 536 So. Clark St., Chicago, Illinois 60680

VA Public and Consumer Affairs Regional Office, 536 So. Clark St., Chicago, Illinois 60680

VA Medical Center (Lakeside), 333 East Huron St., Chicago, Illinois 60611

VA Medical Center (West Side), 820 South Damen Ave., Chicago, Illinois 60680

VA Medical Center, Danville, Illinois 61832

VA Outpatient Clinic Subsection, 411 West Seventh St., Peoria, Illinois 61605

VA Medical Center, North Chicago, Illinois 60064

VA Medical Center, Hines, Illinois 60141

VA Marketing Center, P.O. Box 76, Hines, Illinois 60141

VA Supply Depot, P.O. Box 27, Hines, Illinois 60141

VA Data Processing Center, Lock Box 66303, AMF O'Hare, Hines, Illinois 60666

VA Medical Center, Marion, Illinois 62959

Mound City National Cemetery, Junction Highway 37 and 51, Mound City, Illinois 62963

Quincy National Cemetery, 36th and Maine St., Quincy, Illinois 62301

Rock Island National Cemetery, Rock Island Arsenal, Rock Island, Illinois 61299

Camp Butler National Cemetery, R.R. #1, Springfield, Illinois 62707

Indiana IN

VA Medical Center, 1600 Randallia Drive, Fort Wayne, Indiana 46805

VA Regional Office, 575 North Pennsylvania St., Indianapolis, Indiana 46204

VA Medical Center, 1481 West 10th St., Indianapolis, Indiana 46202

Crown Hill National Cemetery, 3402 Boulevard Place, Indianapolis, Indiana 46208

VA Medical Center, Marion, Indiana 46952

Marion National Cemetery, VAMC, Marion, Indiana 46952

New Albany National Cemetery, 1943 Ekin Ave., New Albany, Indiana 47150

VA Outpatient Clinic Substation, 214 Southeast 6th St., Evansville, Indiana 47708

Iowa IA

VA Regional Office, 210 Walnut St., Des Moines, Iowa 50309

VA Medical Center, 30th & Euclid Ave., Des Moines, Iowa 50310

VA Medical Center, Iowa City, Iowa 52240

Keokuk National Cemetery, 18th and Ridge St., Keokuk, Iowa 52632

VA Medical Center, Knoxville, Iowa 50138

Kansas KS

Fort Leavenworth National Cemetery, Fort Leavenworth, Kansas 66048

Fort Scott National Cemetery, P.O. Box 917, Fort Scott, Kansas 66701

VA Medical Center and Domiciliary, Leavenworth, Kansas 66048

Leavenworth National Cemetery, Leavenworth, Kansas 66048

VA Medical Center, 2200 Gage Blvd., Topeka, Kansas 66622
VA Medical and Regional Office Center, 901 George Washington Blvd., Wichita, Kansas 67211
Kentucky KY
Danville National Cemetery, 377 North First St., Danville, Kentucky (MAIL: Camp Nelson National Cemetery, KY 40356)
Lebanon National Cemetery, Lebanon, Kentucky 40033
VA Medical Center, Lexington, Kentucky 40507
Lexington National Cemetery, 833 West Main St., Lexington, Kentucky (MAIL: Camp Nelson National Cemetery, KY 40356)
VA Regional Office, 600 Federal Place, Louisville, Kentucky 40202
VA Medical Center, 800 Zorn Avenue, Louisville, Kentucky 40202
Zachary Taylor National Cemetery, 4701 Brownsboro Road, Louisville, Kentucky 40207
Cave Hill National Cemetery, 701 Baxter Ave., Louisville, Kentucky (MAIL: Zachary Taylor National Cemetery, KY 40207)
Mill Springs National Cemetery, R.R. No. 1, Nancy, Kentucky 42544
Camp Nelson National Cemetery, R.R. No. 3, Nicholasville, Kentucky 40356
Louisiana LA
VA Medical Center, Alexandria, Louisiana 71301
Baton Rouge National Cemetery, 220 North 19th St., Baton Rouge, Louisiana 70806
VA Medical Center, 701 Loyola Ave., New Orleans, Louisiana 70113
VA Office, 510 East Stoner Ave., Shreveport, Louisiana 71130
VA Medical Center, 1601 Perdido St., New Orleans, Louisiana 70146
Alexandria National Cemetery, 209 Shamrock Ave., Pineville, Louisiana 71360
VA Medical Center, 510 East Stoner Ave., Shreveport, Louisiana 71130
Port Hudson National Cemetery, Route No. 1, Box 185, Zachary, Louisiana 70791
Maine ME
VA Medical and Regional Office Center, Togus, Maine 04330
Togus National Cemetery, VAMC and RO, Togus, Maine 04330
VA Office, 85 Preble St., Portland, Maine 04101
Maryland MD
Annapolis National Cemetery, 800 West St., Annapolis, Maryland 21401
VA Regional Office, Federal Bldg., 31 Hopkins Plaza, Baltimore, Maryland 21201
VA Medical Center, 3900 Loch Raven Blvd., Baltimore, Maryland 21218
VA Outpatient Clinic, Federal Bldg., 31 Hopkins Plaza, Baltimore, Maryland 21201
Baltimore National Cemetery, 5501 Frederick Ave., Baltimore, Maryland 21228
Loudon Park National Cemetery, 3445 Frederick Ave., Baltimore, Maryland (MAIL: Baltimore National Cemetery, MD 21228)
VA Medical Center, Fort Howard, Maryland 21052
Hyattsville Regional Office of Audit, Presidential Bldg., 6525 Belcrest Rd., Suite 412, Hyattsville, Maryland 20782
Hyattsville Regional Office of Investigations, Presidential Bldg., 6525 Belcrest Rd., Suite 412, Hyattsville, Maryland 20782
VA Medical Center, Perry Point, Maryland 21902
Massachusetts MA
VA Medical Center, 200 Springs Rd., Bedford, Massachusetts 01730
VA Regional Office, John Fitzgerald Kennedy Federal Bldg., Government Center, Boston, Massachusetts 02203
VA Office, 1200 Main St., Springfield, Massachusetts 01103
VA Medical Center, 150 South Huntington Ave., Boston, Massachusetts 02130
VA Outpatient Clinic Substation, 50 Kearney Square, Lowell, Massachusetts 01852
VA Outpatient Clinic, 17 Court St., Boston, Massachusetts 02108
VA Medical Center, Brockton, Massachusetts 02401
VA Outpatient Clinic Substation, 53 North Sixth St., New Bedford, Massachusetts 02740
VA Medical Center, Northampton, Massachusetts 01060
VA Outpatient Clinic Substation, 101 State St., Springfield, Massachusetts 01103
VA Medical Center, 1400 Veterans of Foreign Wars Parkway, West Roxbury, Massachusetts 02132
VA Outpatient Clinic Substation, Federal Bldg., 575 Main St., Worcester, Massachusetts 01608
Massachusetts National Cemetery, Bourne, Massachusetts 02532
Michigan MI
VA Medical Center, Allen Park, Michigan 48101
Fort Custer National Cemetery, 15501 W. Dickman Rd., Augusta, Michigan 49012
VA Medical Center, 2215 Fuller Rd., Ann Arbor, Michigan 48105
VA Medical Center, Battle Creek, Michigan 49016
VA Outpatient Clinic Substation, 260 Jefferson St., SE, Grand Rapids, Michigan 49502
VA Regional Office, 477 Michigan Avenue, Detroit, Michigan 48226
VA Medical Center, Iron Mountain, Michigan 49801
VA Medical Center, 1500 Weiss St., Saginaw, Michigan 48602
Minnesota MN
VA Medical Center, 54th St. & 48th Ave. South, Minneapolis, Minnesota 55417
VA Outpatient Clinic, Fort Snelling, St. Paul, Minnesota 55111
VA Medical Center, St. Cloud, Minnesota 56301
VA Center, Federal Bldg., Fort Snelling, St. Paul, Minnesota 55111
VA Regional Office and Insurance Center, Federal Bldg., Fort Snelling, St. Paul, Minnesota 55111
VA Data Processing Center, Federal Bldg., Fort Snelling, St. Paul, Minnesota 55111
Fort Snelling National Cemetery, 7601 34th Avenue South, Minneapolis, Minnesota 55450
Mississippi MS
VA Medical Center and Domiciliary, Biloxi, Mississippi 39531
Biloxi National Cemetery, VAMC, Biloxi, Mississippi 39531
Corinth National Cemetery, 1551 Horton St., Cornith, Mississippi 38834
VA Medical Center and Domiciliary, 1500 East Woodrow Wilson Ave., Jackson, Mississippi 39216
VA Regional Office, 100 West Capitol St., Jackson, Mississippi 39269
Natchez National Cemetery, 61 Cemetery Road, Natchez, Mississippi 39120
Missouri MO
Harry S. Truman Memorial Veterans Medical Center, 800 Stadium Road, Columbia, Missouri 65201
Jefferson City National Cemetery, 1024 East McCarty St., Jefferson City, Missouri (MAIL: NCAO, Atlanta, GA 30308)
VA Medical Center, 4801 Linwood Blvd., Kansas City, Missouri 64128
VA Medical Center, Poplar Bluff, Missouri 63901
Kansas City Regional Office of Audit, 1221 Baltimore St., Suite 1000, Kansas City, Missouri 64105
Kansas City Regional Office of Investigations, 1221 Baltimore St., Suite 1000, Kansas City, Missouri 64105
VA Records Depository, P.O. Box 141, Neosho, Missouri 64850
VA Regional Office, Federal Bldg., 1520 Market St., St. Louis, Missouri 63103
VA Office, Federal Office Bldg., 601 East 12th St., Kansas City, Missouri 64106
Veterans Canteen Service Finance Center, Federal Bldg., 405 Tucker Blvd., St. Louis, Missouri 63101
VA Medical Center, St. Louis, Missouri 63125
VA Records Processing Center, P.O. Box 5020, St. Louis, Missouri 63115
Jefferson Barracks National Cemetery, 101 Memorial Drive, St. Louis, Missouri 63125
Springfield National Cemetery, 1702 East Seminole St., Springfield, Missouri 65804
Montana MT
VA Medical and Regional Office Center, Fort Harrison, Montana 59636
VA Medical Center, Miles City, Montana 59301
Nebraska NE
VA Medical Center, Grand Island, Nebraska 66801
VA Regional Office, 100 Centennial Mall North, Lincoln, Nebraska 68508
VA Medical Center, 600 South 70th St., Lincoln, Nebraska 68510
VA Medical Center, 4101 Woolworth Avenue, Omaha, Nebraska 68105
Fort McPherson National Cemetery, Maxwell, Nebraska 69151
Nevada NV
VA Regional Office, 245 East Liberty St., Reno, Nevada 89520
VA Medical Center, 1000 Locust St., Reno, Nevada 89520
VA Outpatient Clinic, 1703 West Charleston Blvd., Las Vegas, Nevada 89102
New Hampshire NH
VA Regional Office, 275 Chestnut St., Manchester, New Hampshire 03101

VA Medical Center, 718 Smyth Rd., Manchester, New Hampshire 03104

New Jersey NJ

Beverly National Cemetery, Beverly, New Jersey 08010

VA Medical Center, East Orange, New Jersey 07019

VA Outpatient Clinic, 20 Washington Place, Newark, New Jersey 07120

VA Medical Center, Lyons, New Jersey 07939

VA Regional Office, 20 Washington Place, Newark, New Jersey 07120

Finn's Point National Cemetery, R.F.D. #3, Fort Mott Road, Salem, New Jersey 08079

VA Supply Depot, Somerville, New Jersey 08876

Veterans Canteen Service Field Office, Somerville, New Jersey 08876

New Mexico NM

VA Regional Office, 500 Gold Ave., SW, Albuquerque, New Mexico 87102

VA Medical Center, 2100 Ridgecrest Dr., SE, Albuquerque, New Mexico 87108

Fort Bayard National Cemetery, 403 South Bullard St., Silver City, New Mexico 88061

Santa Fe National Cemetery, Box 88, Santa Fe, New Mexico 87501

New York NY

VA Medical Center, Albany, New York 12208

VA Office, Leo W. O'Brien Federal Building, Clinton Ave. and N. Pearl Street, Albany, New York 12207

VA Medical Center, Batavia, New York 14020

VA Medical Center and Domiciliary, Bath, New York 14810

Bath National Cemetery, VAMC, Bath, New York 14810

VA Medical Center, 130 West Kingsbridge Rd., Bronx, New York 10468

VA Medical Center, 800 Poly Place, Brooklyn, New York 11209

VA Outpatient Clinic Substation, 100 State St., Rochester, New York 14614

Cypress Hills National Cemetery, 625 Jamacia Ave., Brooklyn, New York (MAIL: NCAO, Philadelphia, PA 19106)

VA Regional Office, Federal Bldg., 111 West Huron St., Buffalo, New York 14202

VA Medical Center, 3495 Bailey Ave., Buffalo, New York 14215

Calverton National Cemetery, Princeton Blvd., Calverton, New York 11933

VA Medical Center, Canandaigua, New York 14424

VA Medical Center, Castle Point, New York 12511

Woodlawn National Cemetery, 1825 Davis St., Elmira, New York (MAIL: Bath National Cemetery, NY 14810)

Long Island National Cemetery, Farmingdale, L.I., New York 11735

Franklin Delano Roosevelt Medical Center, Montrose, New York 10548

VA Regional Office, 252 Seventh Ave. at 24th St., New York, New York 10001

VA Prosthetics Evaluation Testing Center, 252 Seventh Ave., New York, New York 10001

VA Public and Consumer Affairs Regional Office, 252 Seventh Ave., New York, New York 10001

VA Medical Center, First Ave. at East 24th St., New York, New York 10001

VA Outpatient Clinic, 252 Seventh Ave., New York, New York 10001

VA Medical Center, Northport, New York 11768

VA Office, Federal Office Building and Courthouse, 100 State Street, Rochester, New York 14614

VA Office, U.S. Courthouse and Federal Bldg., 100 South Clinton St., New York 13260

VA Medical Center Irving Ave. & University Pl., Syracuse, New York 13210

North Carolina NC

VA Medical Center, 508 Fulton St., Durham, North Carolina 27705

VA Medical Center, 2300 Ramsey St., Fayetteville, North Carolina 28301

VA Medical Center, Asheville, North Carolina 28805

New Bern National Cemetery, 1711 National Ave., New Bern, North Carolina 28560

Raleigh National Cemetery, 501 Rock Quarry Road, Raleigh, North Carolina 27610

VA Medical Center, 1601 Brenner Ave., Salisbury, North Carolina 28144

Salisbury National Cemetery, 202 Government Road, Salisbury, North Carolina 28144

Wilmington National Cemetery, 2011 Market St., Wilmington, North Carolina 28403

VA Outpatient Clinic, 251 North Main St., Winston-Salem, North Carolina 27155

VA Regional Office, Federal Office Building, 251 North Main Street, Winston-Salem, North Carolina 27155

North Dakota ND

VA Regional Office, 655 First Ave. North, Fargo, North Dakota 58102

VA Medical Center, Elm and 21st Ave. North, Fargo, North Dakota 58102

Ohio OH

VA Medical Center, Chillicothe, Ohio 45601

VA Medical Center, 3200 Vine St., Cincinnati, Ohio 45220

VA Regional Office, Federal Office Bldg., 1240 East Ninth St., Cleveland, Ohio 44199

VA Office, Room 1024, Federal Office Bldg., 550 Main St., Cincinnati, Ohio 45202

VA Office, 200 North High St., Room 309, Columbus, Ohio 43215

VA Medical Center, 10701 East Boulevard, Cleveland, Ohio 44106

VA Outpatient Clinic, 2090 Kenny Rd., Columbus, Ohio 43221

VA Medical Center and Domiciliary, Dayton, Ohio 45428

Dayton National Cemetery, VAMC, 4100 West Third St., Dayton, Ohio 45428

VA Outpatient Clinic Substation, 3333 Glendale Ave., Toledo, Ohio 43614

Oklahoma OK

Fort Gibson National Cemetery, Fort Gibson, Oklahoma 74434

VA Regional Office, 125 South Main St., Muskogee, Oklahoma 74401

VA Office, Federal Bldg., 200 Northwest Fourth St., Oklahoma City, Oklahoma 73102

VA Outpatient Clinic Substation, 635 West 11th St., Tulsa, Oklahoma 74101

VA Medical Center, Oklahoma 74401

VA Medical Center, 921 Northeast 13th St., Oklahoma City, Oklahoma 73104

Oregon OR

VA Regional Office, 1220 SW Third Ave., Portland, Oregon 97204

VA Medical Center, 3710 SW U.S. Veterans Hospital Rd., Portland, Oregon 97207

Willamette National Cemetery, 11800 Southeast Mt. Scott Blvd., P.O. Box 66147, Portland, Oregon 97266

VA Outpatient Clinic, Portland, Oregon 97207

VA Medical Center, Roseburg, Oregon 97470

Roseburg National Cemetery, VAMC, Roseburg, Oregon 97470

VA Domiciliary, White City, Oregon 97501

White City National Cemetery, 2763 Riley Rd., Eagle Point, Oregon 97524

Pennsylvania PA

VA Medical Center, Altoona, Pennsylvania 16603

VA Medical Center, Butler, Pennsylvania 16001

VA Medical Center, Coatesville, Pennsylvania 19320

VA Medical Center, 135 East 38th St., Erie, Pennsylvania 16501

VA Medical Center, Lebanon, Pennsylvania 17042

VA Outpatient Clinic Substation, Federal Bldg., 228 Walnut St., Harrisburg, Pennsylvania 17108

Indiantown Gap National Cemetery, P.O. Box 187, Annville, Pennsylvania 17003

VA Regional Office and Insurance Center, 5000 Wissahickon Ave., (Mail P.O. Box 80709) Philadelphia, Pennsylvania 19101

VA Office, 19–27 North Main St., Wilkes-Barre, Pennsylvania 18701

VA Data Processing Center, P.O. Box 8079, Philadelphia, Pennsylvania 19101

VA Medical Center, University and Woodland Aves., Philadelphia, Pennsylvania 19104

VA Outpatient Clinic, 1421 Cherry St., Philadelphia, Pennsylvania 19102

Philadelphia National Cemetery, Haines St. and Limekiln Pike, Philadelphia, Pennsylvania 19138

VA Regional Office, 1000 Liberty Ave., Pittsburgh, Pennsylvania 15222

VA Medical Center, Highland Drive, Pittsburgh, Pennsylvania 15206

VA Medical Center, University Drive C, Pittsburgh, Pennsylvania 15240

VA Outpatient Clinic, 100 Liberty Ave., Pittsburgh, Pennsylvania 15222

VA Medical Center, 1111 East End Blvd., Wilkes-Barre, Pennsylvania 18711

VA National Cemetery Area Office, Independence Building South, 434 Walnut St., Rm. 1040, Philadelphia, Pennsylvania 19106

VA Outpatient Clinic, Substation, 2937 Hamilton Blvd., Allentown, Pennsylvania 18104

Philippines

VA Regional Office and Outpatient Clinic, 1131 Roxas Blvd., Manila, Philippines; MAILING ADDRESS from U.S.: VA Regional Office, APO San Francisco 96528

Puerto Rico, Commonwealth of (Including the Virgin Islands) PR

VA Medical and Regional Office Center, Barrio Monacillos, Rio Piedras, Puerto Rico 00921

VA Medical and Regional Office Center, U.S. Courthouse and Federal Bldg., Carlos E. Chardon Ave., Hato Rey, Puerto Rico 00918

Puerto Rico National Cemetery, Box 1298, Bayamon, Puerto Rico 00619

VA Outpatient Clinic, Substation Calle Isabel 60, Ponce, Puerto Rico 00731

VA Outpatient Clinic, Substation, Road Number 2, Mayaguez, Puerto Rico 00708

Rhode Island RI

VA Regional Office, 380 Westminster Mall, Providence, Rhode Island 02903

VA Medical Center, Davis Park, Providence, Rhode Island 02908

South Carolina SC

Beaufort National Cemetery, 1601 Boundary St., Beaufort, South Carolina 29902

VA Medical Center, 109 Bee St., Charleston, South Carolina 29403

VA Regional Office, 1801 Assembly St., Columbia, South Carolina 29201

VA Medical Center, Columbia, South Carolina 29201

Florence National Cemetery, 803 East National Cemetery Road, Florence, South Carolina 29501

VA Outpatient Clinic Substation, Piedmont East Bldg., 37 Villa Rd., Greenville, South Carolina 29607

South Dakota SD

VA Medical Center, Fort Meade, South Dakota 57741

Fort Meade National Cemetery, VAMC, Fort Meade, South Dakota 57741

VA Medical Center and Domiciliary, Hot Springs, South Dakota 57747

Hot Springs National Cemetery, VAMC, Hot Springs, South Dakota 57747

VA Medical and Regional Office Center, 2501 West 22nd St., Sioux Falls, South Dakota 57117

Black Hills National Cemetery, P.O. Box 640, Sturgis, South Dakota 57785

Tennessee TN

Chattanooga National Cemetery, 1200 Bailey Ave., Chattanooga, Tennessee 37404

Knoxville National Cemetery, 939 Tyson St., NW, Knoxville, Tennessee 37917

Nashville National Cemetery, 1420 Gallatin Road, South, Madison, Tennessee 37115

VA Medical Center, 1030 Jefferson Ave., Memphis, Tennessee 38104

Memphis National Cemetery, 3568 Townes Ave., Memphis, Tennessee 38122

VA Medical Center and Domiciliary, Mountain Home, Tennessee 37601

Mountain Home National Cemetery, P.O. Box 8, Mountain Home, Tennessee 37684

VA Medical Center, Murfreesboro, Tennessee 37130

VA Regional Office, 110 9th Ave. South, Nashville, Tennessee 37203

VA Medical Center, 1310 24th Ave. South, Nashville, Tennessee 37203

VA Outpatient Clinic Substation, Building 6200, Eastgate Center, Chattanooga, Tennessee 37411

VA Outpatient Clinic Substation 9047 Executive Park Dr., Suite 100, Knoxville, Tennessee 37919

Texas TX

VA Medical Center, 6010 Amarillo Blvd. West, Amarillo, Texas 79106

VA Data Processing Center, 1615 East Woodward St., Austin, Texas 78772

VA Data Transmission Center, 1615 East Woodward St., Austin, Texas 78772

VA Medical Center, Big Spring, Texas 79720

VA Medical Center and Domiciliary, Bonham, Texas 75418

VA Outpatient Clinic Substation, 1502 South Brownlee Blvd., Corpus Christi, Texas 78404

VA Medical Center, 4500 South Lancaster Rd., Dallas, Texas 75216

VA Public and Consumer Affairs Regional Office, 4500 South Lancaster Rd., Dallas Texas 75216

VA Central Dental Lab, 4502 South Lancaster Rd., Dallas, Texas 75216

VA Office, U.S. Courthouse and Federal Office Building, 1100 Commerce Street, Dallas, Texas 75202

Dallas Regional Office of Audit, 2626 Mockingbird, Rm. 280, Dallas, Texas 75235

Dallas Regional Office of Investigations, 2626 Mockingbird, Rm. 280, Dallas, Texas 75235

VA Outpatient Clinic, 5919 Brook Hollow Drive, El Paso, Texas 79925

Fort Bliss National Cementery, P.O. Box 6342, Fort Bliss, Texas 79906

Houston National Cementery, 10410 Stuebner Air Line Road, Houston, Texas 77038

VA Regional Office, 2515 Murworth Dr., Houston, Texas 77054

VA Office, 307 Dwyer Ave., San Antonio, Texas 78285

VA Medical Center, 2002 Holcombe Blvd., Houston, Texas 77211

VA Outpatient Clinic Substation, 3385 Fannin St., Beaumont, Texas 77701

VA Medical Center, Kerrville, Texas 78028

VA Office, Federal Building, U.S. Courthouse, 1205 Texas Ave., Lubbock, Texas 79401

Kerrville National Cemetery, Veterans Administration Medical Center, Spur Rt. 100, Kerrville, Texas 78028

VA Outpatient Clinic, 1205 Texas Ave., Room 814, Lubbock, Texas 79401

VA Medical Center, Marlin, Texas 76661

VA Outpatient Clinic Substation, 1220 Jackson Ave., McAllen, Texas 78501

Audie L. Murphy Memorial Veterans Medical Center, 7400 Merton Minter Blvd., San Antonio, Texas 78284

San Antonio National Cemetery, 517 Paso Hondo St., San Antonio, Texas (MAIL: Sam Houston National Cemetery, TX 78209)

Fort Sam Houston National Cemetery, 1520 Harry Wurzbach Road, San Antonio, Texas 78209

VA Outpatient Clinic Substation, 307 Dwyer Ave., San Antonio, Texas 78285

VA Medical Center and Domiciliary, Temple, Texas 76501

VA Regional Office, 1400 North Valley Mills Drive, Waco, Texas 76799

VA Office, U.S. Courthouse and Federal Bldg., 1100 Commerce St., Dallas, Texas 75202

VA Medical Center, Memorial Drive, Waco, Texas 76703

VA Outpatient Clinic, 1400 North Valley Mills Drive, Waco, Texas 76799

Utah UT

VA Regional Office, 125 South State St., P.O. Box 11500, Salt Lake City, Utah 84147

VA Medical Center, 500 Foothill Blvd., Salt Lake City, Utah 84148

Vermont VT

VA Medical and Regional Office Center, White River Junction, Vermont 05001

Virginia VA

Forms and Publications Depot, 6307 Gravel Ave., Alexandria, Virginia 22310

Alexandria National Cemetery, 1450 Wilkes Street, Alexandria, Virginia 22314

Culpepper National Cemetery, 305 U.S. Ave., Culpepper, Virginia 22701

Danville National Cemetery, 721 Lee St., Danville, Virginia 24541

VA Medical Center and Domiciliary, Hampton, Virginia 23667

Hampton National Cemetery, Cemetery Road at Marshall Ave., Hampton, Virginia 23669

City Point National Cemetery, 10th Ave. and Davis St., Hopewell, Virginia (MAIL: Richmond National Cemetery, VA 23231)

Balls Bluff National Cemetery, Leesburg, Virginia (MAIL: Winchester National Cemetery, VA 22601)

Cold Harbor National Cemetery, R.F.D. No. 4, Box 155, Mechanicsville, Virginia (MAIL. Richmond National Cemetery, VA 23231)

VA Medical Center, 1201 Broad Rock Road, Richmond, Virginia 23249

Fort Harrison National Cemetery, R.F.D. No. 5, Box 174, Varina Road, Richmond, Virginia (MAIL: Richmond National Cemetery, VA 23231)

Richmond National Cemetery, 1701 Williamsburg Road, Richmond, Virginia 23231

Glendale National Cemetery, R.F.D. No. 5, Box 272, Richmond, Virginia (MAIL: Richmond National Cemetery, VA 23231)

VA Regional Office, 210 Franklin Rd., SW, Roanoke, Virginia 24011

VA Medical Center, Salem, Virginia 24153

Seven Pines National Cemetery, 400 East Williamsburg Road, Sandston, Virginia (MAIL: Richmond National Cemetery, VA 23231)

Staunton National Cemetery, 901 Richmond Ave., Staunton, Virginia 24401

Winchester National Cemetery, 401 National Ave., Winchester, Virginia 22601

Quantico National Cemetery, P.O. Box 10, Triangle, Virginia 22172

Washington WA

VA Medical Center, American Lake, Tacoma, Washington 98493

VA Regional Office, 915 Second Ave., Seattle, Washington 98174

VA Medical Center, 1660 South Columbian Way, Seattle, Washington 98108

Seattle Regional Office of Audit, P.O. Box 409, Seattle, Washington 98174

Seattle Regional Office of Investigations, P.O. Box 409, Seattle, Washington 98174

VA Medical Center, North 4815 Assembly St., Spokane, Washington 99208

VA Medical Center, Vancouver, Washington 98661

VA Medical Center, 77 Wainwright Drive, Walla Walla, Washington 99362

West Virginia WV

VA Medical Center, 200 Veterans Ave., Beckley, West Virginia 25801

VA Medical Center, Clarksburg, West Virginia 26301

Grafton National Cemetery, 431 Walnut St., Grafton, West Virginia 26354

VA Regional Office, 640 4th Ave., Huntington, West Virginia 25704

VA Medical Center, 1540 Spring Valley Dr., Huntington, West Virginia 25701

VA Medical Center and Domiciliary, Martinsburg, West Virginia 25401

VA Data Transmission Center, Grassylick Rd., Romney, West Virginia 26725

Wisconsin WI

VA Medical Center, 2500 Overlook Terrace, Madison, Wisconsin 53705

VA Center (Milwaukee), P.O. Box 6, Wood, Wisconsin 53193

VA Medical Center, Tomah, Wisconsin 54660

VA Medical Center and Domiciliary, 5000 West National Ave., Wood, Wisconsin 53193

Wood National Cemetery, VAMC 5000 West National Ave., Wood, Wisconsin 53193

Wyoming WY

VA Medical and Regional Office Center, 2360 East Pershing Blvd., Cheyenne, Wyoming 82001

VA Medical Center, Sheridan, Wyoming 82801

Appendix 2: List of all Outreach Program Vet Centers

Vet Center, 4201 Tudor Centre Drive, Suite 115, Anchorage, AK 99508

Vet Center Satellite, 712 10th Ave., Fairbanks, AK 99701

Vet Center Satellite, P.O. Box 1883, Kenai, AK 99611

Vet Center Satellite, Box 957, Wasilla, AK 99687

Vet Center, 2145 Highland Ave., Suite 250, Birmingham, AL 35205

Vet Center, 110 Marine Street, Mobile AL 36604

Vet Center, 1311 West 2nd St., Little Rock, AR 72201

Vet Center, 807 North 3rd St., Phoenix, AZ 85004

Vet Center, 727 North Swan, Tucson, AZ 85711

Vet Center, 859 South Harbor Blvd., Anaheim, CA 92805

Vet Center, 1899 Clayton Road, Suite 140, Concord, CA 94520

Vet Center, 1340 Van Ness Ave., Fresno, CA 93721

Vet Center, 251 West 85th Place, Los Angeles, CA 90003

Vet Center, 2000 Westwood Blvd., Los Angeles, CA 90025

Vet Center, 2449 West Beverly Blvd., Montabello, CA 90640

Vet Center, 18924 Roscoe Blvd., Northridge, CA 91335

Vet Center, 616 16th St., Oakland, CA 94612

Vet Center, 4954 Arlington Ave., Riverside, CA 92504

Vet Center, 2900 6th Ave., San Diego, CA 92103

Vet Center, 1708 Waller Street, San Francisco, CA 94117

Vet Center, 2989 Mission Street, San Francisco, CA 94110

Vet Center, 1648 West Santa Clara Street, San Jose, CA 95116

Vet Center, 361 S. Monroe St., Suite 605, San Jose, CA 95128

Vet Center Satellite, 875 West Moreno Ave., Colorado Springs, CO 80905

Vet Center, 1820 Gilpin Street, Denver, CO 80218

Vet Center, 370 Market Street, Hartford, CT 06103

Vet Center, 562 Whalley Ave., New Haven, CT 06510

Vet Center, 709 8th St., SE, Washington DC 20003

Vet Center, Van Buren Medical Center, 1411 N. Van Buren St., Wilmington, DE 19806

Vet Center, 400 E. Prospect Rd., Ft. Lauderdale, FL 33334

Vet Center, 255 Liberty St., Jacksonville, FL 32202

Vet Center, 412 N.E. 39th St., Miami, FL 33137

Vet Center, 5001 South Orange, Orlando, FL 32809

Vet Center, 235 31st St. North, St. Petersburg, FL 33713

Vet Center, 1507 W. Sligh Ave., Tampa, FL 33604

Vet Center, 65 11th St., NE, Atlanta, GA 30309

Vet Center, 1370 Kapiolani Blvd., Suite 201, Honolulu, HI 96814

Vet Center, 3619 6th Avenue, Des Moines, IA 50313

Vet Center, 706 Jackson, Sioux City, IA 51101

Vet Center, 103 West State St., Boise, ID 83702

Vet Center, 547 West Roosevelt Rd., Chicago, IL 60607

Vet Center, 1600 Halsted St., Chicago Heights, IL 60411

Vet Center, 155 South Oak Park Ave., Oak Park, IL 60302

Vet Center, 605 NE Monroe, Peoria, IL 61603

Vet Center, 101 N. Kentucky Ave., Evansville, IN 47711

Vet Center, 528 West Berry St., Fort Wayne, IN 46802

Vet Center, 811 Massachusetts Ave., Indianapolis, IN 46204

Vet Center, 249 West Short St., Lexington, KY 40507

Vet Center, 736 South 1st St., Louisville, KY 40202

Vet Center, 310 South Laura, Wichita, KS 67211

Vet Center, 1529 N. Claibourne Ave., New Orleans, LA 70116

Vet Center, 480 Tremont Street, Boston, MA 02116

Vet Center, 71 Washington St., Brighton, MA 02135

Vet Center, 15 Bolton Place, Brockton, MA 02401

Vet Center, 1985 Main St., Northgate Plaza, Springfield, MA 01103

Vet Center, 1420 W. Patapsco Ave, Patapsco Plaza, Baltimore, MD 21230

Vet Center, Mondawmin Shopping Center, 1153 Mondawmin Concourse, Baltimore, MD 21215

Vet Center, 7 Elkton Commercial Plaza, Elkton, MD 21921

Vet Center, 8121 Georgia Ave., Suite 500, Silver Spring, MD 20910

Vet Center, 96 Harlow Street, Bangor, ME 04401

Vet Center, 175 Lancaster St., Room 213, Portland, ME 04101

Vet Center, 18411 West Seven Mile Rd., Detroit, MI 48219

Vet Center, 1940 Eastern Ave., SE, Grand Rapids, MI 49507

Vet Center, 14405 North Line, Southgate, MI 48195

Vet Center, 3600 Broadway, Suite 19, Kansas City, MO 64111

Vet Center, 2345 Pine Street, St. Louis, MO 63103

Vet Center, 405 E. Superior St., Duluth, MN 55802

Vet Center, 2480 University Ave., St. Paul, MN 55114

Vet Center, 158 E. Pascagoula St., Jackson, MS 39201

Vet Center, 2708 Montana Avenue, Billings, MT 59101

Vet Center, 910 North Alexander St., Suite 210, Charlotte, NC 28206

Vet Center, 4 Market Square, Fayetteville, NC 28301

Vet Center, 1322 Gateway Drive, Fargo, ND 58103

Vet Center, 108 Burdick Expressway, Minot, ND 58701

Vet Center, 920 L Street, Lincoln, NE 65808

Vet Center, 5123 Leavenworth St., Omaha, NE 68106

Vet Center, 14 Pearl Street, Manchester, NH 03104

Vet Center, 626 Newark Ave., Jersey City, NJ 07036

Vet Center, 1030 Broad Street, Newark, NJ 07102

Vet Center, 318 East State St., Trenton, NJ 08608

Vet Center, 4603 4th Street, NW, Albuquerque, NM 87107

Vet Center Satellite, 211 West Mesa, Gallup, NM 87301

Vet Center, 214 South 8th St., Las Vegas, NV 89101

Vet Center, 341 S. Arlington St., Reno, NV 89501

Vet Center, 875 Central Ave., West Mall Office Plaza, Albany, NY 12208

Vet Center, 116 West Main St., Babylon, NY 11702

Vet Center, 226 East Fordham Rd., Rooms 216/217, Bronx, NY 10458

Vet Center, 165 Cadman Plaza East, Brooklyn, NY 11201

Vet Center, 351 Linwood Avenue, Buffalo, NY 14209

Vet Center, 148–43 Hillside Ave., Jamaica Hills, NY 11435

Vet Center, 166 West 75th St., Manhattan, NY 10023

Vet Center Satellite, 200 Hamilton, Ave., White Plains Mall, White Plains, NY 10601

Vet Center, 31 East 12th St., 4th Floor, Cincinnati, OH 45202

Vet Center, 10605 Carnegie Ave., Cleveland, OH 44106

Vet Center, 11511 Lorain Ave., Cleveland, OH 44111

Vet Center, 1751 Cleveland Ave., Columbus, OH 43211
Vet Center, 438 Wayne Avenue, Dayton, OH 45410
Vet Center, 4111 North Lincoln, Suite No. 10, Oklahoma City, OK 73105
Vet Center, 1605 South Boulder, Tulsa, OK 74119
Vet Center, 1966 Garden Avenue, Eugene, OR 97403
Vet Center, 2450 SE Belmont, Portland, OR 97214
Vet Center, 127 State Street, Harrisburg, PA 17101
Vet Center Satellite, 4328 Old William Penn Highway, Monroeville, PA 15146
Vet Center, 1107 Arch Street, Philadelphia, PA 19107
Vet Center, 5601 North Broad Street, Room 202, Philadelphia, PA 19141
Vet Center, 954 Penn Avenue, Pittsburgh, PA 15222
Vet Center, Suite LC-8A/9 Medical Center Plaza, La Riviera, Rio Piedras, PR 00921
Vet Center, 172 Pine Street, Pawtucket, RI 02860
Vet Center, 904 Pendelton St., Greenville, SC 29601
Vet Center, 3366 Rivers Avenue, No., Charleston, SC 29405
Vet Center, 610 Kansas City Street, Rapid City, SD 57701
Vet Center, 100 West 6th St., Suite 101, Sioux Falls, SD 57102
Vet Center, 1515 E. Magnolia Ave., Suite 201, Knoxville, TN 37917
Vet Center, 1 North 3rd Street, Memphis, TN 38103
Vet Center, 5415 Maple Plaza, Suite 114, Dallas, TX 75235
Vet Center, 2121 Wyoming St., El Paso, TX 79903
Vet Center, Seminary South Office Building, Suite 10, Forth Worth, TX 76115
Vet Center, 4905A San Jacinto, Houston, TX 77004
Vet Center, 717 Corpus Christi, Laredo, TX 78040
Vet Center, 107 Lexington Ave., San Antonio, TX 78205
Vet Center, 1916 Fredericksburg Road, San Antonio, TX 78201
Vet Center, 216 East 5th St. South, Salt Lake City, UT 84102
Vet Center, 7450 ½ Tidewater Drive, Norfolk, VA 23505
Vet Center, Gresham Court Box 83, 1030 West Franklin St., Richmond, VA 23220
Vet Center Satellite, St. Croix, VI 00802
Vet Center, Havensight Mall (116V), St. Thomas, VI 00802
Vet Center, Building No. 2, Gilman Office Complex, White River Junction, VT 05001
Vet Center Satellite, RFD No. 2, Tafts Corners, Williston, VT 05495
Vet Center, 1322 East Pike St., Seattle, WA 98122
Vet Center, North 1611 Division, Spokane, WA 99207
Vet Center, 4801 Pacific Avenue, Tacoma, WA 98408
Vet Center, 147 S. Butler St., Madison, WI 53703
Vet Center, 3400 Wisconsin, Milwaukee, WI 53208
Vet Center, 1014 6th Avenue, Huntington, WV 25701
Vet Center, 1191 Pineview Drive, Morgantown, WV 26505
Vet Center Satellite, 641 East Second St., Casper, WY 82601
Vet Center, 1810 Pioneer St., Cheyenne, WY 82001

Appendix 3: Automated Medication Processing Facilities

(Alphabetical by State and Facility With Outpatient Clinic Substations Listed Below Their Associated Medical Center)

VA Medical Center, 700 South 19th Street, Birmingham, Alabama 35233
VA Medical Center, 215 Perry Hill Road, Montgomery, Alabama 36109
VA Outpatient Clinic Substation, 2451 Fillingim Street, Mobile, Alabama 36617 (MAIL: VAMC Biloxi, MS 39531)
VA Medical Center, Tuscaloosa, Alabama 35404
VA Medical Center, Tuskegee, Alabama 36083
VA Medical Center, 2615 East Clinton Avenue, Fresno, California 93703
VA Medical Center, Livermore, California 94550
VA Medical Center, 11201 Benton Street, Jerry L. Pettis Mem. Vets. Hosp., Loma Linda, California 92357
VA Medical Center, 5901 East Seventh Street, Long Beach, California 90822
VA Medical Center, 11301 Wilshire Blvd., West Los Angeles (Brentwood), California 90073
VA Medical Center, West Los Angeles (Wadsworth), California 90073
Veterans Administration Outpatient Clinic, P.O. Box 6863, 315 Camiro Del Remedio, 691 A-OC, Santa Barbara, California 93105
VA Regional Pharmacy, Mail-Out Service Bldg. 222, W. Los Angeles, California 90073
VA Outpatient Clinic, 425 South Hill Street, Los Angeles, California 90013
VA Medical Center, 150 Muir Road, Martinez, California 94553
VA Outpatient Clinic Substation, 1515 Clay Street, Oakland, California 94612
VA Outpatient Clinic Substation, 4600 Broadway, Sacramento, California 95820
VA Medical Center, 3801 Miranda Avenue, Palo Alto, California 94304
VA Medical Center, 3350 La Jolla Village Drive, San Diego, California 92161
VA Outpatient Clinic Medical Center, 2022 Camino Del Rio North, San Diego, California 92108
VA Medical Center, 4150 Clement Street, San Francisco, California 94121
VA Medical Center, Sepulveda, California 91343
VA Medical Center, 1055 Clemont Street, Denver, Colorado 80220
VA Medical Center, Fort Lyon, Colorado 81038
VA Medical Center, Grand Junction, Colorado 81501
VA Medical Center, 55 Willard Avenue, Newington, Connecticut 06111
VA Medical Center, West Spring Street, West Haven, Connecticut 06516
VA Medical Center, 50 Irving Street, NW, Washington, D.C. 20422
VA Medical Center, Bay Pines, Florida 33504
VA Outpatient Clinic Medical Center, P.O. Box 13594, St. Petersburg, Florida 33733
VA Medical Center, Archer Road, Gainesville, Florida 32602
VA Outpatient Clinic Substation, 1833 Blvd., Jacksonville, Florida 32206
VA Medical Center, Lake City, Florida 32055
VA Medical Center, 1201 Northwest 16th Street, Miami, Florida 33125
VA Outpatient Clinic Substation, Port of Palm Beach, Executive Plaza, 301 Broadway, Riveria Beach, Florida 33404
VA Medical Center, 13000 North 30th Street, James A. Haley Veterans Medical Center, Tampa, Florida 33612
VA Outpatient Clinic Substation, 2070 Carrell Road, Fort Myers, Florida 33901
VA Outpatient Clinic Substation, 83 West Columbia Street, Orlando, Florida 32806
VA Medical Center, 2460 Wrightsboro Rd., Augusta, Georgia 30910
VA Medical Center, Atlanta, 1670 Clairmont Road, Decatur, Georgia 30033
VA Medical Center, Dublin, Georgia 31021
VA Medical Center, Fifth and Fort Streets, Boise, Idaho 83702
VA Medical Center, 333 East Huron Street, Chicago (Lakeside), Illinois 60611
VA Medical Center, 820 South Damen Avenue, Chicago (West Side), Illinois 60680
VA Medical Center, North Chicago, Illinois 60064
VA Medical Center, Edward Hines Jr. Medical Center, Hines, Illinois, 60141
VA Medical Center, 30th & Euclid Avenue, Des Moines, Iowa 50310
VA Medical Center, Iowa City, Iowa 52240
VA Medical Center, Knoxville, Iowa 50138
VA Medical Center, Lexington, Kentucky 40507
VA Medical Center, 800 Zorn Avenue, Louisville, Kentucky 40202
VA Medical and Regional Office Center, Togus, Maine 04330
VA Medical Center, 3900 Loch Raven Blvd., Baltimore, Maryland 21218
VA Outpatient Clinic, Federal Bldg., 31 Hopkins Plaza, Baltimore, Maryland 21201
VA Medical Center, Fort Howard, Maryland 21052
VA Medical Center, Perry Point, Maryland 21902
VA Medical Center, 200 Springs Road, Edith Nourse Rogers Veterans Medical Center, Bedford, Massachusetts 01730
VA Medical Center, 150 South Huntington Avenue, Boston, Massachusetts 02130
VA Outpatient Clinic Substation, 50 Kearney Square, Lowell, Massachusetts 01852
VA Outpatient Clinic, 17 Court Street, Boston, Massachusetts 02108
VA Medical Center, Brockton, Massachusetts 02401
VA Medical Center, Northampton, Massachusetts 01060
VA Outpatient Clinic Substation, 101 State Street, Springfield, Massachusetts 01103
VA Medical Center, 1400 Veterans of Foreign Wars Parkway, West Roxbury, Massachusetts 02132
VA Outpatient Clinic Substation, Federal Building, 575 Main Street, Worcester, Massachusetts 01608
VA Medical Center, Allen Park, Michigan 48101

VA Medical Center, 2215 Fuller Road, Ann Arbor, Michigan 48105

VA Outpatient Clinic Substation, 3333 Glendale Avenue, Toledo, Ohio 43614

VA Medical Center, Battle Creek, Michigan 49016

VA Outpatient Clinic Substation, 260 Jefferson St. SE, Grand Rapids, Michigan 49502

VA Medical Center, Iron Mountain, Michigan 49801

VA Medical Center, 1500 Weiss Street, Saginaw, Michigan 38602

VA Medical Center, 54th Street & 48th Avenue South, Minneapolis, Minnesota 55417

VA Outpatient Clinic, Fort Snelling, St. Paul, Minnesota 55111

VA Medical Center, St. Cloud, Minnesota 56301

VA Medical Center, Biloxi Division, Biloxi, Mississippi 39531

VA Medical Center, Gulfport Division, Biloxi, Mississippi 39531

VA Medical Center and Domiciliary, 1500 East Woodrow Wilson Drive, Jackson, Mississippi 39216

VA Medical and Regional Office Center, Fort Harrison, Montana 59636

VA Medical Center, Miles City, Montana 59301

VA Medical Center, Grand Island, Nebraska 68801

VA Medical Center, 600 South 70th Street, Lincoln, Nebraska 68510

VA Medical Center, 4101 Woolworth Avenue, Omaha, Nebraska 68105

VA Medical Center, 1000 Locust Street, Reno, Nevada 89520

VA Outpatient Clinic, 1703 West Charleston Blvd., Las Vegas, Nevada 89102

VA Medical Center, 718 Symth Road, Manchester, New Hampshire 03104

VA Medical Center, 130 West Kingsbridge Road, Bronx, New York 10468

VA Medical Center, 800 Poly Place, Brooklyn, New York 11209

VA Medical Center, Castle Point, New York 12511

VA Medical Center, Franklin Delano Roosevelt Medical Center, Montrose, New York 10548

VA Medical Center, First Avenue At East 24th Street, New York, New York 10010

VA Outpatient Clinic, 252 Seventh Avenue, New York, New York 10001

VA Medical Center, Northport, New York 11768

VA Medical and Regional Office Center, 655 First Avenue, North Fargo, North Dakota 58102

VA Regional Office, Federal Bldg., 125 South Main Street, Muskogee, Oklahoma 74401

VA Outpatient Clinic Substation, 635 West 11th Street, Tulsa, Oklahoma 74101

VA Medical Center, 921 Northeast 13th Street, Oklahoma City, Oklahoma 73104

VA Medical Center, 3710 SW U.S. Veterans Medical Center Road, Portland, Oregon 97207

VA Outpatient Clinic, 426 SW Stark Street, Portland, Oregon 97204

VA Medical Center, Roseburg, Oregon 97470

VA Domiciliary, White City, Oregon 97501

VA Medical Center, Barrio Monacillos, Rio Piedras, Puerto Rico 00921

VA Center, U.S. Courthouse and Federal Bldg., Carlos E. Chardon Avenue, Hato Rey, Puerto Rico 00918

VA Outpatient Clinic, Substation, Calle Isable No. 60, Ponce, Puerto Rico 00731

VA Medical and Regional Office Center Box 4867, San Juan, Puerto Rico 00936

VA Outpatient Clinic Substation, Road Number 2, Mayaguez, Puerto Rico 00708

VA Medical Center, Davis Park, Providence, Rhode Island 02908

VA Outpatient Clinic Substation, 53 North Sixth Street, New Bedford, Massachusetts 02740

VA Medical Center, 109 Bee Street, Charleston, South Carolina 29403

VA Medical Center, 1801 Assembly St., Columbia, South Carolina 29201

VA Outpatient Clinic Substation, Piedmont East Bldg., 37 Villa Road, Greenville, South Carolina 29607

VA Medical Center, Fort Meade, South Dakota 57741

VA Medical Center, Hot Springs, South Dakota 57747

VA Medical Center, 2501 West 22nd Street, Sioux Falls, South Dakota 57101

VA Medical Center, 1030 Jefferson Avenue, Memphis, Tennessee 38104

VA Medical Center, Murfreesboro, Tennessee 37130

VA Medical Center, 1310 24th Avenue, South, Nashville, Tennessee 37203

VA Outpatient Clinic Substation, Bldg. 6200, Eastgate Center, Chattanooga, Tennessee 37411

VA Outpatient Clinic Substation, 9047 Executive Park Drive, Suite 100, Knoxville, Tennessee 37919

VA Medical Center, Sam Rayburn Memorial Veterans Center, Bonham, Texas 75418

VA Medical Center, 4500 South Lancaster Road, Dallas, Texas 75216

VA Medical Center, 2002 Holcombe Blvd., Houston, Texas 77211

VA Outpatient Clinic Substation, 3385 Fannin Street, Beaumont, Texas 77701

VA Medical Center, Kerrville, Texas 78028

VA Medical Center, Marlin, Texas 76661

VA Medical Center, 7400 Merton Minter Blvd., Audie L. Murphy Memorial Veterans Medical Center, San Antonio, Texas 78284

VA Outpatient Clinic Substation, 307 Dwyer Avenue, San Antonio, Texas 78285

VA Outpatient Clinic Substation, 1502 South Brownlee Blvd., Corpus Christi, Texas 78404

VA Outpatient Clinic Substation, 1220 Jackson Avenue, McAllen, Texas 78501

VA Medical Center, Olin E. Teague Veterans' Center, Temple, Texas 76501

VA Medical Center, Memorial Drive, Waco, Texas 76703

VA Outpatient Clinic, 1400 North Valley Mills Drive, Waco, Texas 76799

VA Medical Center, 500 Foothill Boulevard, Salt Lake City, Utah 84148

VA Medical and Regional Office Center, White River Junction, Vermont 05001

VA Medical Center, Hampton, Virginia 23667

VA Medical Center, 1201 Broad Rock Road, Richmond, Virginia 23249

VA Medical Center, Salem, Virginia 24153

VA Medical Center, American Lake, Tacoma, Washington 98493

VA Medical Center, 4435 Beacon Avenue, South, Seattle, Washington 98108

VA Medical Center, North 4815 Assembly Street, Spokane, Washington, 99208

VA Medical Center, Vancouver, Washington 98661

VA Medical Center, 77 Wainwright Drive, Walla Walla, Washington 99362

VA Medical Center, 200 Veterans Avenue, Beckley, West Virginia 25801

VA Medical Center, 1540 Spring Valley Drive, Huntington, West Virginia 25704

VA Medical Center, Martinsburg, West Virginia 25401

VA Medical Center, 2500 Overlook Terrace, William S. Middleton Memorial Veterans Medical Center, Madison, Wisconsin 53705

VA Medical Center, 5000 West National Avenue, Wood, Wisconsin 53193

VA Medical Center, Tomah, Wisconsin 54660

VA Medical and Regional Office Center, 2360 East Pershing Blvd., Cheyenne, Wyoming 82001

Title 38-Pensions, Bonuses, and Veterans' Relief

Chapter I-Veterans Affairs Department

PART 1-GENERAL PROVISIONS

Safeguarding Personal Information in Department of Veterans Affairs Records

Sec.

1.575 Social security numbers in veterans' benefits matters.
1.576 General policies, conditions of disclosure, accounting of certain disclosures, and definitions
1.577 Access to records.
1.578 Veterans Affairs Department system of records requirements.
1.579 Amendment of records.
1.580 Administrative review.
1.581 Judicial review.
1.582 Exemptions.
1.583 Mailing lists.
1.584 Reports.

Note: Sections 1.575 through 1.584 concern the safeguarding of individual privacy from the misuse of information from files, records, reports, and other papers and documents in Department of Veterans Affairs custody. As to the release of information from Department of Veterans Affairs claimant records see § 1.500 series. As to the release of information from Department of Veterans Affairs records other than claimant records see § 1.550 series. Section 1.575 series implement the provisions of Pub. L. 93-579, December 31, 1974, adding a section 552a to title 5, United States Code providing that individuals be granted access to records concerning them which are maintained by Federal agencies, and for other purposes.

Source: Sections 1.575 through 1.584 issued at 40 FR 33944, Aug. 12, 1975, unless otherwise noted.

§ 1.575 Social security numbers in veterans' benefits matters.

(a) Except as provided in paragraph (b) of this section, no one will be denied any right, benefit, or privilege provided by law because of refusal to disclose to the Department of Veterans Affairs a social security number.

(b) The VA may require mandatory disclosure of a claimant's or beneficiary's social security number (including the social security number of a dependent of a claimant or beneficiary) on necessary forms as prescribed by the Administrator, as a condition precedent to receipt or continuation of receipt of compensation (where affected by outside income) or pension payable under the provisions of chapters 11, 13, and 15 of Title 38, United States Code. The VA may also require mandatory disclosure of an applicant's social security number as a condition for receiving loan guaranty benefits and a social security number or other taxpayer identification number from existing direct and vendee loan borrowers and as a condition precedent to receipt of a VA-guaranteed loan, direct loan or vendee loan, under chapter 37 of title 38, United States Code. (Pub. L. 97-365, sec.4).

(c) A person requested by the VA to disclose a social security number shall be told, as prescribed by § 1.578(c), whether disclosure is voluntary or mandatory. The person shall also be told that the VA is requesting the social security number under the authority of Title 38, United States Code, or in the case of existing direct or vendee loan borrowers, under the authority of 26 U.S.C. 6109(a) in conjunction with sections 145 and 148 of Pub. L. 97-369, or in the case of loan applicants, under the authority of section 4 of Pub. L. 97-365. The person shall also be told that it will be used in the administration of veterans' benefits in the identification of veterans or persons claiming or receiving VA benefits and their records, that it may be used in making reports to the Internal Revenue Service where required by law, and to determine whether a loan guaranty applicant has been identified as a delinquent taxpayer by the Internal Revenue Service, and that such taxpayers may have their loan applications rejected, and that it may be used to verify Social Security Administration and, for other purposes where authorized by both Title 38, United States Code and the Privacy Act of 1974, (Pub. L. 93-579), or, where required by another statute, (Pub. L. 97-365, sec. 4).

[44 FR 22068, Apr. 13, 1979; as amended at 51 FR 21750, Jun. 16, 1986]

§ 1.576 General policies, conditions of disclosure, accounting of certain disclosures, and definitions.

(a) The Department of Veterans Affairs will safeguard an individual against an invasion of personal privacy. Except as otherwise provided by law or regulation its officials and employees will:

(1) Permit an individual to determine what records pertaining to him or her will be collected, maintained, used, or disseminated by the Department of Veterans Affairs.

(2) Permit an individual to prevent records pertaining to him or her, obtained by the Department of Veterans Affairs or a particular purpose, from being used or made available for another purpose without his or her consent.

(3) Permit an individual to gain access to information pertaining to him or her in Department of Veterans Affairs records, to have a copy made of all or any portion thereof, and to correct or amend such records.

(4) Collect, maintain, use, or disseminate any record of identifiable personal information in a manner that assures that such action is for a necessary and lawful purpose, that the information is correct and accurate for its intended use, and that adequate safeguards are provided to prevent misuse of such information.

(5) Permit exemptions from records requirements provided in 5 U.S.C. 552a only where an important public policy need for such exemption has been determined pursuant to specific statutory authority.

(b) The Department of Veterans Affairs will not disclose any record contained in a system of records by any means of communication to any person or any other agency except by written request of or prior written consent of the individual to whom the record pertains unless such disclosure is:

(1) To those officers and employees of the agency which maintains the record and who have a need for the record in the performance of their duties;

(2) Required under 5 U.S.C. 552;

(3) For a routine use of the record compatible with the purpose for which it was collected;

(4) To the Bureau of the Census for purposes of planning or carrying out a census or survey or related activity pursuant to title 13, United States Code;

(5) To a recipient who has provided the Department of Veterans Affairs with advance adequate written assurance that the record will be used solely as a statistical research or reporting record, and the record is to be transferred in a form that is not individually identifiable;

(6) To the National Archives of the United States as a record which has sufficient historical or other value to warrant its continued preservation by the U.S. Government, or for evaluation by the Administrator of General Services or designee to determine whether the record has such value;

(7) To another agency or to an instrumentality of any governmental jurisdiction within or under the control of the United States for a civil or criminal law enforcement activity if the activity is authorized by law, and if the head of the agency or instrumentality has made a written request to the Department of Veterans Affairs specifying the particular portion desired and the law enforcement activity for which the record is sought;

(8) To a person pursuant to a showing of compelling circumstances affecting the health or safety of an individual if upon such disclosure notification is transmitted to the last known address of such individual;

(9) To either House of Congress, or, to the extent of matter within its jurisdiction, any committee or subcommittee thereof, any joint committee of Congress or subcommittee of any such joint committee;

(10) To the Comptroller General, or any authorized representatives, in the course of the performance of the duties of the General Accounting Office; or

(11) Pursuant to the order of a court of competent jurisdiction.

(c) With respect to each system of records (i.e., a group of records from which information is retrieved by the name of the individual or by some identifying number, symbol, or other identifying particular assigned to the individual) under Department of Veterans Affairs control, the Department of Veterans Affairs will (except for disclosures made under paragraph (b)(1) or (2) of this section) keep an accurate accounting as follows:

(1) For each disclosure of a record to any person or to another agency made under paragraph (b) of this section, maintain information consisting of the date, nature, and purpose of each disclosure, and the name and address of the person or agency to whom the disclosure is made;

(2) Retain the accounting made under paragraph (c)(1) of this section for at least 5 years or the life of the record, whichever is longer, after the disclosure for which the accounting is made;

(3) Except for disclosures made under paragraph (b)(7) of this section, make the accounting under paragraph (c)(1) of this section available to the individual named in the record at his or her request; and

(4) Inform any person or other agency about any correction or notation of dispute made by the agency in accordance with § 1.579 of any record that has been disclosed to the person or agency if an accounting of the disclosure was made.

(d) For the purposes of §§ 1.575 through 1.584, the parent of any minor, or the legal guardian of any individual who has been declared incompetent due to physical or mental incapacity or age by a court of competent jurisdiction, may act on behalf of the individual.

(e) Section 552a(i), title 5, United States Code, provides that:

(1) Any officer or employee of the Veterans Administration, who by virtue of his or her employment or official position, has possession of, or access to, Department of Veterans Affairs records which contain individually identifiable information the disclosure of which is prohibited by 5 U.S.C. 552a or by § 1.575 series established thereunder, and who knowing that disclosure of the specific material is so prohibited, willfully discloses the material in any manner to any person or agency not entitled to receive it, shall be guilty of a misdemeanor and fined not more than $5,000.

(2) Any officer or employee of the Department of Veterans Affairs who willfully maintains a system of records without meeting the notice requirements of 5 U.S.C. 552a(e)(4) (see § 1.578(d)) shall be guilty of a misdemeanor and fined not more than $5,000.

(3) Any person who knowingly and willfully requests or obtains any record concerning an individual from the Veterans Administration under false pretenses shall be guilty of a misdemeanor and fined not more than $5,000.

(f) For purposes of § 1.575 series the following definitions apply:

(1) The term "agency" includes any executive department, military department, Government corporation, Government controlled corporation, or other establishment in the executive branch of the government (including the Executive Office of the President), or any independent regulatory agency.

(2) The term "individual" means a citizen of the United States or an alien lawfully admitted for permanent residence.

(3) The term "maintain" includes maintain, collect, use, or disseminate.

(4) The term "record" means any item, collection, or grouping of information about an individual that is maintained by an agency, including, but not limited to, his or her education, financial transactions, medical history, and criminal or employment history and that contains his or her name, or the identifying number, symbol, or other identifying particular assigned to the individual, such as a finger or voice print or a photograph.

(5) The term "system of records" means a group of any records under the control of any agency from which information is retrieved by the name of the individual or by some identifying number, symbol, or other identifying particular assigned to the individual.

(6) The term "statistical record" means a record in a system of records maintained for statistical research or reporting purposes only and not used in whole or in part in making any determination about an identifiable individual except as provided by section 8 of title 13, United States Code.

(7) The term "routine use" means, with respect to the disclosure of a record, the use of such record for a purpose which is compatible with the purpose for which it was collected.

(g) When the Department of Veterans Affairs provides by a contract for the operation by or on behalf of the Veterans Affairs of a system of records to accomplish a Department of Veterans Affairs function, the Department of Veterans Affairs will, consistent with its authority, cause the requirements of 5 U.S.C. 552a (as required by subsection (m)) and those of the § 1.575 series to be applied to such system. For the purposes of 5 U.S.C. 552a(i) and § 1.576(e) any such contractor and any employee of such contractor, if such contract is agreed to on or after September 27, 1975, will be considered to be an employee of the Department of Veterans Affairs

(h) The Department of Veterans Affairs will, for the purposes of 5 U.S.C. 552a, consider that it maintains any agency record which it deposits with the Administrator of General Services for storage, processing, and servicing in accordance with section 3103 of title 44, United States Code. Any such record will be considered subject to the provisions of § 1.575 series implementing 5 U.S.C. 552a and any other applicable Department of Veterans Affairs regulations. The Administrator of General Services is not authorized to disclose such a record except to the Department of Veterans Affairs or under regulations established by the Department of Veterans Affairs which are not inconsistent with 5 U.S.C. 552a.

(i) The Department of Veterans Affairs will, for the purposes of 5 U.S.C. 552a, consider that a record is maintained by the National Archives of the United States if it pertains to an identifiable individual and was transferred to the National Archives prior to September 27, 1975, as a record which has sufficient historical or other value to warrant its continued preservation by the United States Government. Such records are not subject to the provisions of 5 U.S.C. 552a except that a statement generally describing such records (modeled after the requirements relating to records subject to subsections (e)(4)(A) through (G) of 5 U.S.C. 552a) will be published in the **Federal Register**.

(j) The Veterans Administration will also, for the purposes of 5 U.S.C. 552a, consider that a record is maintained by the National Archives of the United States if it pertains to an identifiable individual and is transferred to the National Archives on or after September 27, 1975, as a record which has sufficient historical or other value to warrant its continued preservation by the United States Government. Such records are exempt from the requirements of 5

U.S.C. 552a except subsections (e)(4) (A) through (G) and (e)(9) thereof.

(Authority: 38 U.S.C. 210(c))
[40 FR 33944, Aug. 12, 1975, as amended at 40 FR 58644, Dec. 18, 1975; 47 FR 16323, Apr. 16, 1982]

§ 1.577 Access to records.

(a) Except as otherwise provided by law or regulation any individual upon request may gain access to his or her record or to any information pertaining to him or her which is contained in any system of records maintained by the Department of Veterans Affairs. The individual will be permitted, and upon his or her request, a person of his or her own choosing permitted to accompany him or her, to review the record and have a copy made of all or any portion thereof in a form comprehensible to him or her. The Department of Veterans Affairs will require, however, a written statement from the individual authorizing discussion of that individual's record in the accompanying person's presence.

(b) Any individual will be notified, upon request, if any Department of Veterans Affairs system of records named contains a record pertaining to him or her. Such request must be in writing, over the signature of the requester. The request must contain a reasonable description of the Department of Veterans Affairs system or systems of records involved, as described at least annually by notice published in the **Federal Register** describing the existence and character of the Department of Veterans Affairs system or systems of records pursuant to § 1.578(d). The request should be made to the office concerned (having jurisdiction over the system or systems of records involved) or, if not known, to the Director or Veterans Services Officer in the nearest Department of Veterans Affairs regional office, or to the Department of Veterans Affairs Central Office, 810 Vermont Avenue, NW., Washington, D.C. 20420. Personal contact should normally be made during the regular duty hours of the office concerned, which are 8:00 a.m. to 4:30 p.m., Monday through Friday for Department of Veterans Affairs Central Office and most field stations. Identification of the individual requesting the information will be required and will consist of the requester's name, signature, address, and claim, insurance or other identifying file number, if any, as a minimum. Additional identifying data or documents may be required in specified categories as determined by operating requirements and established and publicized by the promulgation of Department of Veterans Affairs regulations. (5 U.S.C. 552a(f)(1)).

(c) The department or staff office having jurisdiction over the records involved will establish appropriate disclosure procedures and will notify the individual requesting disclosure of his or her record or information pertaining to him or her of the time, place and conditions under which the Department of Veterans Affairs will comply to the extent permitted by law and Department of Veterans Affairs regulation. (5 U.S.C. 552a(f)(2)).

(d) Access to sensitive material in records, including medical and psychological records, is subject to the following special procedures. When an individual requests access to his or her records, the Department of Veterans Affairs official responsible for administering those records will review them and identify the presence of any sensitive records. Sensitive records are those that contain information which may have a serious adverse effect on the individual's mental or physical health if they are disclosed to him or her. If, on review of the records, the Department of Veterans Affairs official concludes that there are sensitive records involved, the official will refer the records to a Department of Veterans Affairs physician, other than a rating board physician, for further review. If the physician who reviews the records believes that disclosure of the information directly to the individual could have an adverse effect on the physical or mental health of the individual, the responsible Department of Veterans Affairs official will then advise the requesting individual: (1) That the Department of Veterans Affairs will disclose the sensitive records to a physician or other professional person selected by the requesting individual for such redisclosure as the professional person may believe is indicated, and (2) in indicated cases, that the Department of Veterans Affairs will arrange for the individual to report to a Department of Veterans Affairs facility for a discussion of his or her records with a designated Department of Veterans Affairs physician and for an explanation of what is included in the records. Following such discussion, the records should be disclosed to the individual; however, in those extraordinary cases where a careful and conscientious explanation of the information considered harmful in the record has been made by a Department of Veterans Affairs physician and where it is still the physician's professional medical opinion that physical access to the information could be physically or mentally harmful to the patient, physical access may be denied. Such a denial situation should be an unusual, very infrequent occurrence. When denial of a request for direct physical access is made, the responsible Department of Veterans Affairs official will: (1) Promptly advise the individual making the request of the denial; (2) state the reasons for the denial of the request (e.g., 5 U.S.C. 552a(f)(3), 38 U.S.C. 3301(b)(1)); and (3) advise the requester that the denial may be appealed to the Administrator of Veterans Affairs and of the procedure for such an appeal. (5 U.S.C. 552a(f)(3))

(e) Nothing in 5 U.S.C. 552a, however, allows an individual access to any information compiled in reasonable anticipation of civil action or proceeding. (5 U.S.C. 552a(d)(5))

(f) Fees to be charged, if any, to any individual for making copies of his or her record shall not include the cost of any search for and review of the record, and will be as follows:

Activity	Fees
(1) Duplication of documents by any type of reproduction process to produce plain one-sided paper copies of a standard size (8½" × 11"; 8½" × 14"; 11" × 14").	$0.15 per page after first 100 one-sided pages.
(2) Duplication of non-paper records, such as microforms, audiovisual materials (motion pictures, slides, laser optical disks, video tapes, audio tapes, etc.), computer tapes and disks, diskettes for personal computers, and any other automated media output.	Actual direct cost to the Agency as defined in § 1.555(a)(2) of this part to the extent that it pertains to the cost of duplication.
(3) Duplication of document by any type of reproduction process not covered by paragraphs (f)(1) or (2) of this section to produce a copy in a form reasonably usable by the requester.	Actual direct cost to the Agency as defined in § 1.555(a)(2) of this part to the extent that it pertains to the cost of duplication.

Note.—Fees for any activities other than duplication by any type of reproducing process will be assessed under the provisions of § 1.526(i) or (j) of this part of any other applicable law.)

(g) When VA benefit records, which are retrievable by name or individual identifier of a VA beneficiary or applicant for VA benefits, are requested by the individual to whom the record pertains, the duplication fee for one complete set of such records will be waived.

[40 FR 33944, Aug. 12, 1975, as amended at 47 FR 16323, Apr. 16, 1982; 53 FR 10380, Mar. 31, 1988]

§ 1.578 Department of Veterans Affairs system of records requirements.

(a) The Department of Veterans Affairs will maintain in its records only such information about an individual as s relevant and necessary to accomplish a purpose of the Department of Veterans Affairs required to be accomplished by statute or Executive order of the President.

(b) The Department of Veterans Affairs will collect information to the greatest extent practicable directly from he subject individual when the nformation may result in adverse leterminations about an individual's ights, benefits, and privileges under Federal programs.

(c) The Department of Veterans Affairs will inform each individual vhom it asks to supply information, on he form which it uses to collect the nformation or on a separate form that an be retained by the individual, of:

(1) The authority (whether granted by tatute or Executive order of the resident) which authorizes the olicitation of the information and vhether disclosure of such information s mandatory or voluntary;

(2) The principal purpose or purposes or which the information is intended to e used;

(3) The routine uses which may be nade of the information, as published ursuant to paragraph (d)(4) of this ection; and

(4) The effects on him or her, if any, of ot providing all or any part of the equested information.

(d) Subject to the provisions of aragraph (k) of this section, the epartment of Veterans Affairs will ublish in the **Federal Register** at least nnually a notice of the existence and haracter of its system of records. This otice will include:

(1) The name and location of the ystem or systems;

(2) The categories of individuals on hom records are maintained in the ystem or systems;

(3) The categories of records aintained in the system or systems;

(4) Each routine use of the records ontained in the system or systems, cluding the categories of users and the urpose of such use;

(5) The policies and practices of the eterans Administration regarding storage, retrievability, access controls, retention, and disposal of the records;

(6) The title and business address of the Department of Veterans Affairs official or officials responsible for the system or systems of records;

(7) The Department of Veterans Affairs procedures whereby an individual can be notified at his or her request if the system or systems of records contain a record pertaining to him or her;

(8) The Department of Veterans Affairs procedures whereby an individual can be notified at his or her request how he or she can gain access to any record pertaining to him or her contained in the system or systems of records, and how he or she can contest its content; and

(9) The categories of sources of records in the system or systems.

(e) All records used by the Veterans Administration in making any determination about any individual will be maintained with the accuracy, relevance, timeliness, and completeness reasonably necessary to assure fairness to the individual in the determination.

(f) Before disseminating any record about an individual to any person other than an agency the Department of Veterans Affairs will make reasonable efforts to assure that such records are accurate, complete, timely, and relevant for Department of Veterans Affairs purposes unless the dissemination is required pursuant to 5 U.S.C. 552.

(g) The Department of Veterans Affairs will maintain no record describing how any individual exercises rights guaranteed by the First Amendment unless expressly authorized by statute or by the individual about whom the record is maintained or unless pertinent to and within the scope of an authorized law enforcement activity.

(h) The Department of Veterans Affairs will make reasonable efforts to serve notice on an individual when any record on such individual is made available to any person under compulsory legal process when such process becomes a matter of public record.

(i) The Department of Veterans Affairs will establish rules of conduct for persons involved in the design, development, operation, or maintenance of any system of records, or in maintaining any record. Each such person will be instructed regarding such rules and the requirements of 5 U.S.C. 552a. The instruction will include any other rules and procedures adopted pursuant to 5 U.S.C. 552a, and the penalties it provides for noncompliance.

(j) The Veterans Administration will establish appropriate administrative, technical, and physical safeguards to insure the security and confidentiality of records and to protect against any anticipated threats or hazards to their security or integrity which could result in substantial harm, embarrassment, inconvenience, or unfairness to any individual on whom information is maintained.

(k) At least 30 days prior to the publication of a notice in the **Federal Register** at least annually regarding the routine use of the records contained in the Department of Veterans Affairs system or systems of records including the categories of users and the purpose of such use, pursuant to paragraph (d)(4) of this section, the Department of Veterans Affairs will also:

(1) Publish a notice in the **Federal Register** of any new use or intended use of the information in the system or systems; and

(2) Provide an opportunity for interested persons to submit written data, views, or arguments to the Department of Veterans Affairs.

§ 1.579 Amendment of records.

(a) Any individual may request amendment of any Department of Veterans Affairs record pertaining to him or her. Not later than 10 days (excluding Saturdays, Sundays, and legal public holidays) after the date or receipt of such request, the Department of Veterans Affairs will acknowledge in writing such receipt. The Department of Veterans Affairs will complete the review to amend or correct a record as soon as reasonably possible, normally within 30 days from the receipt of the request (excluding Saturdays, Sundays, and legal public holidays) unless unusual circumstances preclude completing action within that time. The Department of Veterans Affairs will promptly either:

(1) Correct any part thereof which the individual believes is not accurate, relevant, timely or complete; or

(2) Inform the individual of the Department of Veterans Affairs refusal to amend the record in accordance with his or her request, the reason for the refusal, the procedures by which the individual may request a review of that refusal by the Administrator or designee, and the name and address of such official. (5 U.S.C. 552a(d)(2))

(b) The department or staff office having jurisdiction over the records involved will establish procedures for reviewing a request from an individual concerning the amendment of any record or information pertaining to the individual, for making a determination on the request, for an appeal within the

Department of Veterans Affairs of an initial adverse Department of Veterans Affairs determination, and for whatever additional means may be necessary for each individual to be able to exercise fully, his or her right under 5 U.S.C. 552a.

(1) Headquarters officials designated as responsible for the amendment of records or information located in Central Office and under their jurisdiction include, but are not limited to: Administrator; Deputy Administrator, as well as other appropriate individuals responsible for the conduct of business within the various Department of Veterans Affairs Departments and Staff Offices. These officials will determine and advise the requester of the identifying information required to relate the request to the appropriate record, evaluate and grant or deny requests to amend, review initial adverse determinations upon request, and assist requesters desiring to amend or appeal initial adverse determinations or learn further of the provisions for judicial review.

(2) The following field officials are designated as responsible for the amendment of records or information located in facilities under their jurisdiction, as appropriate: The Director of each Center, Domiciliary, Medical Center, Outpatient Clinic, Regional Office, Supply Depot, and District Counsels. These officials will function in the same manner at field facilities as that specified in the preceding subparagraph for headquarters officials in Central Office. (5 U.S.C. 552a(f)(4))

(c) Any individual who disagrees with the Department of Veterans Affairs refusal to amend his or her record may request a review of such refusal. The Department of Veterans Affairs will complete such review not later than 30 days (excluding Saturdays, Sundays, and legal public holidays) from the date on which the individual request such review and make a final determination unless, for good cause shown, the Administrator extends such 30-day period. If, after review, the Administrator or designee also refuses to amend the record in accordance with the request the individual will be advised of the right to file with the Department of Veterans Affairs a concise statement setting forth the reasons for his or her disagreement with the Department of Veterans Affairs refusal and also advise of the provisions for judicial review of the reviewing official's determination. (5 U.S.C. 552a(g)(1)(A))

(d) In any disclosure, containing information about which the individual has filed a statement of disagreement, occurring after the filing of the statement under paragraph (c) of this section, the Department of Veterans Affairs will clearly note any part of the record which is disputed and provide copies of the statement (and, if the Department of Veterans Affairs deems it appropriate, copies of a concise statement of the Department of Veterans Affairs reasons for not making the amendments requested) to persons or other agencies to whom the disputed record has been disclosed. (5 U.S.C. 552a(d)(4)).

[47 FR 16324, Apr. 16, 1982]

§ 1.580 Administrative review.

(a) Upon denial or a request under 38 CFR 1.577 or 1.579, the responsible Department of Veterans Affairs official or designated employee will inform the requester in writing of the denial, cite the reason or reasons and the Department of Veterans Affairs regulations upon which the denial is based, and advise that the denial may be appealed to the Administrator.

(b) The final agency decision in such appeals will be made by the Administrator or Deputy Administrator.

[40 FR 33944, Aug. 12, 1975, as amended at 47 FR 16324, Apr. 16, 1982]

§ 1.581 Judicial review.

Any person may file a complaint against the Department of Veterans Affairs in the appropriate U.S. district court, as provided in 5 U.S.C. 552a(g), whenever the Department of Veterans Affairs

(a) Makes a determination under § 1.577 not to amend an individual's record in accordance with his or her request, or fails to make such review in conformity with that section;

(b) Refuses to comply with an individual request under § 1.577;

(c) Fails to maintain any record concerning any individual with such accuracy, relevance, timeliness, and completeness as is necessary to assure fairness in any determination relating to the qualifications, character, rights, or opportunities of, or benefits to the individual that may be made on the basis of such record, and consequently a determination is made which is adverse to the individual; or

(d) Fails to comply under any other provision of 5 U.S.C. 552a, or any VA regulation promulgated thereunder, in such a way as to have an adverse effect on an individual.

§ 1.582 Exemptions.

(a) Certain systems of records maintained by the Department of Veterans Affairs are exempted from provisions of the Privacy Act in accordance with exemptions (j) and (k) of 5 U.S.C. 552a.

(b) *Exemption of Inspector General Systems of Records.* The Department of Veterans Affairs provides limited access to Inspector General Systems of Records as indicated.

(1) The following systems of records are exempted pursuant to the provisions of 5 U.S.C. 552a(j)(2) from subsections (c)(3) and (4), (d), (e)(1), (2) and (3), (e)(4) (G), (H) and (I), (e)(5) and (8), (f) and (g) of 5 U.S.C. 552a; in addition, the following systems of records are exempted pursuant to the provisions of 5 U.S.C. 552a(k)(2) from subsections (c)(3), (d), (e)(1), (e)(4) (G), (H), and (I), and (f) of 5 U.S.C. 552a:

(i) Investigation Reports of Persons Allegedly Involved in Irregularities Concerning VA and Federal Laws, Regulations, Programs, etc.—VA (11 VA51); and

(ii) Inspector General Complaint Center Records—VA (66VA53).

(2) These exemptions apply to the extent that information in those systems is subject to exemptions pursuant to 5 U.S.C. 552a (j)(2) and (k)(2).

(3) For the reasons set forth, the systems of records listed under paragraph (b)(1) of this section are exempted under section 552a(j)(2) and (k)(2) from the following provisions of 5 U.S.C. 552a:

(i) 5 U.S.C. 552a(c)(3) requires that upon request, an agency must give an individual named in a record an accounting which reflects the disclosure of the record to other persons or agencies. This accounting must state the date, nature and purpose of each disclosure of the record and the name and address of the recipient. The application of this provision would alert subjects to the existence of the investigation and identify that such persons are subject of that investigation. Since release of such information to subjects would provide them with significant information concerning the nature of the investigation, it could result in the altering or destruction of derivative evidence which is obtained from third parties, improper influencing of witnesses, and other activities that could impede or compromise the investigation.

(ii) 5 U.S.C. 552a(c)(4), (d), (e)(4) (G) and (H), (f) and (g) relate to an individual's right to be notified of the existence of records pertaining to such individual; requirements for identifying an individual who requests access to records; the agency procedures relating to access to records and the amendment of information contained in such records; and the civil remedies available to the individual in the event of adverse determinations by an agency concerning access to or amendment of information contained in record systems. This system is exempt from the foregoing provisions for the following reasons: To notify an individual at the individual's request of the existence of records in an investigative file pertaining to such individual or to grant access to an investigative file could interfere with investigative and enforcement proceedings, threaten the safety of individuals who have cooperated with authorities, constitute an unwarranted invasion of personal privacy of others, disclose the identity of confidential sources, reveal confidential information supplied by these sources, and disclose investigative techniques and procedures.

(iii) 5 U.S.C. 552a(e)(4)(I) requires the publication of the categories of sources of records in each system of records. The application of this provision could disclose investigative techniques and procedures and cause sources to refrain from giving such information because of fear of reprisal, or fear of breach of promises of anonymity and confidentiality. This could compromise the ability to conduct investigations and to identify, detect and apprehend violators. Even though the agency has claimed an exemption from this particular requirement, it still plans to generally identify the categories of records and the sources for these records in this system. However, for the reasons stated in paragraph (b)(3)(ii) of this section, this exemption is still being cited in the event an individual wants to know a specific source of information.

(iv) 5 U.S.C. 552a(e)(1) requires each agency to maintain in its records only such information about an individual that is relevant and necessary to accomplish a purpose of the agency required by statute or executive order. These systems of records are exempt from the foregoing provisions because:

(A) It is not possible to detect the relevance or necessity of specific information in the early stages of a criminal or other investigation.

(B) Relevance and necessity are questions of judgment and timing. What appears relevant and necessary may ultimately be determined to be unnecessary. It is only after the information is evaluated that the relevance and necessity of such information can be established.

(C) In any investigation the Inspector General may obtain information concerning the violations of laws other than those within the scope of his/her jurisdiction. In the interest of effective law enforcement, the Inspector General should retain this information as it may aid in establishing patterns of criminal activity and provide leads for those law enforcement agencies charged with enforcing other segments of civil or criminal law.

(v) 5 U.S.C. 552a(e)(2) requires an agency to collect information to the greatest extent practicable directly from the subject individual when the information may result in adverse determinations about an individual's rights, benefits, and privileges under Federal programs. The application of this provision would impair investigations of illegal acts, violations of the rules of conduct, merit system and any other misconduct for the following reasons:

(A) In order to successfully verify a complaint, most information about a complainant or an individual under investigation must be obtained from third parties such as witnesses and informers. It is not feasible to rely upon the subject of the investigation as a source for information regarding his/her activities because of the subject's rights against self-incrimination and because of the inherent unreliability of the suspect's statements. Similarly, it is not always feasible to rely upon the complainant as a source of information regarding his/her involvement in an investigation.

(B) The subject of an investigation will be alerted to the existence of an investigation if an attempt is made to obtain information from the subject. This would afford the individual the opportunity to conceal any criminal activities to avoid apprehension.

(vi) 5 U.S.C. 552a(e)(3) requires that an agency must inform the subject of an investigation who is asked to supply information of:

(A) The authority under which the information is sought and whether disclosure of the information is mandatory or voluntary;

(B) The purposes for which the information is intended to be used;

(C) The routine uses which may be made of the information; and

(D) The effects on the subject, if any, of not providing the requested information. The reasons for exempting this system of records from the foregoing provision are as follows:

(*1*) The disclosure to the subject of the purposes of the investigation as stated in paragraph (b)(3)(vi)(B) of this section would provide the subject with substantial information relating to the nature of the investigation and could impede or compromise the investigation

(*2*) If the complainant or the subject were informed of the information required by this provision, it could seriously interfere with undercover activities requiring disclosure of the authority under which the information is being requested. This could conceivably jeopardize undercover agents' identities and impair their safety, as well as impair the successful conclusion of the investigation.

(*3*) Individuals may be contacted during preliminary information gathering in investigations before any individual is identified as the subject of an investigation. Informing the individual of the matters required by this provision would hinder or adversely affect any present or subsequent investigations.

(vii) 5 U.S.C. 552a(e)(5) requires that records be maintained with such accuracy, relevance, timeliness, and completeness as is reasonably necessary to assure fairness to the individual in making any determination about an individual. Since the law defines "maintain" to include the collection of information, complying with this provision would prevent the collection of any data not shown to be accurate, relevant, timely, and complete at the moment of its collection. In gathering information during the course of an investigation it is not always possible to determine this prior to collection of the information. Facts are first gathered and then placed into a logical order which objectively proves or disproves criminal behavior on the part of the suspect. Material which may seem unrelated, irrelevant, incomplete, untimely, etc., may take on added meaning as an investigation progresses. The restrictions in this provision could interfere with the preparation of a complete investigative report.

(viii) 5 U.S.C. 552a(e)(8) requires an agency to make reasonable efforts to serve notice on an individual when any record on such individual is made available to any person under compulsory legal process when such process becomes a matter of public record. The notice requirement of this provision could prematurely reveal an ongoing criminal investigation to the subject of the investigation.

(c) *Exemption of Loan Guaranty Service, Department of Veterans Benefits, Systems of Records.* The Department of Veterans Affairs provides limited access to Loan Guaranty Service, Department of Veterans Benefits, systems of records as indicated:

(1) The following systems of records are exempted pursuant to the provisions of 5 U.S.C. 552a(k)(2) from subsections (c)(3), (d), (e)(1) and (e)(4) (G), (H) and (I) and (f):

(i) Loan Guaranty Fee Personnel and Program Participant Records—VA (17VA26); and

(ii) Loan Guaranty Home Condominium and Mobile Home Loan Applicant Records and Paraplegic Grant Application Records—VA (55VA26).

(2) These exemptions apply to the extent that information in these systems is subject to exemption pursuant to 5 U.S.C. 552a(k)(2).

(3) For the reasons set forth, the systems of records listed under paragraph (c)(1) of this section are exempted under 5 U.S.C. 552a(k)(2) from the following provisions of 5 U.S.C. 552a:

(i) 5 U.S.C. 552a(c)(3) requires that an agency make accountings of disclosures of records available to individuals named in the records at their request. These accountings must state the date, nature and purpose of each disclosure of the record and the name and address of the recipient. The application of this provision would alert subjects of an investigation to the existence of the investigation and that such persons are subjects of that investigation. Since release of such information to subjects of an investigation would provide the subjects with significant information concerning the nature of the investigation, it could result in the altering or destruction of documentary evidence, improper influencing of witnesses and other activities that could impede or compromise the investigation.

(ii) 5 U.S.C. 552a(d), (e)(4) (G) and (H) and (f) relate to an individual's right to be notified of the existence of records pertaining to such individual; requirements for identifying an individual who requests access to records; and the agency procedures relating to access to records and the contest of information contained in such records. This system is exempt from the foregoing provisions for the following reasons: To notify an individual at the individual's request of the existence of records in an investigative file pertaining to such individual or to grant access to an investigative file could interfere with investigative and enforcement proceedings; constitute an unwarranted invasion of the personal privacy of others; disclose the identity of confidential sources and reveal confidential information supplied by these sources and disclose investigative techniques and procedures.

(iii) 5 U.S.C. 552a(e)(4)(I) requires the publication of the categories of sources of records in each system of records. The application of this provision could disclose investigative techniques and procedures and cause sources to refrain from giving such information because of fear of reprisal, or fear of breach of promises of anonymity and confidentiality. This would compromise the ability to conduct investigations. Even though the agency has claimed an exemption from this particular requirement, it still plans to generally identify the categories of records and the sources for these records in this system. However, for the reasons stated above, this exemption is still being cited in the event an individual wanted to know a specific source of information.

(iv) 5 U.S.C. 552a(e)(1) requires each agency to maintain in its records only such information about an individual that is relevant and necessary to accomplish a purpose of the agency required by statute or executive order. This system of records is exempt from the foregoing provision because:

(A) It is not possible to detect relevance or necessity of specific information in the early stages of an investigation.

(B) Relevance and necessity are questions of judgment and timing. What appears relevant and necessary when collected may ultimately be determined to be unnecessary. It is only after the information is evaluated that the relevance and necessity of such information can be established.

(C) In interviewing persons or obtaining other forms of evidence during an investigation, information may be supplied to the investigator which relates to matters incidental to the main purpose of the investigation but which is appropriate in a thorough investigation. Oftentimes, such information cannot readily be segregated.

(4) The following system of records is exempt pursuant to the provisions of 5 U.S.C. 552a(k)(5) from subsections (c)(3), (d), (e)(1), (e)(4) (G), (H) and (I) and (f): Loan Guaranty Fee Personnel and Program Participant Records—VA (17 VA 26).

(5) This exemption applies to the extent that information in this system is subject to exemption pursuant to 5 U.S.C. 552a(k)(5).

(6) For the reasons set forth, the system of records listed in paragraph (c)(4) of this section is exempt under 5 U.S.C. 552a(k)(5) from the following provisions of 5 U.S.C. 552a:

(i) 5 U.S.C. 552a(c)(3) requires that an agency make accountings of disclosures of records available to individuals named in the records at their request. These accountings must state the date, nature and purpose of each disclosure of the record and the name and address of the recipient. The application of this provision would alert subjects of background suitability investigations to the existence of the investigation and reveal that such persons are subjects of that investigation. Since release of such information to subjects of an investigation would provide the subjects with significant information concerning the nature of the investigation, it could result in revealing the identity of a confidential source.

(ii) 5 U.S.C. 552a(d), (e)(4) (G) and (H) and (f) relate to an individual's right to be notified of the existence of records pertaining to such individual; requirements for identifying an individual who requests access to records; and the agency procedures relating to access to records and the contest of information contained in such records. This system is exempt from the foregoing provisions for the following reasons: To notify an individual at the individual's request of the existence of records in an investigative file pertaining to such an individual or to grant access to an investigative file would disclose the identity of confidential sources and reveal confidential information supplied by these sources.

(iii) 5 U.S.C. 552a(e)(4)(I) requires the publication of the categories of sources of records in each system of records. The application of this provision could disclose sufficient information to disclose the identity of a confidential source and cause sources to refrain from giving such information because of fear of reprisal, or fear of breach of promises of anonymity and confidentiality. This would compromise the ability to conduct background suitability investigations.

(iv) 5 U.S.C. 552a(e)(1) requires each agency to maintain in its records only such information about an individual that is relevant and necessary to accomplish a purpose of the agency required by statute or executive order. This system of records is exempt from the foregoing provision because:

(A) It is not possible to detect relevance and necessity of specific information from a confidential source in the early stages of an investigation.

(B) Relevance and necessity are questions of judgment and timing. What appears relevant and necessary when collected may ultimately be determined to be unnecessary. It is only after the information is evaluated that the relevance and necessity of such information can be established regarding suitability for VA approval as a fee appraiser or compliance inspector.

(C) In interviewing persons or obtaining other forms of evidence during an investigation for suitability for VA approval, information may be supplied to the investigator which relates to matters incidental to the main purpose of the investigation but which is appropriate in a thorough investigation. Oftentimes, such information cannot readily be segregated and disclosure might jeopardize the identity of a confidential source.

[48 FR 29647, Jun.29,1983]

§ 1.583 Mailing lists.

An individual's name and address may not be sold or rented by the Department of Veterans Affairs unless such action is specifically authorized by law. This section does not require the withholding of names and addresses otherwise permitted to be made public. (See also §§ 1.518 and 1.519.)

§ 1.584 Reports.

(a) The Administrator or designee will provide adequate advance notice to Congress and the Office of Management and Budget of any proposal to establish or alter any Department of Veterans Affairs system or systems of records, as required by 5 U.S.C. 552a(o). This will permit an evaluation of the probable or potential effect of such proposal on the privacy and other personal or property rights of individuals or the disclosure of information relating to such individuals, and its effect on the preservation of the constitutional principles of federalism and separation of powers.

(b) If at any time a Department of Veterans Affairs system or systems of records is determined to be exempt from the application of 5 U.S.C. 552a in accordance with the provisions of 5 U.S.C. 552a (j) and (k), the number of records contained in such system or systems will be separately listed and reported to the Office of Management and Budget in accordance with the then prevailing guidelines and instructions of that agency.

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